

**CRITICAL SUCCESS FACTORS ENABLING THE FINANCIAL
SUSTAINABILITY OF SOUTH AFRICAN DONOR-FUNDED
COMMUNITY MUSIC DEVELOPMENT PROGRAMMES**

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DECLARATION

- (i) I, Sarah Maria (Arisa) Voges, declare that the thesis that I herewith submit for the degree PhD (Music) at the University of the Free State, is my independent work, and that I have not previously submitted it for a qualification at another institution of higher education.

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SM Voges

31 October 2016

Date

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ABSTRACT

This research study is an investigation into the financial sustainability of South African donor-funded community music development programmes (CMDPs). The aim was to identify the critical success factors (CSFs) that have enabled CMDPs to survive for more than five years. An interdisciplinary approach was followed to bridge the gap between music and business management. The literature review focused on the impact of music education on human and economic development, and explored the financial sustainability of non-profit organisations.

Music education has played an important socio-economic development role for centuries, and continues to do so through the economic impact of the Cultural and Creative Industries (CCI). CMDPs nurture the employability, self-esteem and general wellbeing of marginalised youth. The cognitive, emotional and social skills acquired by playing a music instrument and participating in group music-making activities foster creativity and innovation – essential skills required in the contemporary workplace. These benefits are maximised if tuition is sustained from the ages of eight to seventeen. Music education also facilitates cross-cultural engagement, nurtures social cohesion and nation-building, and alleviates inequality and unemployment. Hence, as proposed in the *National Development Plan*, music and the arts have significant potential to bring about positive change and to contribute to the development of the creative economy in South Africa. However, donor-funded CMDPs have become underfunded, understaffed and unsustainable because music education remains marginalised in the current insecure political and funding environment.

In the empirical investigation an emerging, exploratory qualitative research design was applied and multi-methods used for triangulation. A homogenous, purposeful sample was compiled and augmented through snowball sampling. Thirty-seven electronic questionnaires received between June and December 2015 were analysed, and the results triangulated with data obtained through seven elite interviews. Several telephone and email enquiries were also made to obtain information about the causes of the demise of defunct CMDPs.

The main findings revealed that securing funding, parental involvement and community support and transport were the CSFs that determined CMDP longevity, concurring with previous conclusions reached by other South African researchers. A lack of insight into financial management best practice – aggravated by fundraising inefficiency – exacerbates the current CMDP financial hardship. Despite the commendable 40.7% of income CMDPs have secured through a combination of support from local governments, the National Lotteries Distribution Trust Fund and the national government, the need for more government support and efficiency in funding disbursements was highlighted. The efficient management of human resources to build human capacity also emerged as a key determinant of financial sustainability.

To maximise the benefits of CMDPs, early childhood development and lifelong learning programmes should be implemented and the use of indigenous music encouraged to enhance intercultural learning. Harnessing the benefits of the CCI require more support from government and universities, cultural entrepreneurship and the efficient use of technology. The financial sustainability of CMDPs will be

nurtured by the application of the Tuckman-Chang financial sustainability measures – notably revenue diversification – and the elements of Inyathelo’s *Advancement* model. By integrating multi-stakeholder relationship-building with effective governance, leadership, strategy and planning, human capacity, financial management, organisational voice and visibility, fundraising and monitoring and evaluation, CMDPs position themselves better to attract support.

Improved infrastructure and asset management (transport, venues, instruments and technology), the effective management of human resources (parental involvement, staff training, succession planning and an increase in the appointment of full-time staff) and a scientific approach to fundraising will enhance the financial sustainability of CMDPs. To nurture their fundraising potential, CMDPs should invest in research and development and online crowdfunding. New business models should be explored to foster self-reliance through earned income and by embracing pivotal fundraising tools made available through recent changes in the Broad-based Black Economic Empowerment Codes of Good Practice. In conclusion, a holistic approach that nurtures relationships and speaks to the goodness, kindness and helpfulness of humanity is advocated, because it demonstrates the traditional African value of Ubuntu.

OPSOMMING

Die doel van hierdie navorsingsprojek was om die finansiële volhoubaarheid van Suid-Afrikaanse donor-befondsde gemeenskapsmusiekontwikkelingsprogramme (GMOPe) te ondersoek, sodat die kritiese suksesfaktore (KSFe) wat die oorlewing van GMOPe vir langer as vyf jaar bewerkstellig, bepaal kan word. 'n Interdissiplinêre benadering is gevolg om die kloof tussen musiek en besigheidsbestuur te oorbrug. In die literatuuroorsig is die impak van musiek op die mens en die ekonomie nagevors, en die finansiële volhoubaarheid van nie-winsgewende organisasies is ondersoek.

Musiekonderrig speel al vir eeue 'n belangrike rol in sosio-ekonomiese ontwikkeling. Hierdie rol word tans voortgesit deur die invloed wat die Kulturele en Kreatiewe Industrieë (KKI) op die wêreldwye ekonomie uitoefen. GMOPe koester die indiensneembaarheid, selfwaarde en algehele welstand van gemarginaliseerde jongmense. Die kognitiewe, emosionele en sosiale vaardighede wat ontwikkel word deur 'n musiekinstrument te bespeel en aan groepsmusiekaktiwiteite deel te neem, ontwikkel kreatiwiteit en innovasie, wat uiters gesogte vaardighede in die hedendaagse werksplek is. Hierdie byvoordele word optimaal ontwikkel as musiekonderrig tussen die ouderdomme van agt en sewentien volgehou word. Musiekonderrig kweek ook kulturele interaksie, samehorigheid en nasiebou, en verlig ongelykheid en werkloosheid. Derhalwe besit musiek en die kunste, soos uiteengesit in die *Nasionale Ontwikkelingsplan*, 'n merkwaardige vermoë om positiewe verandering teweeg te bring en tot die uitbou van die kreatiewe ekonomie in Suid-Afrika by te dra. Die finansiële volhoubaarheid van donor-befondsde GMOPe is egter in gedrang weens 'n tekort aan befondsing en bemanning, en omdat

musiekonderwys in die huidige onsekere politieke en befondsingsomgewing onderdruk word.

In die empiriese ondersoek is 'n voortkomende, verkennende kwalitatiewe navorsingsontwerp toegepas en veelvuldige metodes aangewend vir triangulasiedoeleindes. 'n Homogene, spesifiek gerigte steekproef is saamgestel en uitgebrei deur middel van 'n sneeubal steekproefmetode. Sewe-en-dertig elektroniese vraelyste, wat tussen Junie en Desember 2015 ontvang is, is ontleed en die resultate is getrianguleer met inligting ingewin deur sewe elite onderhoude. Verskeie telefoniese en eposnavrae is ook gerig aan projekteurs van GMOPe wat nie meer bestaan nie, om die oorsake van hulle ondergang vas te stel.

Die hoofbevindinge het aan die lig gebring dat befonding, oerbetrokkenheid en gemeenskapsondersteuning, en vervoer die KSFe is wat langslendigheid bepaal. Hierdie resultate strook met die van ander Suid-Afrikaanse navorsers wat vantevore soorgelyke gevolgtrekkings gemaak het. 'n Gebrek aan insig in finansiële bestuurspraktyk en ondoeltreffende fondsinsameling vererger die finansiële verknorsing van GMOPe. Ten spyte van 'n prysenswaardige 40.7% van inkomste wat GMOPe deur 'n kombinasie van ondersteuning van plaaslike regerings, die Nasionale Loterye Distribusietrustfonds en die nasionale regering bekom het, is daar 'n duidelike noodkreet uitgestuur vir meer ondersteuning van die nasionale regering en doeltreffendheid in die uitbetaling van fondse. Die doeltreffende bestuur van menslike hulpbronne om menslike kapasiteit te bou, het ook uitgestaan as 'n sleutelfaktor wat finansiële volhoubaarheid bepaal.

Om die voordele wat verband hou met GMOPe te maksimaliseer, is aanbeveel dat programme wat vroeë kinderontwikkeling en lewenslange leer bevorder, geïmplementeer word. Daar moet ook meer gebruik gemaak word van inheemse musiek om interkulturele leer aan te moedig. Om voordeel te trek uit die KKI, sal meer staatsondersteuning, universiteitsondersteuning, kulturele entrepreneurskap en die doeltreffende gebruik van tegnologie verg. Die finansiële volhoubaarheid van GMOPe sal uitgebou word as die Tuckman-Chang-maatstawwe toegepas word – met name inkomstediversifikasie. Die elemente van Inyathelo se *Vooruitgang*-model moet ook aangewend word deur verhoudinge te behou met veelvuldige belanghebbendes, en dit te integreer met effektiewe beheer, leierskap, strategie en beplanning, menslike kapasiteit, finansiële bestuur, 'n sterk organisatoriese stem en sigbaarheid, fondswerwing en monitering en evaluasie. Sodoende sal GMOPe beter geposisioneer wees om ondersteuning te lok.

Beter batebestuur (vervoer, lokale, instrumente en tegnologie), effektiewe menslike hulpbronnebestuur (ouerbetrokkendheid, personeelopleiding, die beplanning van personeelopvolging, en 'n toename in die aanstelling van voltydse personeel), asook 'n wetenskaplike benadering tot fondswerwing sal finansiële volhoubaarheid voed. Om fondswerwingspotensiaal uit te brei, behoort GMOPe in navorsing en ontwikkeling en aanlyn skarebefondsing te belê. Nuwe besigheidsmodelle wat selfonderhouding deur self-gegenereerde inkomste bevorder, moet ondersoek word, en GMOPe moet die vernaamste befondsingsgeleenthede wat deur die hersiene Breedegbaseerde Swart Ekonomiese Bemagtigingskodes van Goeie Praktyk daargestel word, optimaal benut. Ten slotte is bepleit dat 'n holistiese benadering, wat menslike verhoudings vertroetel en die deug, goedheid en behulpsaamheid van

die mens aanspreek, gevolg word, omdat dit die tradisionele Afrika waarde van Ubuntu bewys.

KEY TERMS

Advancement framework

Business management

Broad-based Black Economic Empowerment Codes of Good Practice

Community engagement

Community music development

Creative economy

Critical success factors

Cultural and Creative Industries

Cultural entrepreneurship

Donor relationships

El Sistema

Financial sustainability

Funding

Fundraising

Music education

Service learning

Social entrepreneurship

Sustainable Development Goals

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GLOSSARY OF ABBREVIATIONS

ATKV	<i>Afrikaanse Taal en Kultuurvereniging</i>
BASA	Business and Arts South Africa
BBBEE	Broad-based Black Economic Empowerment Codes of Good Practice
CMDPs	Community Music Development Programmes
CCI	Cultural and Creative Industries
CCIFSA	Cultural and Creative Industries Federation of South Africa
CSFs	Critical Success Factors
CSI	Corporate Social Investment
CSR	Corporate Social Responsibility
DAC	Department of Arts and Culture (South Africa)
DBE	Department of Basic Education (South Africa)
DCMS	Department for Culture, Media and Sport (United Kingdom)
DHET	Department of Higher Education and Training (South Africa)
DIRCO	Department of International Relations and Cooperation (South Africa)
DTI	Department of Trade and Industry (South Africa)
DVDs	Digital Versatile Discs
HLMC	Hugo Lambrechts Music Centre
ICT	Information and Communications Technology
IMSLP	International Music Score Library Project
M&E	Monitoring and Evaluation
MBA	Masters of Business Administration
MDGs	Millennium Development Goals
MGE	Mzansi Golden Economy Strategy
MIAGI	Music Is a Great Investment
MOPSA	Register of Music Outreach Programmes in South Africa
MS Excel	Microsoft Excel
MS Word	Microsoft Word
NDP	National Development Plan 2030
NLDTF	National Lotteries Distribution Trust Fund
NPOs	Non-profit Organisations
PBOs	Public Benefit Organisations
PDF	Portable Document Format
PESTLE	Political, Economic, Socio-economic, Technological, Legal and Environmental
POPI	Protection of Personal Information Act
SAMOP	South African Music Outreach Project
SAMRO	South African Music Rights Organisation
SARS	South African Revenue Services
SASMT	South African Society of Music Teachers
SDGs	Sustainable Development Goals
SMS	Short Text Messages

SROI	Social Return on Investment
STEAM	Science, Technology, Engineering, Arts and Mathematics
STEM	Science, Technology, Engineering and Mathematics
STTEP	South African Music Education Trust Tshwane Education Project
SWOT	Strengths, Weaknesses, Opportunities and Threats
UK	United Kingdom
UMF	University of South Africa Music Foundation
UNCTAD	United Nations Conference on Trade and Development
UNESCO	United Nations Educational, Scientific and Cultural Organisation
Unisa	University of South Africa
USB	University of Stellenbosch Business School
WASBE	World Association of Symphonic Bands and Ensembles
WIPO	World Intellectual Property Organisation

CHAPTER 1

INTRODUCTION AND BACKGROUND, PROBLEM STATEMENT AND RESEARCH METHODOLOGY

1.1 INTRODUCTION

The youth of South Africa is in a crisis, as witnessed by the #Fees Must Fall campaign which swept the country throughout 2015 and 2016. It intensified through “violent protests, hot debates and political finger-pointing” after proposed fee increases at South African universities (Cohen 2015:172). Already expensive, underfunded and unsustainable in its current form, the education crisis at South African universities is the mere tip of the iceberg. South Africa’s youth has the potential to be an economy-growing asset, but they have become an economic burden because they have been beleaguered by decades of severe poverty and poor education. With almost one third of our youth growing up in households where no adult is employed, many of these young lives have been compromised by violent crime, gangsterism, substance abuse and sexual harassment (Cohen 2015:162, 174-176).

Music can be a significant catalyst for socio-economic advancement. The skill of playing a musical instrument can uplift the individual, the community and the economy, creating what the famous Japanese violin teacher, Shin’ichi Suzuki called “better citizens” (Suzuki 1969). Much has been written and debated about this topic as the growth and development of the Cultural and Creative Industries (CCI)¹ globally reinforced the relevance of creative arts education (Florida 2005, UNCTAD 2010).

¹ Methodology and terminology concerning the CCI have been the source of some significant international discourse. Whilst acknowledging that different definitions exist, unless explicitly stated otherwise, for uniformity and ease of reference this all-encompassing term is used throughout this thesis, as recommended by the Department of Arts and Culture (Dept of Arts, Culture and Heritage 2013:18).

However, arts education in South Africa has suffered from decades of government hostility and neglect (Fourie 2009). Only recently has it received some attention and support given its power to enhance socio-economic advancement through its capacity to nurture job creation, social cohesion and nation-building (Dept of Labour 2008, Dept of Arts, Culture and Heritage 2013, Dept of Arts and Culture 2014).

In this chapter I introduce the background that has contributed to my interest in community music development programmes (CMDPs)² and the rationale for researching them from a financial sustainability perspective, given the economic crisis and ensuing austerity measures that gripped the arts worldwide in 2008. In doing so, I shall first provide a brief overview of music education in South Africa and introduce the concept of community engagement before I describe South Africa's inequality and unemployment crises, with an introduction to the CCI as a potential remedy. The delimitation of the study area and an exploration of funding and financial sustainability issues are followed by a detailed discussion of the critical success factors (CSFs)³ that have been identified by several researchers as key to CMDP effectiveness and efficiency. The rationale sketched thus far creates the background to the introduction of the problem statement, research objectives and research questions, followed by a summary of the interdisciplinary approach and qualitative research design and methodology used. The chapter concludes with a short synopsis of the chapter layout and a discussion of the value of the research, ending with a few summative remarks.

² The abbreviation CMDPs refers to the plural form, with the abbreviation CMDP denoting the singular form.

³ Similarly the abbreviation CSFs refers to the plural form, with the abbreviation CSF denoting the singular form.

1.2 A BRIEF OVERVIEW OF MUSIC EDUCATION IN SOUTH AFRICA

1.2.1 General education turmoil

Since the change in the political dispensation in 1994 which dismantled apartheid, several educational reforms have impacted South Africa's youth. Education transformation, although a necessity, has led to general education turmoil. When ranked with other countries, South Africa currently finds its education system at the bottom of the list,⁴ despite countless interventions and spending a significant portion of the annual budget on education.⁵ Results from the 2012 to 2014 Annual National Assessments have shown a general downward trend with wide-ranging deficiencies in basic knowledge as well as numeracy and literacy competencies.⁶ Challenges such as teaching capacity, poor infrastructure and learner support, and retention problems⁷ persist (Cohen 2015:175). With almost 20% of teachers absent on Fridays and Mondays, and increased month-end absenteeism, teachers in African schools teach on average 3.5 hours per day in comparison to the 6.5 hours per day taught by teachers in former white schools (Coalition on Civil Society Resource Mobilisation 2012:31). The education system remains divided along economic lines, with access to quality education reserved for the well-to-do and the poor condemned to a system notorious for its lack of qualified teachers and resources (Chauke 2014).

1.2.2 Pre- and post-apartheid music education

Music education also shares this turmoil and division along economic and racial lines. Because of the inequalities which resulted from South Africa's apartheid

⁴ In 2006 South Africa's Grade 5 learners came last in reading and literacy tests, lower than learners in resource-poor countries such as Lesotho and Malawi (Coalition on Civil Society Resource Mobilisation 2012:30-31).

⁵ In 2015 Education received R265.7 billion from the national budget (Cohen 2015:175).

⁶ The 2013 results indicated a national average of 33% for numeracy in Grade 5. Language tests had an even poorer outlook, with 46% scored for Home Language and 37% for First Additional language (SA Government News n.d.).

⁷ Matric examination results for 2014 have shown that 50% of learners dropped out of school between Grade 2 enrolment and Grade 12. These figures imply that the 75.8% national Matric pass rate equates to a 36.4% pass rate in real terms. At university-level the figures are even worse. Only the top 18% of high school graduates become university entrants, but more than half of them drop out during their first year (Cohen 2015:175).

history, prior to 1994 little or no access to music education existed among schools in historically disadvantaged areas. Although instrumental tuition was readily available in “white schools”, the focus was on piano and music theory tuition (Kierman 2009/2010:43).

With the introduction of Outcomes-based Education in 1997, and a greater focus on mathematics and science education, music was grouped together with dance, drama and the visual arts and included in the Arts and Culture learning area (Devroop 2009:7; Dept of Basic Education 2011). Government music posts were cut and many music teachers retrenched because of a lack of human and financial resources to support music programmes at schools. Few new music teachers entered the market, as the lack of job opportunities in the formal sector scared them away. Universities cut back on general teacher training programmes and teaching colleges closed down (Fourie 2009).

In 2012 Arts and Culture was renamed Creative Arts, a compulsory learning area from Grade R to Grade 9. The purpose of this learning area is to “develop learners as creative, imaginative individuals who appreciate the arts and who have the basic knowledge and skills to participate in arts activities” (Dept of Basic Education 2011:8). On average two hours per week must be dedicated to the Creative Arts, split between music, dance, drama and the visual arts, whilst optional contact time after school is encouraged. In Grades 7 to 9 learners may select two art forms to allow for depth of study in preparation of specific arts subject choices in Grades 10 to 12 (Dept of Basic Education 2011:6, 10, 54). This new curriculum has highlighted significant gaps and shortcomings in music programmes at schools regarding funding, access, sufficient resources and teacher training, competence and availability, with

exacerbating factors such as the integration of multiple arts disciplines and the lack of a school enrichment programme policy framework (Fourie 2009:68; Dept of Labour 2008:77-79). Even though the curriculum statement recommends the “intensive and on-going training” of Creative Arts teachers in one or two art forms (Dept of Basic Education 2011:8), generally-trained Creative Arts teachers usually have very little expertise and specialisation in music.

Per example, Barnard⁸ (2014) commented that the implementation of the Creative Arts in the Foundation Phase (Grades R to 3) sounds good on paper, but it does not work in practice because teachers usually integrate Creative Arts with other learning areas such as Languages and Technology. Recorded music is used to assist with the singing of songs in lieu of access to skilled instrumental accompaniment. Teachers make use of body percussion and small percussion instruments and combine the singing of songs with movement and dance. They also often play Bach and Mozart as background music in class to calm down children, or when they engage in visual arts activities such as drawing. There is no monitoring of the implementation of the Creative Arts learning area by subject advisors. Barnard (2014) added that even her husband, a high school Technology teacher, had to teach music at one stage when nobody else was available and willing to teach Creative Arts at his school.

It is very unlikely that learners will have access to the specialised music education recommended in the curriculum statement,⁹ because opportunities to learn to play an instrument at school seldom exist (Le Roux 2009:2). The one-on-one teaching

⁸ Barnard is the departmental head of the Foundation Phase at a small suburban primary school in Cape Town.

⁹ The curriculum statement specifies that Music must include the performance of vocal and instrumental music in group and solo contexts, exposure to the written and aural language of music, improvisation and composing in Western, popular music and indigenous music styles (Dept of Basic Education 2011:9).

paradigm of instrumental tuition has made it expensive.¹⁰ Compounded by the cost of instruments, accessories, maintenance and books, access to individual instrumental music tuition and performance remains restricted to more affluent schools – in historically white suburbs – where the appointment of specialised instrumental music teachers is facilitated by school governing bodies. Because of the lack of infrastructure, resources and music teaching skills, the teaching of the Creative Arts in marginalised communities and rural areas centres on music theory and vocal music,¹¹ with school choirs often being the only exposure learners get to music education (Devroop 2012:409).

1.2.3 The rise of community music development programmes

The need to redress certain socio-cultural hiatuses with regard to historically disadvantaged communities, have contributed to the emergence of many CMDPs (initially called music outreach projects) over the past two decades to nurture music practice and performance in South Africa. Through my own career-long involvement with these CMDPs at different levels – from teaching in, to the coordination, management and international facilitation of such programmes – I have observed that they generally have the same objectives:

- To remedy and rectify imbalances of the past by developing musicians and audiences from previously disadvantaged communities;
- To better the socio-economic living conditions and life expectations of disadvantaged children by introducing them to music activities that will keep them off the streets, offering relief from a world of poverty, unemployment, drugs, abuse and crime;

¹⁰ The current hourly tuition fee for individual music lessons, as recommended by the South African Society of Music Teachers (SASMT), stands at R300. This fee was determined at the Annual General Meeting of the SASMT, held on 2 April 2016 at the Enoch Sontonga Conference Complex of the University of South Africa (Unisa) in Sunnyside, Pretoria. As a director of the SASMT I was present at this meeting, but the minutes were not yet available when this thesis was completed.

¹¹ South Africa has established a strong choral tradition – in all cultural groups in both black and white communities – which has continued to sustain itself.

- To create employment opportunities for marginalised youth through development of the CCI economic sector, as envisaged in the *National Development Plan 2030* (NDP) of South Africa (National Planning Commission 2011:26).

1.3 BACKGROUND TO THIS RESEARCH STUDY

1.3.1 My personal experience

My professional career as a music teacher, performer, examiner, manager and consultant, spanning over thirty years, many provinces and many institutions, have continuously brought me in close contact with an ever-present tension between art (specifically music) and economics – not only in South Africa, but internationally as well. My first permanent appointment at the Musicon in Bloemfontein (1988 to 1992), introduced me to the fundamentals of a good instrumental music education programme as far as music teaching, performance and management are concerned. Thereafter my interest in CMDPs was sparked through direct involvement in several outreach projects, initially as a clarinet and saxophone teacher and later as a manager during my long tenure at the Hugo Lambrechts Music Centre (HLMC) in Parow.

1.3.1.1 The Hugo Lambrechts Music Centre (1992 to 2010)

After the completion of my Masters of Business Administration (MBA) studies at the Business School of the University of Stellenbosch (USB) in 2002, I became involved with the administrative management of CMDPs when, in 2004, the HLMC was approached by the headmaster of the Silversands Primary School in Kuils River, Cape Town, to partner in the establishment of an instrumental music development

programme at the school.¹² As the appointed coordinator, I employed my newly-acquired MBA business management skills to enhance the management of the Silversands Project. The project grew rapidly and soon the school had its own wind band – a very unique achievement for a primary school in a marginalised community.

Within a few years the HLMC replicated the project at three more primary schools in the area. Several management challenges associated with growing pains were experienced, which necessitated finding innovative ways to resolve issues around logistics, finance, communication, procurement procedures and teaching methods. Communication with managers of other CMDPs in Cape Town soon revealed that very little information was available to guide South African CMDPs: project leaders were continuously reinventing the wheel.

In contrast, I was introduced to the vast scale of successful South American CMDPs through my work with the World Association of Symphonic Bands and Ensembles (WASBE) in 2006 and 2007. A presentation by representatives from the Guri Project in Sao Paulo, Brazil (*Projeto Guri 2002, 2005*) at the 2006 WASBE South African International Conference held at Artscape in Cape Town, was followed by an introduction to a similar programme in Columbia in conversation with Prof Richard Miles, Director of Bands from Morehead State University in Kentucky (Miles 2006).¹³ I also became familiarised with the El Sistema¹⁴ programme in Venezuela through a video documentary (*The Orchestra 2000*).

¹² At the time this suburb was notorious for its high levels of violence against children in the community. In the school's foyer there were several brass memorial plaques dedicated to deceased young girls who had been brutally raped and murdered by a serial killer just a few years prior.

¹³ Prof Miles was the guest conductor of the South African National Youth Wind Ensemble (of which I was the manager) which performed at the 2006 WASBE South African International Conference.

¹⁴ The El Sistema programme in Venezuela is discussed extensively in chapter two.

1.3.1.2 University of South Africa (1998-2015)

Following my initial appointment as a part-time woodwind consultant and syllabus compiler for the University of South Africa (Unisa) Directorate Music in 1998, my activities as a specialist music examiner exposed me to a broad spectrum of CMDPs whilst I conducted graded examinations and licentiates all over the country. My awareness of quality teaching in and the effective and efficient management of CMDPs escalated after joining Unisa full-time as Director: Music in 2010. My responsibilities included managing the two divisions of the Directorate Music, namely Music Examinations and the Music Foundation (UMF). Through the Music Examinations division I became involved with the accreditation issues of music qualifications (grades and licentiates) and South African music teachers,¹⁵ whereas my work with the UMF incorporated overseeing a large instrumental music tuition programme with almost 70 tutors in and around the City of Tshwane. Thus I witnessed how the demand for music education continued to grow despite financial, logistical and academic constraints.

1.3.1.3 The South African Society of Music Teachers (SASMT)

In 2006 an article which had appeared in *The South African Music Teacher* (1998) alerted me to a collective effort to compile a database of South African CMDPs under the auspices of the SASMT. Subsequent email communication with Mr Jaco van der Merwe from the North-West University in Potchefstroom supplied insightful background information about this (failed) initiative: according to Van der Merwe they had struggled so much to obtain information and cooperation that they “simply gave up” (Van der Merwe 2006).

¹⁵ In 2013 the Unisa licentiates were discontinued (Unisa 2013:3) and in 2014 the graded music examinations were officially ratified as Short Learning Programmes of the university. Hence all music teachers enrolling their pupils for Unisa graded examinations must have formal music qualifications to receive endorsement (Unisa 2014:3, 7).

I launched a similar (unsuccessful) initiative in July 2013 whilst I was National President of the SASMT, aiming to engage the broader CMDP community with the activities of the association in order to diversify its membership and to determine where and how SASMT members can mentor young community music teachers. I also chose the theme *Engaging with the community* as the topic for the SASMT 92nd Annual National Conference, held at the Enoch Sontonga Conference Complex in Sunnyside, Pretoria, on 4 and 5 April 2014, to engage SASMT members with the educational work done in CMDPs. This conference concluded with a forum discussion about the future of South African CMDPs, chaired by Mr John Roos (a former president of the SASMT), during which CMDP statistics and impact research were highlighted as key measures for improving fundraising capacity. An appeal was made for a general audit of CMDPs in South Africa, the results of which could be used to lobby government for more support.¹⁶

1.3.2 Apathy and fragmentation in the music education sector

The abovementioned lack of response to the SASMT's appeals for information about CMDPs is symptomatic of a general apathy that has pervaded the South African music education sector. Musicians do not actively participate in professional societies and organisations, inhibiting the growth and development of the broader music industry. I was first alerted to these fragmentation issues when I attended the 2006 First South Atlantic Jazz Music Conference¹⁷ where the guest speaker, Mr Pallo Jordan (Minister of Arts and Culture at the time) publicly confirmed that social crises such as housing and the teaching of science and mathematics would always take preference to music education and arts and culture in the limited national budget. He

¹⁶ This event was not an accredited conference, but an informal conference that preceded the annual general meeting; hence no formal proceedings or minutes detailing the discussions were compiled.

¹⁷ This conference was held in Cape Town at the Cape Sun Hotel prior to the start of the 2006 Cape Town Jazz Festival, which was then still known as the North Sea Jazz Festival. It was an informal seminar and no minutes or conference proceedings were released.

advised the music industry to collectively join hands with private investment to address funding issues (Jordan 2006). During the ensuing discussions it was concluded that general apathy and the lack of sharing of resources, facilities and knowledge have left the industry fragmented, lacking in growth and national strategic planning.

The same conclusion was reached by attendees of the Cape Festival Music Development Forum in Stellenbosch in March 2010,¹⁸ who emphasised that they experienced a general resistance to the sharing of information. Because CMDPs often vie for attention and financial support from the same sponsors, project leaders are hesitant to reveal information about their funding sources, for fear of having to share those sources. This failure to communicate and cooperate has contributed to the general lack of direction, discipline, depth and planning for CMDPs.

It follows that the lack of cooperation and collaboration amongst CMDPs is a cause as well as a direct result of the fragmentation within the broader South African music education subsector. The poor strategic government support for music education and arts and culture has exacerbated this status quo, despite the prominent role and function community engagement has been granted in higher education.

1.4 COMMUNITY ENGAGEMENT

1.4.1 Community engagement in higher education

In the White Paper on the Transformation of Higher Education (Dept of Education 1997) community engagement is indicated as a key directive of higher education,

¹⁸ This event was initiated by Shirley Apthorpe, a South African-born journalist and noted opera critic residing in Germany, in collaboration with the Conservatoire of the University of Stellenbosch. It was an attempt to engage South African CMDPs and to encourage collaboration and cooperation through the establishment of a national network for CMDPs. This too was an informal seminar and no minutes were distributed afterwards.

considered one of its three pillars along with teaching and learning, and research. Its purpose is to transform the higher education system and to strengthen the values and practices of our democracy. By reflecting the changes that are taking place in society, community engagement harnesses “the social commitment and energy of young people” (Dept of Education 1997) and balances higher education from an overemphasis on the market place with “education for good citizenship” (Lazarus, Erasmus, Hendricks, Nduna & Slammat 2008:76).

At national level the goal of community engagement is “to promote and develop social responsibility and awareness amongst students of the role of higher education in social and economic development through community service programmes”. At institutional level the goal is “to demonstrate social responsibility ... by making available expertise and infrastructure for community service programmes” (Dept of Education 1997).

Community engagement at higher education level, with service learning¹⁹ as its entry point, must be aligned with the broader organisational vision and mission and viewed as a scholarly activity. Study and service connect through service learning: the discipline illuminates and informs the experience, whereas the experience lends meaning and energy to the discipline in return. Institutions must therefore adopt an institution-wide community engagement policy that includes critical risk management for student placements and staff rewards, recognition and promotion systems (Lazarus et al 2008:61-66).

Community engagement initiatives in higher education are often located in the Arts and Social Sciences and Education sector. They are linked with training, making

¹⁹ Service learning is explored in more depth in chapter two.

CMDPs the perfect practice and research ground for what is now generally regarded as “the scholarship of engagement” (Council on Higher Education 2006:11).

1.4.2 Community development best practices

CMDPs are rooted in general community development practices; they existed before community engagement became compulsory as a key directive of higher education. Spies (2014), referring to the example of Musikhane (a CMDP established in 1994 by the Music Department of the North-West University in Potchefstroom) and the UMF projects initiated by Mr John Roos (the former Deputy Director of the UMF) affirmed this in her paper read at the 2014 SASMT 92nd Annual National Conference referred to earlier. CMDPs, however, have not always followed community engagement best practices. Pressure by sponsors and the government have resulted in a forced “top-down” approach in order to adhere to transformation demands, yielding tokenism and poor-quality musicianship as an output. Moreover, because of fragmentation, best practices have generally been kept secretive, for fear of losing the “competitive edge” and preferential funding should information and resources be shared.

Cloete, Groenewald and Van Wyk (1996), authors of a practical guide to community development in South-Africa, advised against such a patronising and materialistic approach to development, done with a mentality of superiority. Growth and development become stunted if the beneficiaries are mere passive recipients, not participators in decision-making. Cloete et al (1996:4-6) recommended that community development must be people-centred: expertise must be identified within the community and the community must be directly involved with the decision-making processes. Development entails the acquisition of skills and abilities and the improvement of quality of life. It must therefore start from within the people, with an

emphasis on their responsibility, human dignity and self-help. The trust of the local community must be won and they must be made aware of their own abilities to change their circumstances by addressing the most pressing issues.

White and Robson (2011), relating their experiences with a community arts project at a school in a disadvantaged community in Northern England, added that it is very important to maintain good relationships and open communication channels with management to develop a mutually understood communal will. Glitches in understanding a project and its positive impact could cause relationships to falter when changes in senior management occur, threatening project progress and sustainability (White & Robson 2011:60).

Viewed against this backdrop, it becomes clear that there is a need for more direction and support in order to inculcate a culture of community engagement best practices in South African CMDPs.

1.4.3 The arts, community development, democracy and freedom

A complex relationship exists between economic freedom and cultural freedom because artists operate in a free and open market not only to achieve economic goals, but also to realise social and societal goals (Hagoort 2008:30). The arts and cultural practices raise awareness of democracy by speaking out against oppression and domination. Song has always been a means of political expression, providing activists with alternative means to reach the hearts and minds of supporters and adversaries alike (Meade & Shaw 2011:73). This has been a clear case in South Africa, where prior to 1994, music and the performing arts contributed significantly to

the fostering of popular resistance against apartheid across racial lines (Wenz 2012:19).

Imagination, creativity and emotion fulfil a vital role in sustaining and enriching community development, which has an intrinsic interest in fostering a democratic culture within and between communities and state institutions. Community development has become inextricably linked with active citizenship, social capital and participatory democracy. Because opportunities to engage in the arts are not broadly distributed, Meade and Shaw (2011:65) urged that the arts must maintain a reciprocal, symbiotic engagement with community development to reclaim the concept of democracy – or “democratic imagination” as they called it. To collectively transform the world for the better and to re-assert the place of the arts in communities, citizens should be encouraged to actively support and engage in the production, consumption and distribution of the arts as a means of self-help, regardless of cuts in public funding (Meade & Shaw 2011:67-70).

Whittaker (2014a:2, 7, 10) supported this notion of reclaiming democracy through the arts by citing the Field Band Foundation²⁰ as an example of an organisation that addresses the “unfreedoms” experienced by South Africa’s marginalised youth in an attempt to “re-engineer” them to effect a higher level of well-being and employability. By equipping them with transferable skills, they are afforded better career opportunities and they develop the freedom to choose a future life they value.

On the other hand, community arts could become overly prescriptive and trample over indigenous arts practices in its attempt to engineer democracy. It is therefore of the utmost importance that deep and open-minded community engagement practices

²⁰ The Field Band Foundation is a national CNDP that uses brass bands to teach life skills to disadvantaged youth.

must be maintained in order to create mutually respectful relationships (Meade & Shaw 2011:74).

1.4.4 Quality management enables sustainability

Community engagement is a two-way relationship and partnership between the service provider and the community. The definition of responsibilities, accountabilities and the development outcomes must be clearly defined in order to meet the needs of both partners, and to assist relationship-building among the stakeholders as a basis for project accountability and sustainability. A quality management system with a set of best practice criteria must be used to monitor effectiveness and the utilisation of resources to improve the design, implementation, monitoring and evaluation (M&E) of community engagement projects (Unisa 2011:2, 6-8).

The M&E process is often linked to the specific outcomes determined by grants and funding. To ensure strategically aligned and mutually beneficial partnerships, key sustainability issues (social, environmental and economic) must be included in the planning phase of community engagement projects, together with the detailed scope, budget and implementation plan to drive the M&E processes and to mitigate risks (Lazarus et al 2008:64; Unisa 2011:11-12). Babbie and Mouton (2001:369) distinguished between formative evaluation aimed at providing feedback for improvement, and summative evaluation completed to determine whether to continue funding or to terminate a programme. Evaluation methods could include needs assessment studies, programme monitoring and process evaluations, outcome and impact evaluations, and cost-benefit or cost-utility analyses. Most importantly, two important conditions must be met: that there has been “a positive change over time”

and that “such a change is in fact due to the intervention and not extraneous factors” (Babbie & Mouton 2001:369).

1.4.5 The Millennium Development Goals

The eight Millennium Development Goals (MDGs) were developed in 2000 to galvanise global efforts aimed at meeting the needs of the world’s poorest by the original 2015 target date (United Nations n.d.).²¹ Unisa (2011:4) as well as the University of Stellenbosch (Lazarus et al 2008:74) adopted the MDGs as a conceptual framework for planning and evaluating community engagement initiatives to direct them towards the common objective of global sustainable development.

Arts and culture activities play a vital role in achieving the MDGs, especially through the creation of jobs, social cohesion and gender equality in developing countries. This is a central message of the *Creative Economy Report 2010* released by the United Nations Conference on Trade and Development (UNCTAD) in 2010. Thus CMDPs, through the inherent qualities and power of music education, speak specifically to the following MDGs:

- Goal 1: Eradicate extreme poverty and hunger;
- Goal 2: Achieve universal primary education;²²
- Goal 3: Promote gender equality and empower women;²³
- Goal 7: Ensure environmental sustainability;²⁴
- Goal 8: Develop global partnerships for development.²⁵

²¹ Because the MDGs were not met by 2015, they were replaced and renamed the Sustainable Development Goals (SDGs) in 2016. The seventeen SDGs contain a renewed focus on people, prosperity, the planet, peace and partnerships to eradicate poverty to address global migration and terrorism challenges. A stronger emphasis has been placed on ethical business to ensure long-term sustainability in a global economy with lasting benefits to all communities (Cohen 2015:195).

²² Education has become Goal 4 of the SDGs and it now promotes lifelong learning.

²³ This became Goal 5 of the SDGs.

²⁴ The SDGs have a broader emphasis on water (Goal 6), clean energy (Goal 7), climate change (Goal 13) and ecosystems (Goals 14 and 15).

²⁵ The SDGs differentiate between inclusive, sustainable economic growth, development, production and industrialisation (Goals 8, 9, 12, 16 and 17).

Adopting these goals in an M&E framework will strengthen music advocacy efforts and enhance fundraising strategies.

1.4.6 Monitoring and evaluating CMDPs

Several South African researchers have also stressed the importance of monitoring and evaluating the impact of CMDPs on beneficiaries to assess sustainability and future improvement needs. Brand (2011:34-35, 54; 2014) noted that positive changes such as increased self-esteem, enhanced life skills, improved peer-interaction, improved discipline, behavior, academic performance and leadership qualities should be observed and used as a strategy to secure funding. Devroop (2009; 2012) advocated similar evaluations to help educators justify the need for participation in music education programmes.

Forum discussion participants at the 2014 SASMT 92nd Annual National Conference²⁶ concurred and added that the feedback provided by M&E contributes to the educational and artistic value of CMDPs and the development of the music education subsector as a whole. It also enhances continuous learning and realises the musical growth of the music teacher, and is therefore an essential component of professional development. Moreover, M&E can provide significant data about the impact CMDPs have on alleviating inequality and unemployment.

²⁶ Refer to section 1.3.1.3 for more information about this forum discussion and SASMT conference.

1.5 INEQUALITY, UNEMPLOYMENT AND JOB CREATION IN A GROWING ECONOMIC SECTOR

1.5.1 Inequality

Despite being classified as a middle income country with its vast levels of mineral resources and extreme wealth, the high level of inequality, structural unemployment and widespread poverty in South Africa threaten the social, economic and political stability of the country. Inequality causes poverty, lack of job creation and ineffective public services (Frye, Mothabi, Mathebula & Clancy 2012:29; Keeton 2014). Although wages in South Africa are comparable to those of other middle income countries, high unemployment results in a number of dependents in one household living below the poverty line (Coalition on Civil Society Resource Mobilisation 2012:28-29). Thirty-two percent of South Africa's children grow up in households where no adult is employed. Fifty percent of South Africans live on just R16 per day. Poverty significantly impacts young people's lives, compromising access to quality education and healthcare. Communities are marginalised because settlements are located far away from commercial centres which usually provide job access, urban amenities and social networks, leading to significantly increased travel costs. Moreover, gangsterism and substance abuse such as drugs and alcohol – and associated sexual harassment and violent crimes – are more prevalent amongst youth living in poverty as they attempt to escape from the harsh realities of their lives (Cohen 2015:17, 162,174-176).

Inequality received new impetus with the onset of the global financial crisis in 2008. The publication of French economist Thomas Piketty's book called *Capital in the Twenty-First Century* in 2014 also increased awareness about inequality as an outcome of capitalism (Keeton 2014). South Africa is one of the most unequal

countries in the world²⁷ and the gap is growing. Although less racially based than in the past, inequality remains high because over the past twenty years job creation has not kept pace with the growth in the labour force. Deep inequality persists, as evidenced by the country's Gini coefficient of 0.67 (Coalition on Civil Society Resource Mobilisation 2012:27; Keeton 2014).²⁸

To reduce inequality, South Africa needs better economic growth and the creation of millions of jobs to address unemployment. However, newly created employment mostly consists of skilled and semi-skilled jobs. Technology and automation are increasingly working against workers who perform low-skilled, repetitive manufacturing tasks; hence labour market inequality is closely interlinked with the poorly functioning education system. More and better Matric and tertiary qualifications are needed to improve access to better paid jobs. Seeing that South Africa already allocates a high share of its resources to education relative to other developing countries, greater political will and focus are needed to address unemployment (Keeton 2014).

1.5.2 Unemployment

Unemployment, a driver as well as a multiplier of income poverty, is one of the most vexing problems facing the South African economy, posing a serious threat to social and political stability and security (Frye et al 2012:30). Unemployment in South Africa averaged 25.27% from 2000 to 2015. A steady growth in employment in trade, business and community services was experienced in 2015 with the official unemployment rate at the end of 2015 standing at 24.5%. However, if the expanded definition of unemployment (which includes people who have stopped looking for

²⁷ Namibia and Seychelles have higher Gini coefficients.

²⁸ The Gini coefficient is used to measure income: "1" indicates complete inequality where one person has all the income, whereas "0" is indicative of complete equality with everyone earning the same.

work) is considered, unemployment is a staggering 33.8% (Trading Economics 2016).

The youth continue to be the most vulnerable. Fifty-two percent of South Africa's unemployed are youth under the age of 24, four times more than the rate for Sub-Saharan Africa (Cohen 2015:176). Annually thousands of new labour market entrants have increasing difficulty in finding jobs because the South African economy is simply not growing fast enough to accommodate them. This spells bad news for the future of the youth in this country, because research has shown that an individual who experiences unemployment early in life will have "repeated spells of joblessness" and lower future earnings (Bridgeland, McNaught, Reed & Dunkelman 2009:12).

To deal with inequality and unemployment, a radical economic shift is necessary to meet the government's target of creating five million new jobs by 2020 (Craven 2013). A decisive state intervention in strategic economic sectors is required in order to deliberately drive sustainable development, decent employment and regional development.

1.5.3 The Cultural and Creative Industries

The CCI sector has become one of the fastest growing sectors of the world economy, even during times of austerity following the 2008 economic crisis when the global demand for creative products and services continued to boom. The CCI proved to be more resilient than other economic sectors during these times of economic contraction. Linked with heritage and tourism, it has shown significant potential to alleviate unemployment and poverty (UNCTAD 2010). Per example, the economic contribution of the CCI to a city like Cape Town is so significant, that a single event

such as the 2012 Cape Town Jazz Festival (which lasted only three days) generated direct spending amounting to R50.8 million and contributed a value impact of over R98 million to the economy of the Western Cape. Besides, 922 temporary and permanent jobs were created (ESP Africa 2012).

As early as 1998 the potential of the music industry to create employment in South Africa was stressed in the *Cultural Industries Growth Strategy* (Dept of Arts, Culture, Science and Technology 1998). The South African CCI sector was finally ear-marked for high-growth when it was listed as a key economic growth sector in the *New Growth Path*, the *Industrial Policy Action Plan 2* and the *National Development Plan 2030* (NDP).²⁹ The NDP specifies that “the creative and cultural industries can contribute substantially to small business development, job creation and urban development and renewal” (National Planning Commission 2011:26). With the implementation of the Mzansi Golden Economy Strategy (MGE) in 2011, the South African government formally acknowledged the significance of this sector in the South African economy (Dept of Arts, Culture and Heritage 2013:13; Mashatile 2014).

1.5.4 CMDPs provide formal and informal employment

Education and employment disrupt the cycle of poverty... [T]rue economic freedom will come only when the opportunity to learn and cultivate a skill that can be used in the workplace is accessible to all South Africans (Cohen 2015:162, 175).

Citing the example of the Limpopo Youth Orchestra which employs its own students as peer-teaching staff whilst preparing them for a more formal qualification in music, Cohen observed that “creative education creates a pathway to employment” (Cohen 2015:175). CMDPs such as the Limpopo Youth Orchestra provide the skills required

²⁹ The *National Development Plan 2030*, adopted by cabinet in September 2012, outlined the creation of eleven million jobs by 2030, of which only five million will come from the formal sector. Another seven million jobs will have to be created through entrepreneurship (Cohen 2015:98, 191).

for employability in the formal and informal music teaching and performing environment. Even without an accredited tertiary qualification, a musician with a good training in and technical mastery of a musical instrument can find employment in the formal music industry and informal entertainment sector. Jobs such as playing in a symphony orchestra, military, jazz or rock band, providing background music at restaurants and corporate functions, busking and teaching privately are attractive options for a young person that has neither the required Matric qualification nor the financial resources to study fulltime at a tertiary institution to obtain a professional qualification. Thus community music tutors are able to make a reasonably good living. Powerful success stories include the examples of two remarkable Gauteng tutors with whom I am very well acquainted:³⁰ one managed to become self-sufficient as a young recorder/guitar teacher in Soshanguve despite being orphaned at the age of seventeen, whereas the other (who had received his music tuition as an inmate in a maximum security correctional facility) successfully started his own CMDP in Soweto after his release on parole.

There are also related career opportunities within the broader music industry for specialised professionals such as instrument technicians, sound engineers, agents, stage managers, events' managers, music technologists and engravers, and trained music shop assistants. These opportunities will become more abundant in future as the demand for music grows (Dept of Labour 2008). The need for more in-house instrument maintenance and repair technicians has already been highlighted by researchers such as Brand (2011) and Cloete (2006) as important strategies to support the growth of CMDPs. The Mangaung String Programme, for example, has appointed two former students as instrument technicians after they completed in-

³⁰ I have advised them both in a personal and professional capacity on several occasions.

house courses in the repair and maintenance of string instruments guided by master craftsmen from America and Belgium (Spies 2013-2014).

This section has served as a brief introduction to the job creation and economic growth potential of CMDPs. Because the CCI have become the source of vigorous debate and research very relevant to the financial sustainability of South African donor-funded CMDPs, this theme will be explored in detail and depth in chapter three. I shall now turn my attention to the delimitation of the study area and the ensuing research design of this thesis.

1.6 DELIMITATION OF THE STUDY AREA

1.6.1 South African donor-funded CMDPs

The focus of this research is the financial sustainability of private and institutionally-driven³¹ South African donor-funded CMDPs aimed at youth in marginalised, disadvantaged communities. These CMDPs aim to stimulate, develop and nurture creative talent amongst youth in poor communities who historically have had no access to music education. Their parents cannot afford to purchase musical instruments and they pay no or very nominal tuition and/or registration fees. These programmes do not intend to replace, but rather complement existing formal music education programmes to establish equity at all levels within the music education subsector as a measure to ensure sustainable growth and development for the future.

For the purpose of this study the term “development programme” was given preference over the more commonly-used wording “outreach project”. A project generally has a short-term focus with a beginning and an end, whereas a programme

³¹ Institutionally-driven CMDPs are usually referred to as “umbrella-affiliated” CMDPs, the term adopted throughout this thesis.

is a long-term initiative of a more permanent nature. Besides, outreach projects are strongly associated with volunteer activities and once-off events such as a single concert by a symphony orchestra in a township environment. The use of the word “development” was preferred because of the patronising nature associated with “outreach”. According to the *Oxford Advanced Learner’s Dictionary* (Wehmeier 2005:400), by definition the word “develop” means “to gradually grow or become bigger, more advanced, stronger” – which is precisely what CMDPs aim to do.

CMDPs have changed over the years in status and scope from single short-term, project-based outreach events initiated by orchestras and formal music schools to long-term, development-oriented initiatives associated with the training and development of youth in marginalised communities. Mirroring the development of community engagement at higher education level, CMDPs have thus sharpened focus and shifted from “community service” to “community engagement”. With the recent rise in scholarly research, CMDPs are finally engaging in the “scholarship of engagement” (Lazarus et al 2008:60, 75).

1.6.1 Financial sustainability

Financial sustainability refers to the long-term objective of an organisation to build capacity and resilience to become fully independent and operational with the aim of maintaining services and achieving maximum impact for at least five to ten years (León 2001:7). Financial sustainability and programmatic sustainability are closely interlinked,³² hence a holistic approach to financial sustainability, involving all administrative, human and financial resource systems (Brown 2014b; Wijnberg 2012) will be maintained throughout this thesis, with special reference made to the *Advancement* financial sustainability framework provided by Inyathelo, the Cape

³² This theme will be explored extensively in chapter four.

Town-based South African Institute for *Advancement*. The focus is specifically on donor-funded CMDPs, because achieving financial sustainability in the non-profit sector without any financial support is considered unrealistic (Kurian 2012:1).

To add meaningful relevance to the research results, the impact of the 2008 financial crisis was factored in by delineating the research sample to CMDPs established before or during 2011. Being older than five years, these CMDPs are already considered long-term social interventions.

1.6.2 Critical success factors

The word “critical” describes something that “is extremely important because a future situation will be affected by it” (Wehmeier 2005:348). Heizer and Render (1999:45) defined CSFs as “activities or factors that are key to achieving competitive advantage”, whereas Laudon and Laudon (2000:336) described CSFs as “a small number of easily identifiable goals shaped by the industry, the firm, the manager, and the broader environment that are believed to ensure ...success”.

Management, according to Lewis, Goodman and Fandt (1998:5) is “the process of administering and coordinating resources effectively, efficiently and in an effort to achieve the goals”. Effectiveness is seen as “pursuing the appropriate goals – doing the right things” whereas efficiency is described as “using the fewest inputs to generate a given output – doing things right” (Lewis et al 1998:5). Altogether these three definitions have provided a foundation for this research because the overall aim has been to identify the crucial management activities and interventions (the “right things” as well as how to do these “things right”) that make it possible for CMDPs to nurture financial sustainability.

1.7 FUNDING ISSUES AND FINANCIAL SUSTAINABILITY

1.7.1 South African conference recommendations

Over the past number of years I have attended five conferences (First South African South Atlantic Jazz Music Conference, Cape Town, 2006; Cape Festival Music Development Forum, Stellenbosch, 2010;³³ Tshwane University of Technology Community Development and the Arts International Conference, Pretoria, 2011; SASMT 91st Annual National Conference, Grahamstown, 2013 and SASMT 92nd Annual National Conference, Pretoria, 2014) where it was concluded that securing funding is the most critical issues faced by CMDPs in their efforts to sustain music education provision to our marginalised youth. The lack of government support was lamented and an urgent call for financial support and guidance issued every time, because of the increasingly difficult task to secure funding. Concern was also expressed over the lack of regard for the educational and social welfare and well-being of youth affected when CMDPs are abandoned as a result of a lack of funding.

1.7.2 South African research results

A lack of equitable and well-managed funding for the art, compounded by the poor funding of the Creative Arts as a school curriculum learning outcome, is having a serious impact on the growth of the creative sector in South Africa (Dept of Labour 2008:78, 86, 111). Several South African researchers have shared this conclusion, referring specifically to the funding issues and financial constraints that limit the growth and development of music education programmes.

³³ Initiated by Shirley Apthorpe, a South African-born opera critic residing in Germany, and hosted on 19 to 21 March 2010 by the Conservatoire of the University of Stellenbosch, this forum was an attempt to engage South African CMDPs and to encourage collaboration and cooperation through the establishment of a national network.

Spies and Groenewald (2005:11-12) discussed the financial difficulties of South African orchestras and called for more government support. They acknowledged the direct competition of more spectacular music events such as arts festivals and music shows which complicate appeals for funding and added that the spending of provincial budget allocations appeared to be problematic. They concluded that the answer to arts funding appears to lie in soliciting South Africa's new generation of the super-rich.

Cloete (2006:34) emphasised that teacher remuneration and transport costs inhibit the growth of the Mangaung String Programme, even though a small quarterly fee is charged to assist with travelling and instrument maintenance costs to alleviate the problem (Cloete 2006:18).

Devroop (2009:7) observed that the development of instrumental music performance in schools was inhibited because of a lack of musical instruments, aggravated by a lack of "funding to acquire such instruments".

Le Roux (2009:94) concluded that adequate funding, good infrastructure and logistical support were the all-important factors that enabled the sustainability of the Redefine CMDP in Kuils River, Cape Town. However, she added that learners considering pursuing music as a career after school faced serious higher education funding challenges for tertiary studies in music (Le Roux 2009:97).

Brand (2011:29; 2014) stated that a lack of financial resources and insufficient fundraising threaten the longevity of South African CMDPs. She concluded that "financial resources, transport and gaining the support of parents as well as the wider

community” are the factors that challenge sustainability the most (Brand 2011:2). Costs escalate because CMDPs often include feeding and clothing schemes to assist deprived learners, and take care of entry fees for eisteddfodau, master classes and external examinations. Parents’ inability to contribute to tuition fees, instrument hire and maintenance aggravate the heavy reliance on funding (Brand 2011:32, 41).

1.7.3 CMDPs in financial jeopardy

The relevance of financial sustainability and the detrimental effect of an over-reliance on funding were illustrated in 2012 and again in 2014 when the financial woes of the Johannesburg Philharmonic Orchestra made national headline news. Their financial disposition was aggravated by slow National Lotteries Distribution Trust Fund (NLDTF) pay-outs (Bokaba 2012) which eventually put an end to their in-house CMDPs. In 2014 their third symphonic season was postponed due to a lack of finance (Magubane 2014).

In 2014 the Simon Estes Music High School³⁴ in the southern suburbs of Cape Town abruptly closed down amidst rumours of financial mismanagement and corruption. Rent had not been paid in 2013 and teachers left because they had not received their salaries. The school’s financial woes arose because parents were not paying the annual school fees of R500 per year and the school could not survive on its annual support grant from the Western Cape Education Department alone (Oktober 2014; Sefali 2014).

³⁴ This school specialised in choral music and was established in 1997 by Simon Estes (the world-renowned bass-baritone and professor and artist-in-residence at the Wartburg College in Ohio) to provide specialised academic and music education to marginalised children.

These examples illustrate that an over-reliance on grant-funding could create a paralysing dependency. Besides, it is not only South African music education programmes and symphony orchestras that are in financial jeopardy.

1.7.4 International austerity measures

As a result of the international austerity measures which followed the world economic downturn in 2008, several international symphony orchestras lost their funding and suffered budget cuts (Silverman 2009:178). Salvage operations necessitated the Milwaukee and Minnesota Symphony Orchestras to restructure and cut operating costs with 11% by reducing the financial packages of musicians and administrative staff (Quinn 2013). Similarly, the London Mozart Players,³⁵ a famous British ensemble directed by the South African-born conductor Gerhard Korsten, became a player-run organisation in 2014 after the withdrawal of financial support by the local Croydon council. The ensemble henceforth forfeited the services of a managing director and administrative staff and the orchestra members themselves became responsible for securing performance opportunities and funding (Stevens 2014b).

Arts education has also become a casualty of budget cuts in favour of the reallocation of funds and curriculum time towards mathematics and reading instruction (Silverman 2009:178). Austerity measures have necessitated more entrepreneurial ingenuity, low resource requirements and staff volunteerism, especially in arts education and the pressurised arts voluntary sector (White & Robson 2011:62).

³⁵ The orchestra was founded in 1949 as England's first professional chamber orchestra.

1.7.5 Innovative approaches to funding

Global austerity measures have contributed to innovative and enterprising ways to approach funding, of which online crowdfunding³⁶ has become the most popular. I personally experienced a successful crowdfunding campaign when the UMF received a R230 000 donation from The Hall School in London, raised via the Virgin Money Giving platform prior to the school's choir and orchestra tour to South Africa in October 2013. The young school boys shared the crowdfunding link with family and friends – who made their donations directly to Virgin Money Giving – and at the end of the fund-raising term the money was paid over to the UMF (Steyn 2014).

1.7.6 The rise of financial accountability

In a society where fraud and corruption are rife, the accountability and responsibility of CMDP managers are now monitored closely to ensure good governance. Because access to funding is limited, effective and efficient financial management has become an increasingly essential requirement for the sustainability and longevity of CMDPs. Too often programme managers appear to have neither the relevant financial expertise nor the experience needed to attend to the long-term economic stability of their CMDPs, leading to the demise of such projects (Le Roux 2009:47). Financial reporting requirements demand stringent control and meticulous processes to track finances – where the money is going and how it is managed – to ensure that resources are used optimally and investment monies spent wisely and effectively.

1.7.7 New legislation

New legislation³⁷ has recently impacted directly on the management and financial sustainability of CMDPs. The Broad-based Black Economic Empowerment (BBBEE)

³⁶ Crowdfunding is discussed extensively in chapter four.

³⁷ These new acts will also be discussed in more detail in chapter four.

Codes of Good Practice amendments have harshly impacted the sustainability of community development initiatives that support white beneficiaries, with a significant effect on their ability to secure future funding (Gastrow 2012a).

The Protection of Personal Information Act of 2014 (POPI) has necessitated the introduction of privacy compliance measures in data management. Organisations need signed consent (of which proof must be available upon request) from donors and beneficiaries to distribute their personal information. Of special concern to CMDPs, is the requirement that extra care needs to be taken when personal information concerning minors is shared (Brown 2014a; Brown 2015:2).

In the *2014 Budget Speech* the Minister of Finance, Pravin Gordhan, announced a relaxation of the Income Tax Act restriction which requires that philanthropic foundations distribute 75% of their income generated annually. They are now allowed to distribute accumulated capital to worthy causes over a more reasonable period (National Treasury 2014:25) which enables them to build up reserves for times of need.

1.8 THE CSFs OF CMDPs IN SOUTH AFRICA

Although the main focus of this study is the financial sustainability of CMDPs, financial sustainability cannot be studied in isolation – addressing funding and financial sustainability issues requires a holistic approach. Over the past two decades my direct involvement with CMDPs has led to the identification of several CSFs that enable their survival. The impact of these CSFs on the growth and sustainability of South African CMDPs has been echoed by researchers such as Cloete (2006), Le

Roux (2009), Brand (2011) and Spies (2013-2014): the payment of teachers' salaries, procuring and maintaining instruments, transport and parental involvement have surfaced as common threads in their research. In addition, non-financial constraints such as teacher training, tuition quality control and safety and security issues have been highlighted. These pre-determined CSFs will now be introduced.

1.8.1 Teacher remuneration, turnover and morale

CMDP teachers are the driving forces behind CMDPs. They usually have a passion for music and its power as a vehicle of social change. However, teacher remuneration is a great expense; hence group tuition such as the Suzuki method (Suzuki 1969) is used to save on teachers' salaries and to address scheduling problems that arise from the general shortage of teachers. Although service-learning students are employed, their availability is usually limited to shorter periods. Peer-teaching students also assist, but they need mentoring and training. These staff issues aggravate the challenging working conditions CMDP teachers are exposed to on a daily basis. Even though they are driven by their inherent passion, not profit, challenging working conditions and low salaries cause low staff morale and high staff turnover. CMDP teachers therefore need to stay motivated because staff turnover has a detrimental impact on learners' progress and general programme continuity (Brand 2011:30-46).

1.8.2 Instrument procurement, maintenance and logistics

Without musical instruments, a CMDP cannot survive. Good student-model instruments are required for training purposes, and specialised instruments such as oboes, tubas, and double basses are needed for advanced ensemble training and performance purposes. Learners depend on accessories such as reeds, valve oil,

strings, rosin and cleaning equipment. Music books, stands, tuners and metronomes should also be readily available to facilitate good technique, sound production, posture, sight reading and rhythmic control. Because instruments and accessories are sourced from overseas, the procurement of these items is linked to the Rand/American Dollar exchange rate.³⁸ Exorbitant procurement and maintenance costs inevitably contribute to the sharing of musical instruments which limits practising opportunities and inhibits the progress of learners.

Musical instruments need regular maintenance and annual servicing – usually outsourced. Too often one sees a student battling with poor sound quality because of a malfunctioning instrument, worn strings or broken reeds. Although instruments are damaged through negligence because children (and parents) do not always grasp how valuable and fragile these musical instruments are, instruments are also lost when houses are burgled or learners robbed on their way to and from lessons (Brand 2011:31-46; 2014). Not only should pupils be taught how to clean and care for their instruments properly – proper rental contracts and maintenance plans should be in place to cover the safekeeping and maintenance of these instruments. In-house technicians should be trained to take care of on-site instrument maintenance and repair (Majno 2012:6; Brand 2011:56; Spies 2013-2014).

1.8.3 Transport

The need for safe, reliable and affordable transport is one of the most pressing matters CMDPs face daily, because pupils and their instruments need to get to lessons and concerts safely and punctually. Because of the legacy of apartheid, learners often have to travel great distances because they reside in remote townships. Transport problems are interconnected with punctuality, absenteeism and

³⁸ In 2015 alone the Rand lost more than 25% of its value against the Dollar.

safety issues. It interferes with the progress of learners, who often arrive late – or not at all. Absenteeism impacts on the rehearsals, progress and performances of ensembles. Transport problems escalate in the evenings and at weekends. Taxis accept cash payments only; thus the handling of large cash amounts (usually after hours) puts project leaders and students at risk. The availability and reliability of qualified drivers and the fraudulent abuse of CMDP transport resources used to conduct private transport enterprises for personal gain create further obstacles (Brand 2011:31, 40; 2014).

Van Niekerk and Salminen (2008:193) and Van Niekerk and Typpo (2012:76) reported that the children from the STTEP³⁹ Music School in Pretoria who were picked up by a bus sent to collect them, attended lessons more regularly than those who had to rely on other means of transport. Access to its own buses and drivers also eases logistics for the Mangaung String Project in Bloemfontein, but project expansion remains restricted because of the added burden associated with the cost of fuel and drivers (Spies 2013-2014; Cloete 2006:34). In contrast Golden Arrow, a bus company in the Western Cape, has been providing sponsored transport for the Redefine CMDP every Saturday morning since 2000. For safety these learners are collected at and delivered to various Golden Arrow bus stops predetermined by the project leader (Brand 2011:56; Le Roux 2009:35).

The regular occurrence of bus and taxi accidents in South Africa has necessitated greater caution regarding the provision of transportation. One such an accident rocked the music industry when on 8 September 2003, Albert Engel (well-known brass lecturer and wind band conductor from the Conservatoire of the University of

³⁹ The STTEP acronym was devised to acknowledge the South African Music Education Trust (S), the Tshwane district (T) under which Pretoria falls, and the then Transvaal Philharmonic Orchestra (T), no longer in existence, followed by EP for Education Project (Van Niekerk & Typpo 2012:87).

Stellenbosch) and seven young brass players from the Moravian Church in the Western Cape died in a fatal vehicle accident whilst they were traveling back after a concert in Namibia (Hitzeroth 2009).

The improvement of the public transport system has now been highlighted as a critical growth path in the NDP (National Planning Commission 2011) and by Finance Minister Pravin Gordhan (National Treasury 2014:9). Notwithstanding, transport problems are not a uniquely South African problem: transport was also reported as a creative arts education sustainability and CCI development constraint by Guttman (2005:23) and Florida (2005:200-201).

1.8.4 Safety and security

A violent South African society has resulted in various safety and security issues and legal implications for CMDPs. The valuable stock of musical instruments and equipment, and operating hours extending into late nights and over weekends to accommodate lessons, rehearsals and concerts, pose high security and safety risks. Musical instruments have a good second-hand resale value and they often disappear when left unattended during concerts, or are stolen and/or vandalised during house burglaries.⁴⁰ Moreover, possible risks and associated liability issues immanent when teachers and students travel into potentially dangerous townships areas to engage in tuition activities must be considered.

The vulnerability of CMDP teachers working in townships was exposed by an incident at the Mamelodi Music Project outside Pretoria in June 2008. After suffering a spate of smaller incidents which involved the vandalism of cars, staff members of the Mamelodi Music Project were ambushed in an armed robbery whilst teaching

⁴⁰ I personally suffered such a setback when my two saxophones were stolen during a house burglary on 18 January 2011.

after hours in a quiet building at the back of the school premises. Dr Pruneau, the music theory teacher and project leader, was held at gunpoint in the presence of a pupil. Her handbag, a colleague's car keys and a pupil's cellular phone were taken and the robbers escaped in her colleague's car. The project has since moved to the facilities of the *Afrikaanse Hoër Seunskool* in Pretoria in order to safeguard staff and pupils (Pruneau 2014).

On the other hand, CMDPs can provide a dynamic place of safety for vulnerable children who grow up in dangerous domestic environments characterised by crime, gangsterism and substance abuse (Cohen 2015:185). Respectable and secure infrastructure creates a "safe haven" for marginalised children participating in a CMDP (Le Roux 2009:48), introducing them to the "brighter side of life". Being exposed to music in such a positive environment offers a sense of security and belonging which creates happiness and enjoyment, contributing to the emotional well-being of these children (Glasgow Centre for Population Health 2015:8).

1.8.5 Parental involvement and community support

Although the wide-ranging positive impact of CMDPs on parents and greater communities has been recorded widely (Cloete 2006; Van Niekerk & Salminen 2008; Le Roux 2009; Brand 2011), a general lack of parental involvement and community support persists (Brand 2011:29). Parental involvement is impacted by the home environment, including factors such as the presence of both parents, their ability to read and write, and the prevalence of books in the house. Adverse life circumstances, high rates of hopelessness and depression, and domestic violence exacerbated by alcohol and substance abuse aggravate the cycle of parental absence and neglect (Coalition on Civil Society Resource Mobilisation 2012:33).

Several challenges associated with punctuality, instrument care and diligent home practice also arise when parents undervalue music education. Classical music, often regarded as Western elitist because it is seen as the music of “white” people, still has racial connotations. As a result musical instruments have been confiscated and sold by family members. Only once positive changes such as a heightened sense of responsibility and academic improvement become evident amongst the beneficiaries, are the project leaders and teachers accepted into the community (Brand 2011:33-34, 41-42; 2014).

1.8.6 Tuition quality control

Excellence inspires and raises aspiration. CMDPs require competent, experienced and committed teachers, because there is a necessity for high quality, professional work and accountability in music education at all times. Because instrumental teaching in CMDPs occur in individual as well as group classes, teaching strategies require flexibility, necessitating innovative teaching methods to ensure quality outcomes (Le Roux 2009:41, 78, 94).

Gregory (2005:3) cautioned against programmes that lack musical and artistic value when concerts and lessons are not musically challenging or rewarding. Majno (2012:60), referring to the issue of quality versus quantity, also called for acceptable standards complemented by controlled expansion of CMDPs. Hallam (2010:269) specified that the beneficial impact of music education on the personal and social development of children will only occur if attainable challenges are provided and the quality of the teaching and the pupil’s perception of success contribute to a positive experience in the long run.

Brand (2011:33; 2014) reported that the attitude of learners, notably a general sense of entitlement, contributes to a lack of commitment characterised by absenteeism, punctuality issues and inadequate lesson preparation and home practice. To set attainable challenges, improve quality and measure progress, CMDPs conduct internal examinations, host concerts and enter pupils for external examinations, music competitions and festivals to track and showcase learners' progress throughout the year (Van Niekerk & Typpo 2012:84; Spies, Nell & Massyn 2013-2014:23).

A harsh reality, however, is that many CMDP learners receive tuition from music tutors who themselves have only received informal training that has not resulted in their formal certification and accreditation because their training was offered by community-based arts organisations (Dept of Labour 2008:75-76). Many music teachers also have obtained unaccredited qualifications through music examination boards.⁴¹ Although the United Nations Conference on Trade and Development (UNCTAD) recommends vocational training as a key measure to supply creative workers for the development of the CCI (UNCTAD 2010), vocational training in music education in South Africa is insufficient following the discontinuation of the Unisa music licentiates (Unisa 2013). Although some relief was granted through the formal ratification of the Unisa graded music examinations as formal Short Learning Programmes in 2014 (Unisa 2014), the only way to obtain a professional music teaching qualification nowadays is through higher education channels – a luxury out of reach of most community music tutors and symphony orchestra training cadets.

⁴¹ Music examination boards still very active in South Africa today include the Associated Board of the Royal Schools of Music and Trinity College/Guildhall.

1.9 RESEARCH PROBLEM AND OBJECTIVES

In the light of the foregoing, the research problem and objectives underpinning this research will now be introduced.

1.9.1 Research problem

By uplifting the individual as well as the broader community, the playing of a musical instrument creates what Suzuki (1969) referred to as “better citizens”. Music education also supports the development of the performing arts and associated economic growth, job creation and nation-building through the development of the CCI. Furthermore, community engagement is not only a social development and transformation imperative, but a key directive of higher education. However, unlike developing countries such as Venezuela and Brazil where music education is growing, the delivery of music education in South Africa is dwindling. The Department of Labour reported as early as 2008 that several constraints inhibit the development and growth of music education programmes:

- Inadequate support, administration and governance;
- The lack of capacity for the accreditation of training programmes;
- Inadequate research to inform programme planning and advocacy;
- A lack of human resource development to train teachers and managers;
- A critical lack of equitable, well-managed donor funding (Dept of Labour 2008:85-86).

Music education is expensive. If it were not for CMDPs, very few children in South Africa would enjoy the opportunity of playing a musical instrument. However, attempts to garner united support for CMDPs have not been successful. In 1998, the SASMT attempted to establish a national database of CMDPs, known as the

Register of Music Outreach Programmes in South Africa (MOPSA). Despite the existence of many CMDPs at the time, only thirteen responded to the call for information and their details were published by the SASMT (*The South African Music Teacher* 1998:13-15; Van der Merwe 2006). Of those initial thirteen CMDPs, only a few remained active when this research project commenced. How did they nurture their longevity? Why did the others not survive? What role did funding play in their demise? What can be learnt from their successes and failures to guide other CMDP project leaders towards sustainability? These questions have led to the formulation of the following research questions which I shall aim to answer through this research study.

1.9.2 Research questions

The main research question is:

What are the CSFs that have enabled South African donor-funded CMDPs to survive for more than five years?

The following sub-questions have flowed from the main research question:

- 1 *What is the significance of South African CMDPs? What are the benefits of these programmes on marginalised youth?*
- 2 *As a CCI subsector, how can CMDPs contribute to economic growth, job creation, nation-building and social cohesion in South Africa?*
- 3 *What is financial sustainability and how is it achieved? What does a CMDP project leader need to do to ensure financial sustainability?*
- 4 *How does one source funding from new and existing funders?*

1.9.3 Research objectives

The primary objective of this study has been to identify the CSFs that enable the financial sustainability of donor-funded CMDPs in South Africa. The aim was to devise a framework with recommendations for the use of CMDP project managers to guide their CMDPs towards financial sustainability.

The secondary objectives have been:

- To strengthen advocacy efforts about the transformational power of music education on marginalised youth;
- To aid future policy-making by creating awareness about the shortcomings in existing cultural policies and CCI development strategies;
- To research funding theory and best practices to enhance CMDP fundraising capacity to optimise the utilisation of available funding resources;
- And lastly, to make a personal contribution to the growth, development and sustainability of music education in South Africa by applying as well as enriching my own specialised, interdisciplinary skills and knowledge.

1.10 RESEARCH DESIGN AND METHODOLOGY

1.10.1 Interdisciplinarity

An interdisciplinary research approach was selected because interdisciplinarity enables the presentation of a broad, overall view of research concentrating on specific practical problems (Hagoort 2008:14-15). The interdisciplinary nature of this research project has drawn on the disciplines of music education and business management, with specific reference to the management of non-profit organisations

(NPOs)⁴² in the context of community music education. The style guide of music, my home discipline, was followed; hence a qualitative research design with an open and emerging multi-methods approach was applied.

1.10.2 Qualitative research paradigm

A qualitative research paradigm was selected both in intention and approach, seeing that it has framed my world-view as a music teacher. My departure point was to develop an insider's perspective of CMDP management challenges with the aim of gaining insight into what constitutes CMDP financial sustainability, why it is important, and how to nurture it. Through a rich, detailed and in-depth description I have aimed at better understanding the successes and failures of CMDPs within this context, by capturing a sense of the actions, behaviours and practices that enhance the financial sustainability and longevity of CMDPs in South Africa. Therefore an empirical interpretivist qualitative research design with an inductive analytical research approach was followed. This open approach enabled a detailed engagement with flexible design features which involved using multi-methods with multiple data sources and collection techniques, as recommended by Babbie and Mouton (2001:53, 270-280).

1.10.3 Purposive sampling

Through non-random purposive (also known as judgmental) sampling, respondents (current or former representatives from donor-funded South African CMDPs that were established in or prior to 2011) were selected to participate in this study. Snowball sampling was used to further locate respondents in faraway provinces

⁴² This generic term will be used throughout this thesis to refer to all non-profit entities, regardless of their legal structure. The acronym NPO denotes the singular form.

through reference by individuals and research participants (Babbie & Mouton 2001:167).

Purposeful sampling was also used to select the seven elite interviewees – music education executives who were chosen because of the positions they occupy, or had occupied until recently.

In addition, as Babbie and Mouton (2001:166) advised, specific “deviant cases” (CMDPs that have not survived) were approached for information. Thus representatives of defunct CMDPs were located through the MOPSA register (*The South African Music Teacher* 1998; Van der Merwe 2006) and contacted per telephone and email to gain insight into the CSFs that have contributed to their demise.

The final research sample was chosen based on the delineation criteria and my own judgment formulated by my in-depth knowledge of CMDPs and the music education environment in South Africa. Purposeful sampling resulted in a smaller, focused number of respondents, but it maximised the range of specific information that could be obtained from a wide variety of respondents located all over the country (Babbie & Mouton 2001:166-167).

1.10.4 Data collection and analysis

An electronic questionnaire containing an extensive list of structured questions was chosen as the main data collection tool, because it facilitated the collection of large amounts of data – in a short time at a fairly low cost – from a variety of widely-spread respondents. Creswell (2013:159; 2014:193) recommends using electronic

questionnaires in qualitative research, because they essentially function as web-based interviews, conducted via email to collect all the data in the same electronic format in order to ensure the production of reliable, replicable and valid results.

Inyathelo's *Advancement* model guided the thematic financial sustainability framework used in the design of the questionnaire. The questionnaire was informed by questionnaires used in several other research studies (Brand 2011, Le Roux 2009, *The South African Music Teacher* 1998, León 2001, Guttman 2005, Wolf & Antoni 2012, Foresters Community Finance n.d.; CMDS n.d.), augmented by a list of structured questions regarding CSFs identified through the literature review and problem statement.

The electronic questionnaire data collection process was complemented by several semi-structured telephone and email enquiries conducted to collect information about so-called "deviant cases" – defunct MOPSA projects.

Towards the end of the data analysis process, seven elite interviews were conducted for triangulation purposes. The aim was to acquire the overarching management perspective of these music education executives and their unique, subjective interpretation of CMDP financial sustainability. Because a good command of the material was essential to conduct meaningful elite interviews, these interviews took place during the latter stages of the research process, when the themes and arguments for the analytic narrative had already emerged (Moyser n.d.; Richards 1996:200; Hochschild 2009:2-5). Meticulous notes were taken during the telephone enquiries and elite interviews, with the latter voice recorded for back-up. After each interview I carefully transcribed these notes into detailed texts for analysis purposes.

Qualitative analysis methods such as analytical deduction and elements of grounded theory and content analysis were used to analyse the data obtained through the questionnaires, telephone and email enquiries, and elite interviews. Analysis and coding were done by hand, complemented by some basic computer-based data analysis done with Microsoft Word (MS Word) and Microsoft Excel (MS Excel) to examine frequency and magnitude for detailed, novel insight and added depth, as recommended by Creswell (2013:199).⁴³ Comparative analysis and logical deduction were used to identify the main themes until saturation occurred, and no further light could be shed on the properties of each theoretical category.

A grounded theory approach was taken, because true to the qualitative research paradigm my intimate familiarity with the topic – in which I hold a decided stake because it has positively impacted my life and career over so many years – has enabled me to become embedded in the research process as the main data collection and analysis instrument (Charmaz 2008:156-167; Glaser & Strauss 1967). I aimed to gain trust and establish rapport with respondents, but remained unbiased in the description and interpretation of the data to generate “truthful and credible inter-subjectivity” and credibility (Babbie & Mouton 2001:273).

1.10.5 Ethical considerations

To ensure rigour in the research process preparation and to elicit trust and rapport with the questionnaire respondents and elite interviewees, the privacy and confidentiality of the participants were guaranteed and their written consent was obtained upfront through consent letters, as demanded in contemporary ethical research practices (Richards 1996:201). To mitigate risk, raw data was stored in

⁴³ Advanced statistical analysis was not incorporated, because the qualitative research approach excluded an intention to prove causality.

locked cupboards in locked rooms at my home, and electronic data protected by passwords on my personal computer. Copies of the electronic data and analysis documents were saved on two flash drives stored separately. Ethical clearance was obtained from the University of the Free State.⁴⁴

1.10.6 Validity, reliability and trustworthiness

The use of multiple methods ensured that data could be collected from different sources and points of view for triangulation purposes to ensure trustworthiness. Triangulation has added breadth, depth and insight to the research and has assisted with overcoming the personal biases associated with single methodologies (Riley 2012:24). As Babbie and Mouton (2001:275) asserted, the use of triangulation is “generally considered one of the best ways to enhance validity and reliability in qualitative research”.

Credibility was achieved through prolonged engagement.⁴⁵ For confirmability an audit trail was maintained through the proper documentation and filing of raw data, analysis and synthesis products, process notes and instrument development information (Babbie & Mouton 2001:278). Transferability was achieved through the provision of a thick description obtained through purposive sampling, and the overlapped methods used in triangulation contributed to dependability.

Because I have been so actively and deeply involved with CMDPs at different levels for many years, this “insider’s view” – typical of qualitative research – provided valuable insight, understanding and trustworthiness which have contributed to the

⁴⁴ The ethical clearance number is UFS-HUM-2014-47.

⁴⁵ Overall, this research study was undertaken from 2006 to 2016.

reliability and credibility of the research results. Through reflexivity extra care was taken to remain objective and unbiased in order to avoid subjectivity.

1.11 CHAPTER LAYOUT

The structure of this thesis is as follows:

Chapter 1: Introduction and background, problem statement and research methodology

In this chapter the background to and rationale for this research were introduced through reference to the current music education scenario and the rise of CMDPs in South Africa, my own professional background, fragmentation in the music education sector and a brief look at the funding and financial sustainability crisis that has permeated the arts worldwide. The scope of the research study was delineated, followed by a discussion of the CSFs identified by numerous researchers as key to the sustainability of CMDPs in South Africa. An introduction to the research design, methodology and ethical considerations preceded this chapter layout. Chapter one concludes with a summary of the value of the research.

Chapter 2: Hope through music

In the second chapter the concept of social transformation through music is introduced by reference to the power of music to uplift the individual, society and the economy. Historical and current international examples of CMDPs provide a background to a detailed discussion about the impact of music tuition on the development of youth and the broader community. After reference to the importance of multicultural and intercultural music education, the concept of service learning and

the establishment of partnerships as strategies to secure sustainability in CMDPs are introduced. The chapter concludes with a reminder about the true value of music.

Chapter 3: The Cultural and Creative Industries: Economic development through music and the arts

In chapter three I explore the potential of music and the performing arts to contribute to economic growth and job creation as a subsector of the CCI – globally earmarked for high growth. South African research reports, recent strategies and policy development initiatives are discussed to determine how this sector can contribute to job creation, social cohesion and nation-building as part of an economic turnaround strategy for the benefit of the country as a whole.

Chapter 4: Exploring financial sustainability

Financial sustainability is the focus of chapter four. The chapter commences with a global view of the funding crisis, followed by a discussion of the problems experienced by South African NPOs. A description of the financial sustainability measures pioneered by Chang and Tuckman (1991) introduces the concepts of revenue diversification, concentration and different funding models. From a South African perspective Inyathelo's⁴⁶ *Advancement* model is discussed, incorporating leadership, governance, human capacity, organisational strategy and planning, voice and visibility, building external relationships, financial management, fundraising and M&E. Fundraising issues such as new fundraising tools, funding proposals and relationships with donors are investigated next, and the chapter concludes with an exploration into the challenges associated with arts funding and management.

⁴⁶ Inyathelo is a Cape Town-based non-profit support organisation.

Chapter 5: Data analysis and research findings

Chapter five details the research methodology and data collection and analysis processes. The motivation behind the chosen research design and sample is explained, and the concept of interdisciplinarity introduced. The description of the research methodology focuses on the selection of respondents through purposive sampling, the compilation, distribution and collection of the electronic questionnaire, the complementary telephone and email enquiries and elite interview processes. Validation and trustworthiness strategies are introduced before the research results are summarised and visually displayed through graphs and tables. The chapter concludes with an in-depth discussion of the implications of the research findings and a few final words of wisdom from the elite interviewees.

Chapter 6: Conclusion

The final chapter commences with a summary of the literature and empirical findings, where after the shortcomings in South African cultural policy are discussed. The framework of financial sustainability recommendations for CMDPs is followed by the discussion of the limitations of the study and suggestions for further research, before the final observations are made.

1.12 VALUE OF THE RESEARCH

The value of this research lies in the in-depth perspective of the financial sustainability of CMDPs in South Africa that has been obtained through a thorough and prolonged qualitative investigation. The research findings, supported by the extensive literature review and observations from my own personal and professional background, have revealed a unique insider's view that has generated novel insight.

The interdisciplinary nature of this research has introduced a fresh and valuable holistic approach to music education research. Interdisciplinarity was enabled through my expertise and experience as a performing musician and music teacher, complemented by my MBA studies which not only equipped me with a solid business administration background, but also opened the door to a career in music education management at executive level. The research results have significantly grown my own professional knowledge, insight and development, enabling me to henceforth focus on a career dedicated to nurturing CMDPs in South Africa through continued research and practice.

The research results of this study will enhance fundraising and advocacy efforts to grant greater access to music education for marginalised youth, thereby creating hope and a better future outlook for millions of young unemployed South Africans – the musicians and audiences of the future. The recommendations will assist in maximising growth and development in the volatile music education industry, creating a feed-back loop that will enhance not only music, but the CCI sector as a whole. The knowledge and insight created are employable and transferable to other arts genres as well as complementing subsectors such as sport, leisure and tourism, nurturing a much bigger and broader social upliftment, development and cohesion platform for South Africa and the entire African continent.

1.13 CONCLUSION

For many years there has been a dire need to track CMDPs set against the mixed cultural backdrop of our unique South African rainbow nation, to enable stakeholders to share information and resources in order to learn from and support one another.

Development initiatives, interventions and the establishment of partnerships to build capacity of voices should be a priority concern for all within the broader music and performing arts CCI subsector in South Africa if we are to ensure the future of our orchestras, concert halls, opera houses, theatres and recording industry. Moreover, if the CCI are to be harnessed as a vehicle to address inequality, job creation and nation-building, we need a unified front to attract government support.

Despite the decline in government support for the performing arts we have witnessed the emergence of private orchestras, opera companies, music schools and even classical music radios stations, spearheaded by the remarkable international success of South African musicians such as Gerhard Korsten, Ben Schoeman, Petronel Malan, Johan Botha and Pretty Yende. Jazz musicians such as Abdullah Ebrahim, Hugh Masekhela and Miriam Makeba have also successfully carved out international careers. In 2013 the all-male a capella singing group Ladysmith Black Mambazo was awarded their fourth Grammy award, followed by flautist Wouter Kellerman in 2014 with his first. In 2015 the young tenor Levi Sekgapane won several major international singing competitions. Their success stories will continue to inspire and enthuse many young South African musicians and performing artists in the years to come.

There is an abundance of natural musical talent in this country, and this talent must be channelled into strengthening the South African economy, not draining it. We need more musicians, technicians and business people actively involved in the local music teaching, performing and recording industry and to grace the international stage. We also need more people to become supporters of live music concerts and events, not merely collectors of music recordings, or worse, collectors of pirated

copies of music recordings. And we desperately need more music teachers. CMDPs provide the perfect incubation that can make this happen in order to nurture a brighter, more creative future for South Africa.

CHAPTER 2

HOPE THROUGH MUSIC

2.1 INTRODUCTION

Music education has the power to change the lives. The benefits of music education on the social, cognitive and emotional development of children have been recorded widely; hence music is increasingly being employed as a vehicle of social change. Spearheaded by the work of Venezuela's El Sistema Programme and the philosophy of its founder/leader Maestro José Abreu, community music development programmes (CMDPs) offer hope for the future because music provides relief from dire socio-economic circumstances characterised by inequality, unemployment, substance abuse and crime.

In this chapter I explore the power of music to offer hope by first giving a brief historic overview of how music has been used to uplift communities in recent centuries. I then proceed to report on the importance of arts education, zooming in on research relating to the intellectual, emotional and social skills acquired through music education, notably the playing of a music instrument. The importance of lifelong learning and intercultural education in and through music are discussed briefly, leading to an overview of peer-teaching, service learning and partnerships in music education today. The chapter concludes with a few cautionary remarks about "selling" music through non-musical concepts rather than music itself.

2.2 THE POWER OF MUSIC

2.2.1 As in music, so in life

In virtually every advanced civilization and ancient culture as far apart as Mesopotamia, India and Greece, music has been regarded as a powerful force of good or evil. Tate (1984:15) illustrated this using the example of ancient China, where (according to the *Shu King* ancient Chinese text) the Emperor Shun reviewed the state of the nation by checking for perfect pitch correspondence between the five notes of the Chinese musical scale in different regions. According to Tate (1984:17) “music ... could be applied in order to create change, for better or for worse, within the character of individual man; and ... within society as a whole”. This power of music was also strongly advocated by ancient Greek philosophers who maintained that it was indispensable in education because of its potential moral influence which could shape the development of human character (Bowman 1998:35).

Many of the modern fundamental philosophical discourses about the potential of music to uplift society (or corrupt its listeners) have found their first formulations in Plato’s writings. Plato believed that music had the power and ability to enhance or even undermine society and state security (Bowman 1998:20). He considered music an “emotional force” with the “power to move and stir ... strengthen or weaken, soothe or arouse” (Bowman 1998:31). This affective power could “guide people towards right dispensations, attitudes and actions” and thus played “an important role in creating and maintaining people’s commitment to the common values essential to social cohesion” (Bowman 1998:45).

Whereas Plato’s conception of music revolved around its moral uses, Aristotle focused on its immediate benefits and observed that it had the capacity to provide

relaxation and refreshment: music “makes the hearts of men glad” and “contributes to the alleviation of past toils and pains” (Bowman 1998:54).

This idea that music exerts an influence over the character of man has persisted beyond the time of Christ, the Middle Ages, Renaissance and even the last century. Boethius believed that music has therapeutic powers that could cure “ills of both the mind and the body”; it weans people away from “the deceptive material world, directing them to wisdom and certain knowledge” and the “summit of perfection” (Bowman 1998:64-66). Even feminist and postmodern theory has recognised music as “an instrument of power” and a “socializing influence with potent political force” (Bowman 1998:406-407).

2.2.2 The rhythm of life

Music is very physical. The air vibrations of sound are real and measurable, capable of shattering glass. Rhythm is a strong force: military experience from centuries past has taught the necessity of breaking step when marching soldiers cross a bridge, because their marching rhythm can cause the collapse of such constructions (Tate 1984:26). Experiments have shown that certain types of music cause hens to lay more eggs and cows to give more milk; even geraniums “listening” to Bach’s *Brandenburg Concertos* grow faster (Tate 1984:141-143).

Music affects our physical body too: from digestion, circulation and respiration to the neural networks of the brain. It stimulates skeletal muscular activity and has a strong influence on heartbeat, tending to bring it somewhat into conformity with the rhythm of the music itself (Tate 1984:136-138). It is therefore not surprising that music and music education programmes have been used to restore and uplift communities.

2.2.3 The restorative and uplifting power of wind band music

Wind bands have been of historical significance because of the important role they played in uplifting disadvantaged socio-economic communities in Europe and America in the nineteenth and twentieth centuries.

Newsom (1994:78-79) described how employers in nineteenth century industrial England enthusiastically encouraged their factory-workers to participate in music-making, hopefully thinking that they would then be “less likely to become involved in potentially disruptive activities”. Highly competitive wind bands existed at different factories, and practical businessmen supported these bands. They served a definite purpose in strengthening morale and business; therefore workers were permitted to rehearse during working hours. Their music-making activities closely resembled commercially sponsored sport events of today, with well-planned competitions among rival bands drawing huge crowd support (Newsom 1994:78-79). Kierman (2009/2010:45) elaborated about the social upliftment role of the Victorian brass band movement and observed that industrialisation significantly contributed to its growth, because instrument manufacturing became cheaper. British colonial expansion to India contributed to the brass band movement proliferating there, leading to India having the highest number of professional brass players in the world at her time of writing, namely 800 000 (Kierman 2009/2010:46).

Newsom (1994) drew a comparison between the British amateur brass band movement and a parallel brass band movement in the United States, where the military played a notable role in supporting professional and amateur musicians during and after the American Civil War. Bands received private subscription and public funds administered by local officials and private industry.

Bly (1994:198) discussed the increasingly important role played by wind ensembles in the general education and music development of young adolescents in continental Europe after the destruction of World War II. By 1994, 500 bands had been established in Hungary and over 7200 amateur bands existed in Germany.

In contrast, Akiyama (1994:202-205) described the wind band development that took place in Japan after World War II. Reflecting the state of the country at the time, music education suffered from infrastructure shortages, a lack of musical instruments and too few teachers. The adoption of a new school grade system in 1947 introduced instrumental music programmes alongside existing vocal programmes, but quality instruments, books and music were hard to find. Japanese publishers therefore rebuilt the music education system with their own indigenous materials, a series of national band contests and the publication of professional journals (*Band News* and *Japanese Music Educators Journal*) to increase repertoire awareness and improve performance techniques. The Yamaha Corporation began making wind instruments in 1965 and quickly established a leadership role in the promotion of music programmes through numerous clinics presented by foreign musicians, teachers and orchestras.

Notwithstanding these historical milestones, even more fascinating in scope and scale are the 21st century South American music programmes.

2.3 CONTEMPORARY PERSPECTIVES OF CMDPs

CMDPs are flourishing in South American countries such as Brazil, Argentina, Colombia and Venezuela. Gradually established over the past few decades, these

programmes have attracted the attention of the music education fraternity world-wide. Large-scale CMDPs have been rolled out in Brazil (Projeto Guri 2002, 2005), Colombia (Miles 2006) and Venezuela (The Orchestra 2000; Roberts 2007; Majno 2012) in an effort to combat unemployment and associated gangster activities such as drug abuse and crime. As motivated by Mendez (2014), executive director of the Simón Bolívar Music Foundation in Venezuela, “each concert is a brick towards constructing a more inclusive society, and each note a step towards eradication of our youth’s material and spiritual poverty”.

2.3.1 Brazil

The Brazilian Guri Project, founded in 1995, is a government project of the State of Sao Paulo and the State Department of Culture, administered by a registered non-profit organisation (NPO) and financially supported by sponsors such as Anglo American Brazil. The aim of the project is to develop self-esteem and a sense of citizenship through music (*Projeto Guri* 2005). Pupils are drawn from less favourable neighbourhoods and they receive group classes in instrumental music tuition, guitar and choir (*Projeto Guri* 2002).

2.3.2 Venezuela: El Sistema

The Venezuelan National System of Orchestras and Choirs (El Sistema for short), a programme offering tuition to about 500 000 children by 11 000 teachers (Rodriguez 2014; Devroop 2014), has been described by the United Nations as “a model for the rest of the world” (Roberts 2007) and by Sir Simon Rattle as “the most important musical initiative of our time” (Majno 2012:56). El Sistema views the musical ensemble as a metaphor for a harmonious community. Founded in 1975 by social crusader José Antonio Abreu, the goal of the programme has been social rescue

through music. The orchestra is used as a vehicle of social change to impact local communities by turning out better people and citizens through the rigour, discipline and teamwork learnt by making music together. Daily music engagement “rescues” participants from social ills such as drug abuse, gangsterism, prostitution and unemployment. The programme is funded by the Department of Social Affairs – not Education or Culture as is normally the case elsewhere. The still-expanding network of around 371 núcleos (the local music schools) and approximately 1000 instrumental and vocal ensembles provide the basic training and performing opportunities in all the Venezuelan states – even the remotest regions. Ensembles are also run in hospitals and even prisons: for every hour of music study, incarceration time is reduced by one hour. In addition El Sistema engages in extensive music tuition for students with disabilities, featuring their famous white glove ensemble for hearing and vocally impaired children. Over two million Venezuelan children have benefited from El Sistema’s music education and their families and communities have been transformed (Majno 2012:5; Devroop 2014).

Ensemble playing is applied on a large scale and culminates in the Simon Bolivar National Youth Symphony Orchestra – one of the best youth orchestras in the world. The orchestra is known to play with great versatility, technical skill, musicality and Latin American temperament, representing the soul and spirit of Venezuela. Gustavo Dudamel, celebrated conductor and Music Director of the Los Angeles Philharmonic, is a former member and current conductor of the Simon Bolivar National Youth Symphonic Orchestra (Roberts 2007; Majno 2012).

Tuition is open to all and free of charge, with optional contributions for those who can afford to pay. A very early start at preschool age is encouraged and training is

staggered along progressive lines using several methods such as those of Kodály, Suzuki and Dalcroze. Discipline and commitment are cultivated through regularity and intensity of training, therefore the núcleos function four hours a day, six days a week. Learners are provided with instruments, tuition and occasional transport. All teaching and learning happen in the ensemble; only after about six years of tuition do they receive individual instrumental and theory tuition (Majno 2012:50; Devroop 2014). With an extensive instrument repair and maintenance programme included, each núcleos employs approximately five technicians. El Sistema is now considering expanding into instrument manufacturing (Devroop 2014).

On the downside, El Sistema has recently come under fire in a sensational 2014 publication called *Orchestrating Venezuela's Youth*, by Geoffrey Baker (2014). In the book Abreu, the founder of El Sistema, was depicted as a manipulating, autocratic leader and politician who associated closely with Chavez, the controversial former Venezuelan president. Sustainability issues resulting from rapid growth and succession planning problems were highlighted, and allegations of fascism, brain washing, quasi Mafioso activities, and alleged human rights' abuses surfaced. These sentiments were echoed by Pienaar (2016), who had visited El Sistema in person in 2014 and observed afterwards that there was too much "window-dressing". Pienaar (2016) found a secretive organisation operating amidst a climate of fear. The South African delegation was transported in armoured vehicles and they were not permitted to speak to or communicate with the children – the main beneficiaries. The children appeared to be under duress and did not seem to enjoy their daily music-making. Alarmingly, "like little robots", these children had to wait and work long hours in hot, cramped venues with no refreshments at all. There appeared to be no regard for other school work and subjects such as mathematics or science (Pienaar 2016).

In conclusion, Baker (2014:202-204) cautioned against Venezuela's over-production of professional musicians and the fueling of their dreams whereas insufficient tools and opportunities were provided to support them locally.⁴⁷ As a result, many professional Venezuelan musicians have left for employment elsewhere such as playing in international orchestras.

2.3.3 El Sistema's world-wide footprint

Regardless of the recent negative publicity, El Sistema continues to inspire music programmes all over the world. Amongst others, it has been copied in England (known as Sistema England and In Harmony), Scotland (called The Big Noise) and the United States of America, where 117 El Sistema-inspired programmes were identified in 2014 (Hamm 2014). These programmes all serve as public/private partnerships offering complementary services to the state's provision of music education. Limited public funding is combined with private contributions and the individual resources of musicians to secure continuity and sustainability (Majno 2012:58-59). Government infrastructure and public services such as schools, cultural and art centres provide additional support (Wyatt 2015). Research conducted amongst the American El Sistema-inspired programmes showed that their largest share of funding came from foundations (48%), followed by individual donors (28%), with corporate support (8%) and public funding (7.6%) lagging far behind (Hamm 2014).

A long-term study was conducted from 2013 to 2015 by researchers from the Glasgow Centre for Population Health to assess the economic, educational and community impact of the Sistema Scotland's Big Noise programme. They concluded

⁴⁷ Declining oil prices and political developments contributed to Venezuela hitting world news headlines throughout 2014 to 2016 as I was finalising this thesis.

that the programme had the potential to “significantly enhance participants’ lives, prospects, health and well-being”. Participating children had higher school attendances, improved handwriting and greater confidence. The cost-benefit analysis showed that the payback point could be achieved at around six years (Glasgow Centre for Population Health 2015:15-17).

Across the world El Sistema-inspired programmes all share the common goal of using music as a catalyst for social transformation, by applying three main strategies:

- *Community involvement* is prioritised through regular performances, rallies and institutional partnerships, and by reaching out to parents, schools, churches, stores and clinics to develop a better understanding of all the stakeholders (Tunstall 2015a).
- *Social cohesion* is fostered by following a two-track system that focuses on social inclusion (by servicing marginalised communities – historically excluded from music education) and ensemble playing, to bring together children from different socio-economic backgrounds for group music-making. Thus these children transcend their social-cultural differences and become friends through music (Southard 2014). Exchange projects between El Sistema-inspired programmes from different countries further provide valuable multicultural learning, performing and travelling opportunities for disadvantaged young musicians (Anon 2014e).
- *Pursuing excellence*: El Sistema-inspired programmes pursue excellence, as introduced by Maestro Abreu to raise musical standards and expectations from the ground up. Children practise hard to be able to audition for the top orchestras (Southard 2014). American El Sistema-inspired programmes use the term “teaching artist” to capture the professional identity of music

performers who actively engage in such “aesthetic education” (Tunstall 2015b). Sistema Scotland pursues excellence as a goal throughout the entire programme: from musical excellence, ambition and ability to rigorous recruitment processes to identify highly skilled and motivated candidates, musicians and board members. Strong relationships are developed to secure the social and emotional development of all the participants (Glasgow Centre for Population Health 2015:7).

El Sistema is making an impact on orchestras world-wide, because their instrumentalists and conductors are occupying major orchestral positions (Stevens 2014a). In February 2014 I too had the opportunity to witness its impact on other musicians. Valdemar Rodriguez, currently Deputy Executive Director of the Simon Bolivar Music Foundation, was an adjudicator at the First Unisa International Flute and Clarinet Competition of which I was the Non-voting Jury Chairperson.⁴⁸ He made a surprise announcement at the awards ceremony after the final round on 15 February, inviting the two main prize winners⁴⁹ to perform as guests of El Sistema in Caracas with the Simon Bolivar Symphony Orchestra, directed by Maestro Dudamel himself. The two winners were visibly elated at the prospect of performing with Dudamel.

2.4 SOUTH AFRICAN CMDPs

2.4.1 Levelling the playing field

In contrast to El Sistema – a centralised, government-controlled project – South African CMDPs are independent projects initiated by private individuals, non-profit

⁴⁸ This International Music Competition was presented by Unisa in the ZK Matthews Great Hall from 2 to 15 February 2014. Prof Rodriguez was one of five international jury members.

⁴⁹ The flute category was won by the young Russian flautist Matvey Demin and the clarinet category was won by the South Korean clarinetist Sang Yoon Kim.

organisations and educational institutions. These CMDPs have achieved significant impact and reach in their attempts to level an uneven playing field – the debilitating legacy of apartheid.

Kierman (2009/2010:47-50) has given a broad overview of the contribution made by CMDPs to music education in the Western Cape, where the inequalities resulting from apartheid education led to the spawning of church and community-based music programmes in non-white communities. Religious groups from the Moravian and New Apostolic churches and the Salvation Army and ceremonial community groups such as the Cape minstrels and so-called Christmas bands have significantly enriched the lives of youths who would have had no access to extra-mural activities otherwise. Additionally these community music activities have contributed significantly to the staffing of South Africa's army, navy and police bands.

Music programmes run by the Field Band Association, the Amy Biehl Foundation, community music schools such as the Athlone Academy of Music and the Hugo Lambrechts Music Centre (HLMC), as well as orchestral outreach and education programmes and university service learning programmes all aim to support social and personal growth through musical growth and they share a belief in the "value and use of music to foster intercultural acceptance and understanding" (Kierman 2009/2010:48-49).

Programmes such as the Busk Aid String Project in Soweto, the Mangaung String Programme at the Musicon in Bloemfontein, the Musikhane Project at the North-West University in Potchefstroom and the STTEP Music School in Pretoria have achieved national and international acclaim and they have successfully trained numerous

young musicians who have chosen to follow a professional music career. One such an example is Samson Diamond,⁵⁰ the violinist and current leader of the Odeion String Quartet, who received his initial violin tuition through Busk Aid in Soweto.

2.4.2 Raising the bar

In their research about the STTEP Music School, Van Niekerk and Typpo (2012:80), reflecting on the growth and development of STTEP, introduced a concern for the need to raise the standard of music teaching and performance in their CMDP. They quoted from a 2007 email communiqué by the founder of the project, Philip Crafford, wherein he had stated that they should have aimed much higher from the start by attending to the development of their most talented pupils. Vaughan Pietersen, principal of the Frank Pietersen Music Centre in Paarl and a panel member of the forum discussion at the end of the 2014 SASMT 92nd Annual National Conference,⁵¹ expressed a similar concern during the debate when he observed that he was looking forward to the day that it would not be necessary to refer to learners from CMDPs as “development”, “outreach” or “community engagement” pupils, but that they would be integrated into the general music education environment (Pietersen 2014).

Several initiatives aimed at improving the standard of tuition and performance in CMDPs have been launched in recent years to fast-track the development of gifted CMDP pupils by creating a greater awareness of excellence in tuition and performance to integrate these young CMDP leaders into the broader music education environment. Thus they are granted opportunities to participate in music workshops, competitions, master classes and concerts by renowned local and

⁵⁰ The Odeion String Quartet is the resident string quartet – the only one of its kind at a South African university – at the Odeion School of Music of the University of the Free State.

⁵¹ Refer to sections 1.3.1.3, 1.4.6 and 1.7.1 for more information about this conference and concluding forum discussion.

international musicians to improve their exposure to world-class performance practice and tuition standards through the provision of financial assistance to attend. At these events CMDP learners participate on equal footing with more affluent students who receive individual private music tuition. Of particular importance are the following initiatives that have contributed significantly to levelling the playing field as well as raising the bar:

- *National Youth Music Competition*: In 2015 this competition was won by Sakhile Humbane, a young flautist from the University of Cape Town, whose musical roots are grounded in a CMDP in KwaZulu-Natal.⁵²
- *SAMRO⁵³ Hubert van der Spuy National Music Competition*: This annual competition includes a special development category, with several special prizes at stake. The piano accompaniment costs, as well as accommodation and transport costs of the CMDP learner and two escorting adults (parent/guardian/teacher) are covered (SAMRO Hubert van der Spuy National Music Competition 2012). In 2010 (the first time this development initiative was introduced) the development category winner, violinist Bonolo Kgaile from Bloemfontein, was crowned the overall winner (SAMRO Hubert van der Spuy National Music Competition 2013).
- *Muziq and Muziqanto Competitions⁵⁴*: These music competitions also offer assistance with piano accompaniment, travel and accommodation costs to enable meritorious and needy students from CMDPs to participate (ATKV 2014a; ATKV 2014b).
- *Hugo Lambrechts Concerto Festival*: In 2014 the HLMC introduced a development category into this festival through provision of transport and

⁵² As a trustee and donor of this music competition, I was present at the final round and awards ceremony.

⁵³ SAMRO is an acronym for South African Music Rights Organisation.

⁵⁴ Both music competitions are organised by the ATKV, an acronym in Afrikaans for *Afrikaanse Taal en Kultuurvereniging*. Translated into English it would read *Afrikaans Language and Culture Society*.

accommodation costs to grant a young CMDP learner the opportunity to perform as a soloist with the HLMC symphony orchestra (Hugo Lambrechts Music Centre 2014).

- *Stellenbosch International Chamber Music Festival*: CMDP learners are granted full bursaries covering tuition, accommodation, food and transport costs and given the opportunity to play and interact with international students and world-renowned instrumental teachers in chamber music ensembles and orchestras. The participants are assigned to mentors who see to their personal development for the duration of the festival (Stellenbosch International Chamber Music Festival 2014).
- *Unisa Youth Music Festival*: This music competition aims to raise the general performance standard of CMDP students and tutors in the Tshwane Metro. Music tutors and students compete for attractive prizes in several instrumental and vocal categories (Roos 2013-2014).
- *Unisa Shadow Juries*: In 2011 the UMF introduced a shadow jury training programme at national music competitions⁵⁵ with the objective of training the next generation of music jurors. Through the experience of sitting on a shadow jury panel, CMDP tutors gain first-hand knowledge of the key factors that distinguish a competition winner from other performers (Voges 2012).

2.5 WHY IS ARTS EDUCATION OF INFINITE VALUE?

The ancient Greek philosophy about the moral influence of music and its potential to shape and influence human character continues to exert itself today. The arts still play an indispensable role in education and our civilization because of its unique

⁵⁵ These have included the Unisa National and International Music Competitions in Pretoria, as well as the National Youth Music Competition in Cape Town.

ability to exalt the human spirit. Thus emphasis on so-called “STEM” school subjects (Science, Technology, Engineering and Mathematics) has recently evolved into engagement in “STEAM” (with the “A” standing for Arts), as the role of the arts in fostering creativity and creative thinking is increasingly being recognised globally.

Art is innate in everyone and should be accessible to all. It arises from a basic human impulse and brings people closer to themselves. Art re-energises the spirit of a country and is therefore a vehicle for imagining new lives and societies. Aesthetic encounters open up new perspectives that enable young people to imagine other possibilities than their current lived experiences. They see that their life circumstances are not fixed – that they can break out and grow into new ways of interacting in the world (Ruth 2016).

The arts are part of what makes us human because it brightens up our mind and our emotional, physical and spiritual existence. The arts build character and ethics by imparting values such as compassion, tolerance, integrity, self-respect, self-esteem, accountability and work ethic (Lecroy 1992:3). Participation in arts programs motivates children and it contributes to engagement in learning. It benefits self-esteem, interpersonal relations, life skills, health and well-being and youth leadership development. It enhances brain function and helps children to develop general critical thinking and problem-solving skills, benefiting academic performance and achievement in associated subjects. There are definite links between arts education and achievement in mathematics and languages. Children who read for pleasure and take music lessons are also more likely to engage in organised sports and youth club activities. They spend less time playing videogames, generally perform better at school, and have decreased delinquency and drug use. In community context, the

arts enhance equity and public safety and closes racial and economic achievement gaps (Upitis 2010:24-27; Portowitz, Lichtenstein, Egorova & Brand 2009:108; Wolf & Antoni 2012:12-14; 47; De Villiers 2013:16-17).

De Villiers (2013) concluded that arts education contribute to the development of skills essential in South African society today, such as dealing with ambiguity and complexity, integrating multiple skills sets and the ability to perform cross-disciplinary work. The broader social impact and interaction include the development of competencies such as teamwork, collaboration and social tolerance – shaping creative, thinking citizens who can take up their place in the workforce of a twenty-first century society (De Villiers 2013:16-17).⁵⁶

2.6 THE IMPACT OF MUSIC EDUCATION ON YOUTH

Music-making is often used to foster confidence, discipline, teamwork, pride and aspiration in the lives of children, their families and wider communities. Crossover benefits on wider education and learning include better academic achievement and time management, because study time has to be used more efficiently. Thus participation in a music programme significantly enhances the lives, prospects, health and well-being of youth through a variety of pathways, leading to improved employability in the long term (Glasgow Centre for Population Health 2015:13). Independent of socio-economic status, “[m]usic improves cognitive and non-cognitive skills more than twice as much as sports, theatre or dance” (Hille & Schupp 2013:1, 6-7).

⁵⁶ Engaging in creative endeavours enhances critical thinking, creativity and innovation which enable competitiveness in the global creative economy, the theme explored extensively in chapter three.

2.6.1 Intellectual development

Learning a musical instrument during childhood and adolescence increases cognitive skills because it stimulates executive function such as judgment and problem-solving capacities which teaches a child to handle success and failure. The regular training required improves self-discipline, persistency, and conscientiousness. Adolescents who have learnt a musical instrument between the ages of eight and seventeen are 10% less likely to watch daily television and 15% more likely to complete high school and go to university (Hille & Schupp 2013:3-5, 23).

Rhythmic training plays an important role in assisting the development of temporal cognition and mathematical reasoning. Demorest and Morrison (2000:35-38) pointed to “a direct link between music instruction and math and science aptitude”, specifically between piano training and spatial reasoning. They postulated that “music makes you smarter”, because learning to play an instrument contributes to visual-spatial reasoning and intelligence which are required in mathematics. Demorest and Morrison (2000) concluded that students who stay in music longest receive the most benefits and are academically the most successful.

On the other hand, Hallam (2010:275-276) and Dewar (n.d.:3-4) argued that the impact of music on cognitive development is related to the skills required in learning to read music, which result in enhanced reading and literacy skills. Musical experiences impact on the perception of language which impacts reading ability. Learning to play an instrument increases verbal memory, learning and retention abilities, thereby facilitating the encoding and identification of speech sounds and patterns and enhancing the ability to remember words. This impact is enhanced

through early exposure, lengthy participation and group music-making (Hallam 2010:270-274; Dewar n.d.:3-4; Glasgow Centre for Population Health 2015:8).

2.6.2 Academic achievement

Music education contributes to the development of personality traits such as conscientiousness, openness, ambition and perceived control which improve both cognitive skills and school grades (Hille & Schupp 2013:2). High school learners who participate in music have better school attendance (Glasgow Centre for Population Health 2015:8) and higher grades in languages, mathematics and science. They score better on standardised tests and receive more general academic recognition (Demorest & Morrison 2000:37-39; Hallam 2010:276-279).

Spies (2005:5) postulated that the rigorous processes involved with learning to read music and practising regularly influence “an environment conducive to learning” which translates positively into improved performance at school. Hallam (2010) concurred and added that this academic achievement is due to an increased motivation to study, enhanced by overall feelings of confidence and self-worth as a result of success in music. The improved self-esteem transfers to other areas of study which aids persistence. Supportive parents and a home environment conducive to studying also contribute to the academic attainment of music students (Hallam 2010:276-277).

2.6.3 Creativity

Creativity, a basic need of mankind, is the “desired end of all musical activity” (Gray 1960:58). Creativity plays a critical role in problem-solving and the generation of new

ideas (Esquivel 1995:186) because the creative process “elevates the mind into a higher state of reasoning” (Burns 1988:62).

Learning an instrument and associated music performing opportunities develop intellectual creativity, adaptability and problem-solving skills (Glasgow Centre for Population Health 2015:8) for the reason that it develops right brain hemisphere imagery (Esquivel 1995:186; Weinberger 1998; Blandford & Duarte 2004:18; Portowitz et al 2009:108). Creativity “increases as a function of the amount of music education” received; hence active music-making is more effective in developing creativity than the passive music experience (Weinberger 1998:4).

Creativity is enhanced by creative elements such as improvisation (Hallam 2010:277). Improvisatory performing, composing and listening activities used in Orff and Kodaly’s music teaching methods offer excellent opportunities to provide a dynamic creative thinking and learning experience that elevates music tuition to the problem solving level (Burns 1988:63-65; Webster 1990:23-28). The ability to imagine sound internally, an important component of the musical creative process, is critical for developing creative thinking abilities (Webster 1990:23).

2.6.4 Social development

Ever since Suzuki (1969) developed his theory that music creates “better citizens”, his methodology and emphasis on ensemble playing has had a significant impact world-wide. Playing an instrument provides a means for self-expression, because confidence to perform in front of others adds to a sense of identity and pride. It contributes to the establishment of a well-balanced human consciousness in music pupils, empowering them “to function effectively in society” (Spies 2005:8).

Tate (1984:147-148) maintained that some character traits we develop are the result of the music we have been exposed to since early childhood and teenage years. Lecroy (1992:34-36) and Shields (2001:274) also postulated about the character-building properties of music education, with specific reference to group music-making. They viewed performing ensembles as powerful tools for imparting values and ethics and addressing societal needs such as integrity, tolerance, social cooperation, civic responsibility and democratic behaviour. Participation results in a refinement of individual character.

Blandford and Duarte (2004) investigated the development of social skills such as trust and social bonding through the interaction and collaborative team effort involved in playing in community ensembles. Participants learn to trust their own ability, fellow players as well as the conductor. Their comradeship develops into strong friendships which endure for years, and in which music plays an important role. Additionally transferable skills such as concentration, self-discipline, planning ability and problem solving are nurtured together with self-awareness and self-confidence (Blandford & Duarte 2004:10).

Group music-making promotes social cohesion, relaxation, enjoyment, better self-reliance, a more positive attitude and a sense of belonging. Children learn to interact with fellow students from different cultural and social backgrounds (Hille & Schupp 2013:2, 6). Beneficial skills such as networking, teamwork, cooperation, responsibility, commitment and increased concentration are experienced and promoted beyond the rehearsal room. In addition, smaller ensemble work develops trust, respect, negotiation skills and compromise, because individuals must learn to

support one another. The smaller the group, the more intense these friendships become (Hallam 2010:278-280).⁵⁷

2.6.5 The impact of music education on at-risk youth

At-risk children from marginalised social backgrounds benefit from specialised music education because it compensates for educational inputs missing from their local schools and families (Hille & Schupp 2013:7).⁵⁸ Thus skills development through music education increases the improved self-esteem of disadvantaged problem students (Michel & Martin Farrell 1973:84). Even non-performance music appreciation classes make an impact, because it prompts emotional responses that contribute to self-understanding and provide meaning – a “relief from real life” (Yob 2000:68, 76). Community music education programmes that reach out to empower at-risk youth afford access to better citizenship by focusing on values such as hospitality, fellowship, emotional and social betterment through personal growth, collaborative music-making and community development (Silverman 2009:182-184). The team working, collaboration and cooperation skills, self-discipline and control developed through participation in music ensembles secure the emotional well-being and enhance the employability of marginalised at-risk youth in the long term. Increased social interaction builds cultural tolerance and understanding. Moreover, the exposure to music in a safe, positive environment provides respite and protection from home environment stressors and antisocial behaviours such as alcohol and drug abuse. It offers a sense of security and belonging that creates happiness and enjoyment, contributing to the emotional well-being of the participants in the programme (Glasgow Centre for Population Health 2015:8-9).

⁵⁷ This comment by Hallam echoes my own observation made during my teaching career at the HLMC. The personal friendships and camaraderie ensemble-playing fostered amongst learners from different schools and communities created a synergy which enhanced their standard of playing; and they stayed friends long thereafter.

⁵⁸ Children from advantaged backgrounds usually have more educated parents and access to better quality extracurricular activities which stimulate skills development.

2.6.6 Brain development

Music, more so than any other activity, fully involves the function of both left and right brain hemispheres (Spies 2005:4). Musical experiences, being multimodal, involve the auditory, visual, cognitive, affective, memory and motor systems: thus musical processing is “spread throughout the brain” (Hodges 2000:20).

Gwen Dewar (n.d.) explained that the brain grows in response to music – in activity as well as in brain volume. This seems to increase with the training intensity associated with learning to play a musical instrument. Hodges (2000:17) concurred that it is the active engagement in music, not passive listening, that spurs brain development. Citing brain imaging research done by Schlaug, Jancke, Huang and Steinmetz, Hodges elaborated that the left hemisphere primary auditory cortex of musically trained subjects was significantly larger than that of non-musicians. This difference was even more exaggerated if the subjects had perfect pitch or had started musical training before the age of seven. Similarly “string players have greater neuronal activity and a larger area in the area of the right motor cortex that controls the fingers of the left hand”. Thus Hodges (2000:21) referred to musicians as “small-muscle athletes” because learning to play an instrument significantly enhances fine motor coordination. These effects are more significant amongst string players who started playing at a very young age (Hodges 2000:19).

2.6.7 Physical development and general well-being

Music has been used through the ages to assist healing, calm anxiety and aid stress reduction (Blandford & Duarte 2004:14). Music education impacts long-term health and general well-being by encouraging healthy behaviours in terms of diet and exercise and it builds protection from factors such as substance abuse that could be

damaging to health (Glasgow Centre for Population Health 2015:9). Playing the piano exercises the heart as much as a brisk walk, and singing contributes to an enhanced immune system, better posture and breathing, improved mood and increased energy (Hallam 2010:280-281).

2.6.8 Characteristics of music students

Academically successful students value music education and choose to spend their time making music (Demorest & Morrison 2000:38).

It is also necessary to take cognisance of the counter-argument put forth by a few researchers who have indicated that the positive correlation between music education and cognitive development could in fact be attributed to the characteristics of music students themselves instead of the positive impact of music education. Morrison (1994:36) and Demorest and Morrison (2000:37) admitted that although research has indicated that music study helps children to become better students and citizens, it is possible that the best and brightest students pursue and persevere with music education, whereas the not-so-bright students tend to drop out of a music programme early due to academic overload.

A similar viewpoint was expressed by Hille and Schupp (2013) who postulated that the positive association between music education and cognitive and non-cognitive skills could be attributed to reverse causality, seeing that the more ambitious children tend to persevere with learning a musical instrument. They pointed out that individuals who gave up music training before the age of seventeen received lower scores for cognitive development than those who were never involved with music education (Hille & Schupp 2013:20-23).

2.6.9 The music teacher as mentor

Music teachers have a vital role to play in the music education environment as mentors and role models. Shields (2001:284) analysed the impact of music mentoring on at-risk urban adolescents and concluded that the music teacher had a positive influence on the “musical and non-musical perceptions, opinions and attitudes” of these students (Shields 2001:284). Silverman (2009:188) added that crucial human and educational social justice values such as “care, commitment, trust, responsibility, respect, acceptance and self-efficacy” are imparted in the music teaching process.

More recently Hille and Schupp (2013) as well as the Glasgow Centre for Population Health (2015) reported that the person-centred approach and individual specialised attention enabled by the unique predisposition of one-on-one music tuition foster the duality of the relationship between the music teacher and pupil. This exclusive relationship with and attention from the teacher teaches the young student how to interact with an adult and a person of authority. The quality of this relationship is a life-changing factor that contributes significantly to the positive impact music education has on the well-being and self-esteem of participating youth, and it has been singled out as the determinant of the participant’s continued engagement (Hille & Schupp 2013:5; Glasgow Centre for Population Health 2015:14, 17).

2.7 LIFELONG LEARNING AND BENEFITS TO SOCIETY AS A WHOLE

All human beings are considered musical. Because the musical brain is operational at birth and persists throughout life, all members of society – from the cradle to the

grave – benefit from involvement with music (Dewar n.d.:4). Music education should therefore not be reserved for those “with talent” only (Hodges 2000:17-18).

2.7.1 Youth

Hille and Schupp (2013:22) emphasised that the improvement in cognitive skills, academic achievement, openness and ambition that contributed to higher consciousness associated with learning a musical instrument is better if a student has studied the instrument between the ages of eight and seventeen years. The positive impact of starting to play a musical instrument after the age of eight is weaker, but remains positive. The impact on cognitive skills, openness and ambition remains strong, but the effect on academic achievement and conscientiousness deteriorates (Hille & Schupp 2013:22-23).

2.7.2 The elderly and the infirmed

Community music engagement has branched out to engage with the elderly and the infirmed. Hodges (2000:19) advocated support for early childhood music education as well as the learning of new musical skills at an advanced age to combat Alzheimer’s disease and dementia, advising that one should “use it or lose it”. He highlighted the potential of music to induce physiological responses in heart rate and blood pressure, a technique used therapeutically in the Rhythmic Auditory Stimulation process “to enable Parkinsonian and stroke patients to regain walking and motor skills” (Hodges 2000:21).

Per example, Yehudi Menuhin’s *Live Music Now* programme has worked extensively to bring the therapeutic benefits of music to a wider range of people in need by providing unique interactive music sessions to people in care services and hospitals

to enrich their lives. People are encouraged to participate in music-making to nurture and celebrate their own creativity. Carefully chosen live music programmes are provided to soothe the atmosphere for patients, staff and visitors alike. The affirming, relaxing and morale boosting effects of music reduce levels of anxiety and depression; it is therefore used to enhance the quality of life of terminally ill patients (Live Music Now 2014).

2.7.3 Society as a whole

Majno (2012:60) emphasised the positive impact of music education on the family and society as a whole by quoting El Sistema's José Abreu who philosophised that music created a parallel between the artistic, cultural and social aspects of music education and the personal, family-related and community-oriented spheres of a child's development.

Learning a musical instrument stimulates the creation of cultural capital: the ability to "be familiar with the codes and modes of conduct of a particular social environment" (Hille & Schupp 2013:6). Thus the benefits of music education – such as establishing a sense of belonging and promoting inter-personal relationships through group music-making – translate to the wider society. Students who participate in musical activities talk more with their parents and teachers, and their parents communicate more with other parents (Hallam 2010:276-277, 281). Being involved in music activities has even proved to be beneficial in job applications (Hille & Schupp 2013:5). As a result El Sistema-inspired community-based social interventions are now established deliberately as part of social cohesion initiatives and area-based regeneration processes in marginalised communities all over the world (Glasgow Centre for Population Health 2015:13).

2.8 SOUTH AFRICAN CMDP RESEARCH STUDIES

Several research studies (Spies & Groenewald 2005; Brand 2005, 2011; Cloete 2006; Van Niekerk & Salminen 2008; Devroop 2009, 2012; Le Roux 2009, Van Niekerk & Typpo 2012; Whittaker 2014a) have been conducted amongst music pupils and teachers in South Africa to investigate the impact of CMDPs on the general well-being of beneficiaries. These studies have once again highlighted the importance of participation in group music-making activities by concluding that collective music-making in CMDPs develops cognitive intelligence, emotional intelligence and self-esteem. By enhancing general well-being and strengthening life skills that empower a person to function effectively in society, quality of life and future expectations are improved.

2.8.1 Enhanced life skills

Spies and Groenewald (2005:11) reported that the top academic achievers amongst 12- to 14-year-old youths at primary schools in the North-West Province were music students who also performed well in sports and culture and achieved leadership positions at school. Brand (2005) found that the average self-esteem scores of music students in Kimberley in the Northern Cape were significantly higher than that of non-music students. Le Roux (2009) confirmed that music tuition (through participation in the Redefine Music Project in Kuils River, Cape Town) assisted disadvantaged learners in establishing individuality and self-esteem through the development of self-confidence, self-belief, self-assurance, self-reliance and self-awareness. In her subsequent research Brand (2011), focusing on CMDPs in the Western Cape, concluded that music education benefited success in four areas: society, school, intelligence and life in general (Brand 2011:10).

Van Niekerk and Salminen (2008) affirmed that learning and performing classical music had a therapeutic effect on marginalised youth (in this case, learners in the STTEP Music School – an intercultural educational project in Pretoria), because it enabled them to deal with their feelings better. It positively influenced their diversity viewpoints, behaviors and values and aided the development of a “healthy, powerful, well-resourced musical life in the community” (Van Niekerk & Salminen 2008:196). A follow-up study by Van Niekerk and Typpo in 2012 substantiated these results.

Devroop’s findings (2012) indicated a moderately strong positive correlation between participation in music instruction at the South African Music Outreach Project (SAMOP) in Pietermaritzburg and “increased levels of self-esteem, optimism, happiness and perseverance” (Devroop 2012:407). Devroop inferred that music may play a vital role in addressing critical issues such as withdrawal, grade repetition and dropout rates at secondary schools in marginalised societies (Devroop 2012:414).

2.8.2 Employability and new career options

Whittaker (2014a) highlighted the work of the Field Band Association that strives to reduce levels of inequality by “reengineering” marginalised youth to become more employable. Through the transfer of skills they are enabled to compete in the business world. Values such as tolerance and empathy, and practices such as active listening and conflict resolution are learnt in everyday settings.

Devroop’s earlier research findings (2009) indicated that instrumental music tuition in SAMOP had such a positive influence on the learners’ lives and educational career plans, that 59% of them contemplated a career in music and 88% were considering studying music beyond school. His last figure correlated exactly with Le Roux’s

research results (2009) that also indicated that 88% of the Redefine Music Project learners wanted to continue their music education after school. However, the lack of available professional opportunities prohibited them from considering music as a full-time professional career (Le Roux 2009:84-87).

On the other hand, Van Niekerk and Salminen (2008:196) commented that STTEP students saw their participation in STTEP as a “possibility to a better life” and were considering a professional career in music, even though they realised that a professional career was a difficult path to follow, given their cultural background. Lastly Brand (2011:11) added to the conversation about employability and job creation by referring to the potential of CMDPs to create jobs for music teachers and opportunities for students to become professional musicians and music teachers.

2.8.3 Broadened horizons

Elene Cloete (2006), using the reception theory framework of Hans Robert Jauss, postulated that the socio-cultural impact of the Mangaung String Programme “broadened [the] horizons” of its participants and their communities. The programme positively impacted the lives of students and their expectations of the future by broadening their hopes and ideals and “rendering them more open to cultural interchange”. The perceptions of their parents also changed: they no longer saw the violin as a white elitist instrument, but as a “vehicle for artistic expression” (Cloete 2006:28). In turn, even Cloete’s teaching methods and her own perception of music changed.

Le Roux (2009:65) witnessed similar “broadened horizons” and positive changes in the perceptions of CMDP parents and music teachers, with the latter developing a

greater awareness of the needs of marginalised children and the special demands of group teaching. The greater local community was impacted positively through the provision of general musical events with which they could become involved (Le Roux 2009:83, 95). This view was shared by Spies et al (2013-2014), who reported that participation in a multicultural project such as Musikhane (the CMDP of the North-West University in Potchefstroom) encouraged the significant transformation of both learners and teachers and added to the social well-being and general spiritual upliftment of the society.

On a personal level I witnessed the significance of such “broadened horizons” when I travelled with the Unisa Soshanguve String Orchestra to Maputo from 5 to 11 May 2014 for a series of orchestral workshops, rehearsals and concerts presented by the Xiquitsi Project⁵⁹ under the direction of Nicola Paskowsky, the assistant of Maestro Ricardo Muti.⁶⁰ It was the first time some of these Soshanguve students travelled beyond the City of Tshwane, stayed in a hotel, or saw the ocean. They encountered a different Portuguese-speaking African culture and were exposed to extreme poverty resulting from the destruction of civil war.⁶¹ Moreover, they were instructed by a variety of visiting Italian, Portuguese and Scandinavian musicians who could speak only one common language – music. In turn, they introduced their fellow musicians to their unique, energetic fusion of classical string music and lively African kwelas,⁶² generating significant interest from their audiences through this cross-cultural engagement.

⁵⁹ The Xiquitsi Project is a Mozambican El Sistema-inspired orchestra and choir training project that introduces the classical music genre – and lesser-known orchestral instruments – to a younger generation in Mozambique. Xiquitsi is aimed at social integration and brings together Mozambican and foreign musicians to enable cultural exchange. Vocational training, with the establishment of a Mozambican Youth Orchestra, is the long-term goal (Xiquitsi Project 2013).

⁶⁰ Ricardo Muti is the director of the Chicago Symphony Orchestra.

⁶¹ Our hotel accommodation was in downtown Maputo where remnants of the Mozambican civil war were visible everywhere.

⁶² South African CMDP string orchestras often fuse classical music with different music styles such as traditional African songs, kwela, and crossover music.

2.9 INTERCULTURAL EDUCATION AND CROSS-CULTURAL ENGAGEMENT

2.9.1 Intercultural education and engagement

Every culture embraces music without boundaries. In an educational context, cultural awareness is created through exposure to the music of diversified communities and minority groups to raise awareness of cultural diversity and tolerance, and to provide a way for indigenous cultures to stay alive in an increasingly globalised and connected world (Rabideau 2015:6; Zawisza 2015:4). For this reason Demorest and Morrison (2000:34) cautioned against popularising the “Mozart effect”,⁶³ arguing that a globalised music curriculum is needed to avoid “cultural imperialism”. Burton and Reynolds (2009:24-25) also stressed that repertoire selection must be flexible and take into account the “social, economic, and ethnic backgrounds of the learners”.

CMDPs promote cross-cultural engagement and respond better to local needs and opportunities if they incorporate the traditional forms of music of their indigenous cultures. It shows respect for their traditions and enhances open engagement with students and community leaders, building collaboration and cultural understanding between divided communities (Chastko 2016). Thus teachers in the Mangaung, STTEP, Musikhane and Unisa Soshanguve String Programmes have encouraged their learners to perform their own traditional African music alongside Bach and Mozart in orchestras to encourage pupil-initiated activity and creativity. They not only employ commercialised township variants of African music such as kwela and kwaito (Cloete 2006:20-32), but also play crossover music, western popular music, Afrikaans folk songs such as *Suikerbossie* (Spies 2013-2014) and have even employed Finnish fiddling (Niekerk & Salminen 2008; Van Niekerk & Typpo 2012). Such an open approach in selecting repertoire has enabled South African CMDP

⁶³ This is a popular hypothesis that listening to music by Mozart has a beneficial effect on a child's development.

ensembles to make the classical music idiom more acceptable to learners and the community by erasing the cultural boundaries between music styles in exchange for enjoyment and nourishment (Cloete 2006:20-32). Moreover, the exposure to different music cultures raises the interest in their own culture and contributes to a heightened awareness of their own cultural identity, heritage and traditions. This has appeared to be particularly relevant in cases where parents had not taught their children about their own cultural roots to ensure that they fit into a modern, western society (Niekerk & Salminen 2008:199; Van Niekerk & Typpo 2012: 85-86).

A fusion of music styles also erases perceptions of western classical music as a Eurocentric, white elitist genre (Van Niekerk & Salminen 2008:197-198; Le Roux 2009:57-58, 62; Van Niekerk & Typpo 2012: 77-78). Berthine van Schoor (the conductor of the UMF String Ensemble) affirmed this when she commented in an email that one of the first violinists in her ensemble had pleaded “Please can we play Divertimento today...we have been without Mozart now for two weeks!” after she ignored rehearsing the famous – but difficult – *Eine kleine Nachtmusik* (Divertimento in D major) by Mozart in favour of a contemporary jazz suite, because the former was so difficult (Van Schoor 2014).

The Brazilian education theorist Paulo Freire promulgated that pedagogy must address issues of power and inequality to ensure that differences are respected and that young students regain their sense of humanity. Artistic work should therefore be delivered through reciprocal sharing, not authoritarian instruction (Ruth 2016). CMDP teachers must respect the rich cultural traditions of different ethnic groups and help students to develop musical skills inside them to make personal connections to the

music of their ethnic heritage. The inclusion of repertoire from different heritages enriches the palette of sound and bridges the gap between cultures (Tunstall 2016).

2.9.2 Bridging cultural, racial and political divides

The runaway success of the South African MIAGI⁶⁴New Skool Orchestra during its 2014 European tour showed how music can be a nation-building force, bridging racial, cultural and social divides. This classically-trained orchestra, consisting of 77 young musicians of all races, was led by composer-conductor Tshepo Tsotsetsi in collaboration with Swedish saxophonist-composer Anders Paulssen. They fused Western Art Music, African jazz and traditional music by moulding the sounds of township life with Shangaan music, *Shosholozza* and Miriam Makeba's⁶⁵ a capella folk songs in a fresh, innovative hybrid style, capturing the essence of our rainbow nation. A youthful vitality and South African joyfulness characterised their performances and elicited standing ovations in the Berlin Philharmonic Hall and Concertgebouw in Amsterdam (Sparks 2014).

Cloete, referring to Jauss's reception theory, highlighted the value of arts programmes where participants come from different backgrounds (Cloete 2006:23, 28-31). Through the interaction of mixed racial and cultural groups, South African CMDPs create social links that foster intercultural acceptance, tolerance and understanding (Kierman 2009/2010:49; Le Roux 2009:95). Music has no racial or cultural limits. By bringing together culturally diverse students, music ensembles provide a medium through which students can maintain their identity and overcome bias and stereotyping to facilitate transition into a new cultural environment (Blandford & Duarte 2004:13-14, 22). Thus Van Niekerk and Typpo (2012:77-80)

⁶⁴ MIAGI – an acronym for Music Is a Great Investment – is a Pretoria-based CMDP venture driven by Robert Brooks.

⁶⁵ Miriam Makeba was an iconic South African jazz singer and civil rights activist.

asserted that although intercultural music education in a multicultural setting offers serious teaching challenges, it can play a positive role in ameliorating the social problems that have resulted from South Africa's apartheid history. Because intercultural music education "opens up new ideas, gives greater meaning to cultural understanding and develops respect", it creates an arena for "training in democratic participation and conflict resolution" (Van Niekerk & Typpo 2012:86).

Music can play a strong role in ethnic and cultural conflicts, as demonstrated by the Israeli-Argentinian conductor Daniel Barenboim, his West-Eastern Divan Orchestra and the late Palestinian intellectual Edward Said (Zawisza 2015:3). The orchestra, established in 1999, consists of members from different Middle-Eastern countries and Spain. Barenboim and Said have aimed to encourage a sharing of knowledge and comprehension amongst young musicians from countries that are in conflict, namely Israel, Egypt, Syria, Jordan and Lebanon. Through music, cross-cultural contact and touring side-by-side, these young musicians get to know one another and learn to overcome their political and cultural differences. The West-Eastern Divan Orchestra achieved the impossible when they gave a performance in the Cultural Palace in Ramallah on 21 August 2005, breaking down what was perceived as insurmountable barriers. The Spanish government issued diplomatic passports to all the young musicians, enabling them to travel to Ramallah. Ironically the young Israeli musicians were safeguarded through protection by the Palestinian police (*Knowledge is the Beginning* 2005; Zawisza 2015:3).

More recently the work of Chinese-American cellist Yo-Yo Ma (a United Nations "messenger of peace" and founder of the Silk Road Project and Ensemble) has expanded the boundaries of classical music by embracing world influences to

develop a common repertoire (Rabideau 2015). Ma has enabled musicians from a variety of cultures to create dialogue by listening to and improvising with each other – demonstrating that music has taken “the place of speeches and peace talks” and is succeeding where “diplomacy has failed” (Zawisza 2015:1).

2.9.3 Intercultural competence training programmes

Although CMDPs have introduced a new democratic, multi-cultural perspective of music education in South Africa, pressure resulting from socio-economic issues, language barriers and financial sustainability requirements has necessitated flexible, innovative teaching methods and strategies to ensure quality outcomes. The introduction of measures such as group teaching and the incorporation of traditional music into the curriculum to enhance sustainability and cultural awareness have intensified the need for intercultural competence training programmes and service learning programmes in the professional preparation of music teachers at tertiary level (Emmanuel 2003; Burton & Reynolds 2009:24; Le Roux 2009:41, 78, 94; Brand 2011:33; 2014; Cloete 2006:28). Young music teachers should be prepared more optimally for working with pupils from diverse cultural backgrounds in order to avoid a mismatch between teachers and pupils. Student teachers should engage in immersion field experiences by living and working in “uncomfortable”, culturally diverse settings because, by confronting challenges head-on, they will develop a greater awareness of the impact of diversity on teaching and learning (Emmanuel 2003:33-39).

2.10 PEER-TEACHING

CMDPs often employ the principles of peer-teaching: advanced players work as teaching assistants to teach the younger pupils. Blandford and Duarte (2004:9) referred to peer-teaching as the “Victorian monitor system”, because, as the principal instrumental teaching method in England during this time, it was the main training practice of the British brass band movement mentioned earlier in this chapter. This principle was also fundamental to the Suzuki school of the twentieth century (Suzuki 1969). Referred to as “scaffolding” (Blandford & Duarte 2004:17), it encourages the collaborative music-making between older, experienced musicians and younger less-experienced players.

Peer-teaching students gain leadership experience when they function as mentors to younger pupils by acting as facilitators, advisors and observers. They also provide valuable assistance with translation where language barriers exist (Van Niekerk & Salminen 2008:193; Van Niekerk & Typpo 2012:76; Le Roux 2009:41). In addition, they find relief in a world stricken by unemployment by earning an income working as paid music tutors.

Apprentice teachers could, however, become entrapped in CMDPs because of attractive benefits such as a steady income and access to expensive musical instruments. Aggravated by accreditation problems that arise from a lack of formal qualifications because they cannot afford to go to university to obtain a professional qualification – or they lack the prerequisite theoretical background required for admission – the personal and professional growth of these aspiring musicians and music teachers become paralysed. One such an example was that of a young violist Siphon Sibya who was employed as a violin tutor at a day-care centre for orphans in

Grahamstown where he had moved to shortly after completing high school in order to teach at this music project. Originally from Pretoria, Siphon was distanced from his support network of friends, family and music teachers. Consequently his development stagnated because he was unable to realise his dream of furthering his formal music studies (Sibya 2011).⁶⁶

On the other hand, CMDPs have significant potential to transform music teacher education in South Africa through partnerships with tertiary institutions. Universities can grant access to vocational training and accreditation through part-time certificate programmes aimed at tutors and CMDPs can provide the training ground for student teachers and interns receiving training and mentoring through service learning programmes (Cloete & Erasmus 2012; Burton & Reynolds 2009; Reynolds 2004; Yob 2000).

2.11 SERVICE LEARNING

Service learning is “a teaching and learning paradigm that incorporates experiential learning” (Reynolds 2004:9). As a component of community engagement, it is a key directive of higher education in South Africa (Council on Higher Education 2006). Service learning links teaching theory with teaching practice by facilitating the practical training of apprentice teachers and guiding and mentoring them carefully. The service learning students apply their pedagogical knowledge and skills acquired in classroom coursework to a real-world setting through community engagement activities and engage in structured reflection to enhance their learning experiences and effectiveness (Reynolds 2004:9; Burton & Reynolds 2009:18; Yob 2000:67).

⁶⁶ He eventually resigned and returned to Pretoria where he furthered his studies and career. The project was closed down as a result because a replacement tutor could not be found.

Transformation is a key aspect. Mutually beneficial educational partnerships are established in response to the needs of community partners. Collaboration with a sense of unity is achieved by working towards shared aims and goals through extensive planning and purposeful communication. Thus the service learning paradigm simultaneously transforms the community's view of music education and the music teacher's insight and responsiveness (Burton & Reynolds 2009:26-30). Notwithstanding, this is not a new concept in music education: "musicians, music educators, and music teachers have long been in the business of serving their communities through music performance and teaching" (Reynolds 2004:10).

2.11.1 Service learning and CMDPs

Cloete (2006) described the service learning modules incorporated by the Department of Music of the University of the Free State in collaboration with the Mangaung String Programme to enable BMus students to receive first-hand practical teaching experience. Interaction with the Mangaung learners contributed greatly to the personal growth of the BMus students and created a "broader understanding of social and cultural issues in communities other than their own" (Cloete 2006:20). Cloete and Erasmus (2012:2-4) subsequently advocated the importance of service learning in music education curriculum development, because its key components (serving the community, learning and reflection) prepare students more adequately for the working world by combatting what Kelchtermans and Ballet called "praxis shock" – referring to music students' experience when they are confronted with the discrepancies between their expectations and the realities of the music industry (Cloete & Erasmus 2012:4). Music students engage by teaching music history, theory and composition, giving individual music lessons, teaching small instrumental groups and conducting sectional rehearsals. Thus they are able to gain work experience and

develop a sense of social responsibility and a greater awareness of the different needs prevalent in the culturally diverse South African society.

Brand (2011:55) observed that service learning solves CMDP staffing problems and provides budgetary relief, although the high turnover of service learning students could negatively impact learners. Cloete and Erasmus (2012) echoed Brand's sentiment, adding that well-designed partnerships with CMDPs at schools and after-care educational programmes provide service learning programmes access to secure infrastructure and venues. Open communication channels are essential to voice and meet the needs of all the parties. Concurring with Burton and Reynolds (2009), they maintained that collaboration with the community is needed to align the design, implementation and assessment of service learning courses with the goals of the community to strengthen music teaching and learning. Critical reflection should be encouraged (Cloete & Erasmus 2012:6-15).

2.11.2 Structured critical reflection

Transformative critical reflection and well-structured reflective activities are essential components of the service learning process (Yob 2000, Emmanuel 2003; Reynolds 2004, Burton & Reynolds 2009, Cloete & Erasmus 2012). Reflection should be developmental and continuous, connecting course content with the community experience to create meaning and self-understanding. Reflective activities include journaling, individual reflection and reflection between peers, faculty and supervising staff. Students should discuss their highlights and perceived successes and failures and in return, they should receive feedback about their professional demeanour, classroom management and engagement with the children (Burton & Reynolds 2009:21, 23, 29). This cycle of planning, assessment and reflection enhances the

student's confidence and commitment to music teaching. Thus critical reflection culminates with the student transcending from "passive note taker" to "active participant" (Cloete & Erasmus 2012:11-15).

2.11.3 The benefits and challenges associated with service learning

Service learning offers students opportunities to develop their teaching practice and to develop personally (Burton & Reynolds 2009:18). It prepares them for challenging and unfamiliar situations as they learn to teach with care by adapting to the diverse and special needs of individual learners. Thus it assists in academic improvement and fosters a lifelong civic engagement and a deeper commitment to teaching (Reynolds 2004:9-15).

Service learning also educates students for real life by connecting them with the larger world and its suffering as it develops "the qualities required for good citizenship" (Yob 2000:76). Students engaging in critical reflection have the opportunity to explore the ethical dilemmas they encounter through their teaching, gaining respect for values such as diversity and social justice (Burton & Reynolds 2009:19).

Service learning encourages music and arts activities at partnership programmes and schools, and service learning students learn about the importance of music advocacy by reflecting on how music interventions impact learners (Reynolds 2004:14). Added benefits have been reported by supervising teachers who claimed their own teaching and confidence improved through interaction with service learning students and music interventions (Reynolds 2004:14; Burton & Reynolds 2009:22).

On the other hand, service learning partnerships result in time-consuming demands such as a crowded curriculum, communication challenges and administrative loads (Burton & Reynolds 2009:12-15). A lack of stakeholder commitment, conflicts among participants, leadership changes and personality clashes constrain development. However, these challenges can be overcome through open communication lines, regular meetings, candid discussions and critical reflection (Burton & Reynolds 2009:27).

In South Africa there are additional risks and associated liability issues which become more immanent when students travel into potentially dangerous areas in townships. These risks must be identified and managed securely through proper planning, control, scheduling and record-keeping. Liability documents such as indemnity insurance forms, codes of conduct, contracts, transport invoices and minutes of meetings must be safeguarded. Service learning students and teachers need to be orientated to the general broader safety and security issues, logistical considerations, arrangements and risks. The responsibilities of each party involved in a service learning partnership must be identified clearly (Council on Higher Education 2006:72).

2.12 PARTNERSHIPS SECURE CMDP SUSTAINABILITY

The proliferation and sustainability of CMDPs globally have been enhanced by the establishment of eclectic alliances and public-private partnerships. For example, the Sistema-inspired In Harmony programme in England received a one million pounds kick start from a key politician after a visit by Gustavo Dudamel, followed by a combination of limited public funding, private contributions and individual resources

provided by musicians to ensure continuity and sustainability (Majno 2012:59). Similarly Daniel Barenboim's West-Eastern Divan Orchestra has been sustained through relationship-building and collaboration with partners such as the Barenboim-Said Fundación, Spanish Andalusian state authorities, Berlin Staatsoper, Ramallah Cultural Palace 1999 and several private benefactors, including the celebrated cellist Yo-Yo Ma (*Knowledge is the Beginning* 2005).

In South Africa partnerships between educational institutions and primary schools, as recommended by Burton and Reynolds (2009:23), have added to the success and sustainability of CMDPs. The HLMC in Parow, Cape Town, has effectively partnered with the Silversands,⁶⁷ Rosendal and Kalksteentfontein Primary Schools. Learners from these schools visit the HLMC for two hours per week during school hours as part of their Creative Arts curriculum. They receive individual or group instrumental tuition, music theory and practical musicianship classes and participate in an ensemble. Each school has been encouraged to establish its own music ensemble that can perform at community events and formal HLMC concerts to showcase their progress and assist fundraising.

International partnerships and student exchange programmes linked with higher education institutions have further heightened the impact of CMDPs:

- The *Mangaung String Programme* has collaborated with the University of the Free State, the Mozarteum in Salzburg and several other conservatoires in Austria and Belgium, offering workshops and master classes by visiting professors and touring to Europe occasionally (Spies 2013-2014);

⁶⁷ During my tenure at the HLMC I was the coordinator of the Silversands and personally responsible for the ensemble as its conductor. The ensemble performed at various corporate fundraising events and even recorded its own compact disc.

- The *Musikhane* CMDP of the North-West University in Potchefstroom regularly hosted exchange students from Kenya, Germany and Finland (Spies et al 2013-2014);
- The *STTEP Music School* and its umbrella body, the Department of Music of the University of Pretoria, had exchange programmes with various Finnish institutions that saw STTEP students visiting Finland and Finnish musicians visiting STTEP (Van Niekerk & Salminen 2008; Van Niekerk & Typpo 2012);
- The *Redefine Music Education* Project in Kuils River, Cape Town, partnered with the Valdres Summer Music Symphony Music Festival in Norway;
- The *Hout Bay Music Project* partnered with Dutch violinist and musical entrepreneur André Rieu following his South African visit, when he invited twenty Hout Bay children and staff members to join him for an open-air concert performance in his hometown of Maastricht in June 2010 (South African Hotels 2012);
- The *Field Band Association* of South Africa partnered with Fredskorpset (the international development arm of the Norwegian government) to facilitate exchange programmes between South African and Norwegian professional musicians (Whittaker 2014b:235, 243, 250).

2.13 MUSIC ADVOCACY VERSUS HUMAN EXPRESSION

This chapter covered a brief review of the relevant literature about music education and how it has the power to enhance cognitive development and good citizenship, uplifting the individual and the wider community by changing the lives of people. In closing, it is also important to take cognisance of a few arguments cautioning against this utilitarian use of the advantages of music education as a way of “selling” it to

consumers and potential sponsors. The most important aspect of music-making lies in its aesthetic enjoyment which enhances our humanity.

As early as 1992 Lecroy cautioned against music public relations emphasising the value of “extramusical goals” that threaten to overtake primary aesthetic goals, because “aesthetic education should be...the primary basis for music in the curriculum” (Lecroy 1992:36). Yob (2000:68) also remarked that the very essence of the art of music is lost when it is employed as “a means to fulfil [an] end”. Eisner (2001) concurred, maintaining that music advocacy that claims to sell music by stating that it makes you smarter, ignores the distinctive and unique justification of music as a means of human expression. Music education should help students listen to music in such a way that they are “moved by the experience” (Eisner 2001:20-21). Through group music-making activities students learn to cooperate with others, sacrificing the personal ego for the performance as a whole. Eisner concluded that “[t]he ability to experience or create music should be the primary aim of music education, for ultimately the function of music is to enrich human experience” (Eisner 2001:23).

John Sloboda (1985:268) asserted that “Music is a fundamental human resource which has played, and may well play again, a vital role in the survival and development of humanity”. Morley (2014) also asserted that music holds “the key to a more human future” because it articulates “the timeless essence of what it is to be human”. With specific reference to the symphony orchestra, he concluded that live music performance provides an antidote to a world where “what it is to be human is threatened by the emergence and speedy mutation of machines” (Morley 2014).

2.14 CONCLUSION

Music education provides hope of a better future for South Africa's marginalised youth. As a catalyst for social transformation, music education has historically been used to rebuild nations by uplifting marginalised communities, developing what Suzuki and Abreu amongst others have referred to as good citizenship. Recent inspirational South American success stories have shown that orchestras and choirs are now used more than ever to serve as vehicles of social transformation.

Music tuition not only opens the door to a professional career in music; it makes you smarter and builds self-esteem. The playing of a musical instrument stimulates cognitive intelligence and brain development. Participation in instrumental ensembles provides enjoyment and assists with the development of attributes and skills such as motivation, self-discipline, creativity, teamwork, group synergy, commitment, perseverance and responsibility, which in turn enhance academic achievement, emotional intelligence and employability. In short, music makes you a better human being who can function well in society. The younger a child starts and the longer the music activities continue the better. The positive impact lasts well into old age.

Music improves general quality of life and it broadens horizons. Exposure to other cultures through music raises greater awareness of one's own culture. As seen through the work of the MIAGI New *Skool* Orchestra, Barenboim's Eastern-Western Divan Orchestra, and Yo-Yo Ma's Silk Road Project, music bridges socio-economic, cultural, racial and political divides and imparts social values such as democracy and citizenship in tandem with creative expression.

The power of music education as a social rescue intervention is of great relevance for South Africa. Music is an equaliser, because CMDPs level the uneven playing field created by apartheid and they simultaneously raise the performance bar through excellence – in music as well as in life. Group music-making binds together young people from diverse backgrounds in a single cohesive unit, where hard work and commitment are the only true guarantees for success. The music training and employment opportunities CMDPs provide through peer-teaching, service learning, informal job creation, formal employment and the creation of partnerships foster synergy amongst all the stakeholders that will enable the sustained delivery of music education to South Africa's youth in the long run.

However, when comparing South African CMDPs with El Sistema, it must be borne in mind that it is the committed Venezuelan state support – augmented by the intensity and immersion associated with El Sistema – that has built its operational and programmatic success. Their tuition starts at preschool age and it takes place six days a week, whereas tuition in South African CMDPs starts much later (sometimes in high school only) and pupils usually attend one or two classes per week only.

Despite all the hype surrounding the positive cognitive impact of music education, the artistic value of the expressive, emotional side of musical engagement must not be ignored. Selling music for public relations purposes through a utilitarian claim that it enriches intellectually, ignores the fact that music ultimately enriches the human experience all round. Music *can* provide hope for a better tomorrow. Building on the early philosophies of Plato, music advocacy in the 21st century continues to assert that the affective power of music to reveal our innermost human nature plays a fundamental role in the development of humanity. It simultaneously provides a

platform for economic growth and development – the subject to be explored in the following chapter.

CHAPTER 3
THE CULTURAL AND CREATIVE INDUSTRIES:
ECONOMIC GROWTH THROUGH MUSIC AND THE ARTS

3.1 INTRODUCTION

When the first prehistoric hunter-drummer started beating out a rhythm with his club, he chose to make music instead of hunt for food. Ever since then we have been confronted by the interaction between art and economics. Patrons of Greek festivals allowed spectators to watch award-winning tragedies, and in later years, artists and musicians obtained commissions through networking and relationship-building with the church and rich ruling families. Mozart pioneered crowdfunding, and Beethoven became the first composer to protest against the patronage system, choosing to make a living from composing and performing his own works instead. The wealthy urban elite gathered in nineteenth-century theatres and cultural halls to be entertained with music and dance in similar ways as they now flock to theatres, concerts halls and even large sports stadiums to attend contemporary music concerts (Hagoort 2008:29).

In the post-industrial world of the 21st century the focus on the Cultural and Creative Industries (CCI) has drawn renewed attention to this concept of cultural entrepreneurship, which considers “the freedom to make art” as its foundation (Hagoort 2008:24). The decline of manufacturing industries has necessitated a global shift away from a resource-driven economy to a new service-based knowledge economy that capitalises on human resource capacity such as knowledge, identity and creativity, rather than the exploitation and consumption of natural resources.

Entrepreneurship and innovation, engineered through science, technology and creativity, have become its key growth drivers (Riley 2012:2-3, 8).

The CCI have fostered global economic growth and prosperity because it offers opportunities to people from all socio-economic and educational strata to profit from their talents (Kooyman 2012:93). It enhances a country's competitiveness by expressing cultural identity and contributing to diversity and product diversification, and therefore offers significant growth opportunities for developing countries seeking to diversify their economies in order to leapfrog into the knowledge economy.

The CCI have indeed emerged as a key reference point for South African society and government as a means of stimulating economic growth. With South Africa's inclusion of the CCI as a growth path in the *National Development Plan 2030* (NDP), South Africa has – somewhat belatedly – joined forces with an increasing number of countries world-wide that are pursuing the CCI as an opportunity for growth and sustainability. With the listing of the CCI as a key economic growth sector in the New Growth Path and Industrial Policy Action Plan 2, the South African government has finally acknowledged the significant role played by the creative sector in the economy (Dept of Arts, Culture and Heritage 2013:13; Mashatile 2014; Cabrita & Cabrita 2010:172; UNCTAD 2010). Because South Africa has an overarching aim of achieving social cohesion and labour market transformation,⁶⁸ the CCI sector is viewed as a source of wealth, work and meaning in a post-apartheid South Africa needing to redress the income inequalities which still divide communities along racial and ethnic lines today (Collins & Snowball 2013:1; Gaylard 2013:8).

⁶⁸ As discussed in chapter one, South Africa has a very high unemployment rate and is one of the most unequal nations in the world.

In chapter two I related how music education imparts cognitive, emotional and social skills through individual and group music-making activities. In this chapter I explore the potential of music and the performing arts, a subsector of the CCI, to contribute to economic, social and regional development. I commence with a discussion of the evolution of the Creative Age and an investigation into the key drivers that have contributed to the explosive global growth of the creative economy. An introduction to emerging CCI classifications is followed by an investigation into the economic, social and regional impact of the CCI which includes an examination of how the CCI responded to the 2008/2009 recession. A discussion of the obstacles to CCI growth ends with the constraints evident in developing countries, as identified by the United Nations Conference on Trade and Development (UNCTAD). Subsequently I focus on CCI policy and introduce recent South African CCI sector reports and development strategies by government departments and civic associations which have resulted in a new draft new policy, the *2013 Revised White Paper on Arts, Culture and Heritage*, with its emphasis on arts festivals. The chapter concludes with a discussion of the alleged commodification of the arts in South Africa.

3.2 THE CREATIVE AGE

The term the “Creative Age” was first coined by Richard Florida in 2002 and it has since been adopted by most researchers (Florida 2004:123; Nivin & Plettner 2009:31; Henry & Johnston 2009:212, Levickaité 2011:87) to describe the era in which the work done by creative people – the “creative class” as Florida (2005) renamed them – creates the value-added in the economy. A creative environment drives creativity which in turn drives economic development, putting the CCI at the heart of the Creative Age because it contributes to employment, promotes cultural

diversity, is environmentally friendly and contributes to the maintenance of cultural assets and heritage sites. This rings true for not only modern countries with developed economies, but also for developing and emerging economies, as reported by UNCTAD in its 2008 and 2010 *Creative Economy Report*. The CCI are powerful engines of economic growth and trade development, because creative goods and services stimulate new business and enhance capacity by acting as a multiplier in other sectors (UNCTAD 2009:7-9). Hence the concept of culture being a driver of economic regeneration has become the norm (Mieze 2010:45).

An explosion in the CCI occurred in the 21st century, driven by general economic development and rising prosperity. De Beukelaer (2014:3) and Hesmondhalgh and Pratt (2005:3) postulated that increased leisure time and higher literacy levels contributed to a demand for entertainment and tourism which, driven by consumerism and new media, resulted in a spiked demand for CCI consumer goods such as design and publishing products (UNCTAD 2010:132). Urbanisation turned this demand into consumption, fostered by a high representation in the population of youth under 30 combined with an ageing population with an increased life expectancy (UNCTAD 2010:21). The creativity of people combined with the lure of high-value, high-skilled job creation, the globalisation of communications networks, rapid advances in new digital technologies and new business development drove the production of new, highly-profitable creative goods and services (Henry & Johnston 2007:211; Levickaité 2011:83-85).

According to figures taken from the UNCTAD Global Database on the Creative Economy, global creative trade reached a record US\$624 billion in 2011, up from

\$559.5 billion in 2010 (Gaylard 2013:16). This accelerated economic growth was enabled by the following key drivers:

3.2.1 Creativity and innovation

Creativity was introduced in chapter two as being closely associated with music education. Because creativity and global competitiveness go hand in hand, creativity and innovation have become critical components of 21st century business leadership excellence for businesses wanting to survive in a world not only dominated by rapid changes in culture, economics and technology, but also by artistic and aesthetic changes (Egedy & Kovács 2010:127; Florida 2004:24; UNCTAD 2010:4).

Creativity is a form of capital called “creative capital” (Florida 2005:32). It is a “common good”, as essential as liberty and security, that must be nourished, renewed and maintained (Florida 2004:136). Often associated with arts and culture, creativity is multi-faceted and incorporates originality, inspiration, ingenuity and inventiveness (Mieze 2010:45-46). Thus a vibrant arts culture and infrastructure are key drivers of many regional economies fostering innovation, job creation and social cohesion (Nivin & Plettner 2009:31-33; Mieze 2010:43).

Creativity encompasses four dimensions – cultural, scientific, economic and technological creativity – that come together in entrepreneurship; therefore creativity has become a vital asset to business leaders (Mieze 2010:43-48; Cabrita & Cabrita 2010:171; Piergiovanni, Carree & Santarelli 2012:539). It is connected with creative thinking and the ability to synthesize – to create something new and useful through the selection and review of data – to move from thinking to acting (Levickaité 2011:87). Organisations that embrace creative thinking and practice to overcome

resource constraints are best able to differentiate themselves in the market place (Fillis & Rentchler 2005:275-276).

3.2.2 Design

Innovation drives design. The Creative Age has become an era in which new innovative design-driven products are pushed onto the market globally as a result of the intense consumer demand (Cooke & De Propris 2011:368; Nivin & Plettner 2009:31-33). Design plays a vital role in the “cut-throat games” played at the low-cost end of the market, as well as in satisfying the emotional need for beauty and design that drives high margins at the top-end of the market as competitors try to out-imagine and out-create one another (Nivin & Plettner 2009:31-33).

3.2.3 Digital and mobile revolution

Rapid acceleration in technological change enabled by the convergence of multimedia and mobile telecommunication technologies has led to the creation of a digital ecosystem that integrates the production, distribution, marketing and consumption of creative content goods. Innovation in business models, finance, governance channels and market structures has provided new e-commerce opportunities. The resultant greater flexibility and lowered transaction, transport and stockholding costs have facilitated trade and opened up international business opportunities for small local businesses via the internet (Mieze 2010:45; UNCTAD 2010:189-191, 194-199, 256).

On-demand access facilitated by new media has allowed the consumer to add to the cultural experience through constant interaction and engagement with the author of the product, establishing the concept of “the consumer as creator”. Growth in the

range of media such as cable and satellite television, video-on-demand, the internet, podcasting and streaming has enabled skilled workers to work from remote job sites, committing to a region rather than a specific firm. With developing countries accounting for two-thirds of international mobile subscriptions, mobile phones have now emerged as the most widespread ICT tool in Africa (UNCTAD 2009:8; Levickaité 2011:82).

3.2.4 Intellectual property

The CCI include industries with an artistic or cultural bent. Intellectual property, especially its commercialisation through copyright, has therefore become the most significant tradable economic asset in the Creative Age (Mieze 2010:45), providing a financial stimulus to creators and entrepreneurs alike (UNCTAD 2009:9).

3.2.5 Creative clustering

The CCI have a tendency to cluster together in geographic proximity, enhancing economic output and growth, because of benefits such as innovation, “spillovers” and cross-sector synergies (De Propris 2013:24, 26). Cultural and creative hot-spots become regional, national and even global hubs, creating a critical mass of skilled labour (Florida 2006:25). This “creative *buzz*” results in fundamental linkages that emerge along the value chain, contributing to economic efficiencies such as economies of scale, thick inter-personal networks, cross-sector fertilisation and complementarity (Piergiovanni et al 2012:547-549).

The innovation content of creative goods and regeneration through the renovation of tourism sites further contribute to the upgrading of local economies and the renewal of communities (Cooke & De Propris 2011:367-373). Originally derived from “cultural

quarters” punted as part of regeneration strategies, the fusion of CCI flagship projects such as festivals with tourism has led to the concepts of “cultural clusters” and “creative cities” (Hesmondhalgh & Pratt 2005:4).

3.2.6 Tourism

Tourism is a main source of foreign exchange. The demand for tourists to visit cultural heritage sites, museums, art galleries, festivals, and music, dance and opera performances creates an economic domino effect between businesses, cultural amenities and educational institutions (UNCTAD 2010:21) that becomes even more significant when cultural activities are indigenised to achieve maximum economic benefits (Henry & Johnston 2007:216). The regular use of cultural facilities and resources contributes to the development of infrastructure such as transport and telecommunications systems (Phillips 2004:113-115). Thus strong linkages between the CCI and tourism enhance the creative economy as a whole (Mieze 2010:45).

3.3 THE CREATIVE ECONOMY

3.3.1 The CCI: the backbone of the creative economy

The term “creative economy”, an emerging concept, first appeared in 2001 in Howkins’s work about the holistic relationship between creativity, culture, economics and technology that creates special value and wealth (Mieze 2010:46; Levickaité 2011:90; Cabrita & Cabrita 2010:172). As a unique multidisciplinary model (Kooyman 2012:92), the creative economy reinforces the “creative nexus” between investment, technology, entrepreneurship and trade. It fosters income generation, job creation and export earnings whilst promoting social cohesion, cultural diversity and human development (UNCTAD 2010:18). Thus it contributes significantly to the

innovativeness of the wider economy (De Propris 2013:24) by drawing together innovation (technological creativity), business (economic creativity) and culture (artistic and cultural creativity) in a powerful synergy (Mieze 2010:46).

The CCI constitute the backbone of the creative economy. Its crosscutting, multidisciplinary nature has a direct economic impact through the production and sales of creative goods and services. The CCI also influence innovation capability in the wider economy by feeding these goods and services as inputs into other sectors, thereby enabling the repositioning of manufactured goods (Cooke & De Propris 2011:365-367, 371). The application of creative skills, entrepreneurship and intellectual property managed through internet-based business models further enhances economic impact (Levickaité 2011:82).

The sector ranges from independent artists – small, agile businesses that operate within a networked chain of inter-related activities – to large global conglomerates (Mieze 2010:43). Receptive to foreign collaborations, international partnerships and foreign direct investment, the CCI offer significant potential for exports. The sector constantly absorbs new technologies and business processes and utilises thick, flexible personal and professional networks such as those embedded in London's advertising, music, visual and performing arts creative circles (De Propris 2013:30-31; Henry & Johnston 2007:213). Also witnessed locally in industrially and institutionally dense Gauteng, strong entrepreneurship and a high growth rate of new CCI firms contribute to agglomeration, regional economic development and employment growth (Piergiovanni et al 2012:541, 549; Dept of Labour 2008:41-47, 51).

3.3.2 The cultural industries

Although the words “cultural” and “creative” industries are sometimes used interchangeably, the term “cultural industries” specifically refers to the arts, culture and heritage subsector of the CCI (UNCTAD 2010:4). Thus the cultural industries are surrounded by the creative economy and embedded in the wider economy (Mieze 2010:44). Generally grouped together as industries that supply cultural products and services with a high symbolic content, the cultural industries have shifted the “boundaries between culture and economics and between art and commerce” (Hesmondhalgh & Pratt 2005:1).

The cultural industries include the arts, antique markets, crafts, tourism, heritage, food and beverages in what is also called the “experience economy” (Cooke & De Propris 2011:371). Core cultural activities have social goals and the final product is often an event such as a publicly-funded concert or art exhibition (Jarvis et al 2009:366; Dept. of Arts, Culture and Heritage 2013:17). With an intrinsic link to history, heritage, cultural identity and the environment (Markusen & Schrock 2006:1665), the cultural industries have heightened awareness of the economic potential of the indigenous sectors (Cooke & De Propris 2011:372).

The performing arts constitute the core of the cultural industries because of its close interaction with activities such as music and broadcasting. With income generated from box office revenues, international touring, royalties, subsidies and grants (UNCTAD 2010:141-142), the live music concert touring industry has continued to grow significantly in recent years through world-wide ticket sales. Growth has been achieved by developing solid foundations for new artists, selling tickets across

several genres and by applying new-media marketing tools to create a greater awareness of international touring (Billboard 2013b).

3.3.3 Creative and cultural entrepreneurship

World-leading creative entrepreneurs are characterised as successful, talented people with multidisciplinary skills portfolios and cosmopolitan territorial identities (Piergiovanni et al 2012:541; UNCTAD 2010:11; Cooke & De Propris 2011:369). Per example Florida (2005) refers to British-born Jonathan Ive – the designer of leading Apple innovations such as the iPhone and iPad – who was a bathroom designer before he relocated to the United States to join Apple. Such “heroic” creative entrepreneurs intuitively combine opportunity, recognition and strategy with innovation, personal drive, management and survival (Hagoort 2008:29-30).

Creative entrepreneurs add economic value through their creativity by transforming new ideas into innovative products or services. They explore new or overlooked markets, introduce innovative production methods and business models, and continuously search for new sources of supplies. They are also willing to assume risks such as the possible loss of business capital and personal financial security associated with starting-up a new firm. Alert to opportunity and successful in turning their creativity into commercially exploitable knowledge, they “see change as the norm and as healthy” (Kooyman 2012:94).

Connections amongst these creative individuals with the resultant reciprocity and trustworthiness that go along with it, contribute to a flourishing creative and entrepreneurial milieu. Thus the complex cultural fabric of the CCI thrives on the entrepreneurial behaviour displayed by so-called “nano-enterprises” – a

conglomerate of individuals and numerous small initiatives fighting for survival alongside large vertically-integrated multinational firms and quasi-public cultural institutions (Kooyman 2012:94; UNCTAD 2010:84-86). These small and medium-sized businesses comprise 80% of the sector (Hagoort 2008:3).

In the cultural industries nano-entrepreneurship translates into individual artist self-management and self-actualisation (Beckman & Essig 2012:1). Freelancing has become commonplace, with around one third of all self-employed graduates in the United Kingdom stemming from the creative arts disciplines (Margey 2011:185). Success in the music and performance sector is largely attributed to the individual determination and talent of these cultural entrepreneurs rather than national strategies or CCI policies (Henry & Johnston 2007:217).

Because cultural entrepreneurship intersects with the public, non-profit and private sectors (Beckman & Essig 2012:4), it is evolving into a more strategic interdisciplinary cultural management approach that integrates the material value of entrepreneurship with the immaterial content-oriented values of artistic freedom by balancing the risks between creative management values, a strategic cultural mission and environmental infrastructure. Thus cultural entrepreneurship can deal with innovation, personal drive and business planning by means of a specific emphasis on finance and marketing to enhance survival in a high-risk environment where nobody knows beforehand what the demand for a creative product will be (Hagoort 2008:3, 6-7).⁶⁹

⁶⁹ The "Nobody knows principle" is one of Caves's *Seven Economic Properties* discussed later in this chapter.

3.3.4 Diversity

A complex, critical relationship exists between creativity and diversity because both contribute to innovation, diversification, synergy and entrepreneurship within the creative sector (Mieze 2010:45). Creativity enhances cultural diversity and vitality because it is a leveler that defies gender, race, ethnicity, religion and sexual orientation (Florida 2005:35). Cultural diversity in turn nurtures economic, social and cultural development; the CCI therefore foster cultural diversity in developed and developing countries alike (UNCTAD 2010:25).

The “openness” of a region that enables the social integration of legal immigrants into society enhances the creativity and overall employment growth and global competitiveness of the economy (Piergiovanni et al 2012:542-554). Globalisation and the mobility of people have given rise to the concept of “brain circulation” which has replaced the old “brain drain” dynamic (Florida 2005:109). Citing early examples such as film mogul Samuel Goldwyn and cosmetics magnate Helena Rubinstein (both from Poland), and the more recent high-tech luminary Sergey Brin (the Russian-born co-founder of Google), Florida (2005:6-7) pointed out that America’s ability to attract and retain creative, talented people has powered the country’s economic growth since its early days. Similarly the creative economy presents new economic opportunities to people from marginalised groups who historically have been unable to participate in urban and regional economic progress (Egedy & Kovács 2010:129).

3.4 MAIN CCI APPROACHES AND CLASSIFICATIONS

Although the international debate on the CCI was fueled by the numerous contributions of Richard Florida, the different approaches, methodologies and

classification systems for identifying creative assets have continued to dominate the discourse because the inherent problems that arise with comparative measurement and mapping studies make statistical comparisons near impossible (Oakley 2004:71; Florida 2005:167; Jarvis et al 2009: 365, 373; Nivin & Plettner 2009:35; UNCTAD 2009:10; Cabrita & Cabrita 2010:172; Cooke & De Propris 2011:372; UNESCO⁷⁰ 2006). The following main approaches and classifications have attracted attention world-wide:

3.4.1 Florida's Creative Class

Richard Florida formed his creative class theory in 2002 around the concept of creative entrepreneurial professionals, researchers and artists. He postulated that creative professionals drive economic growth with their talent and presence by creating socio-economic and cultural dynamism in cities, which he called "global talent magnets" (Levickaité 2011:86-87; Nivin & Plettner 2009:33).

Florida's creative class theory is based on his so-called "3-T" model: Technology, Talent and Tolerance (Florida 2005:37; Egedy & Kovács 2010:129; Pratt 2008:4). All three Ts have to work together in synergy to enhance a region's competitiveness (Florida 2005:154). Florida argued that technology and human capital power economic growth, because creative people (Talent) prefer culturally diverse places which are open to new ideas (Tolerance), resulting in reciprocal learning. The concentration of cultural capital is wedded to new products (Technology). Florida asserted that openness and tolerance – with associated low barriers of entry – breed innovation, enabling new business, job creation and economic growth.

⁷⁰ UNESCO is an acronym for the United Nations Educational, Scientific and Cultural Organisation.

Florida considered universities and colleges as intellectual hubs that foster a powerful, creative ecosystem because they drive innovation research, thus sparking new ideas into the creative economy (Florida 2005:251). His definition of the creative class included scientists, engineers and knowledge-based professionals which were excluded by others (Jarvis et al 2009:368). Florida's research mostly concerned the United States; therefore its relevance and applicability to other national contexts have been questioned and criticised (Jarvis et al 2009:368).

3.4.2 Landry's Creative Cities

In 2000 Charles Landry proposed the concept of a "creative city" through his theory that cities become more "liveable" through the synergy created by the imagination and talent of its people. He promoted urban regeneration through the maximisation of the potential of the CCI to generate economic and social wealth. With traditional industries declining, the creative capital that results from a rich local culture contributes to the regeneration of cities and economies (Jarvis et al 2009:369-370; Cabrita & Cabrita 2010:176).

A creative city is a diverse, bohemian metropolis with a variety of well-established cultural activities, facilities and infrastructure and knowledge-intensive industries glued to its economic and social functioning. Its key resource is its people, and their creativity becomes the dynamism in city development (Levickaité 2011:81; Cabrita & Cabrita 2010:176-177). London, whose still-growing CCI sector has manifested as the second largest economic sector in the city, is generally considered the best example of such a creative city. The city has significantly benefited from targeted CCI project funding since 1994 (Levickaité 2011:89; Cabrita & Cabrita 2010:177). Similarly other creative cities such as Bayreuth, Edinburgh and Salzburg have

recognised the importance of arts-associated culture by creating identity through the hosting of large cultural festivals (Levickaité 2011:88; UNCTAD 2010:12). Similarly Grahamstown in the Eastern Cape, host to the oldest annual arts festival in South Africa, has recently repositioned itself as a creative city, following a significant donation from the European Union to do so (Anon 2014a).⁷¹

3.4.3 Caves's Seven Economic Properties

In 2000 Richard Caves characterised the CCI on the basis of seven economic properties which generate new approaches to business processes and the demand-supply chain. In brief, these principles are:

- *Nobody knows*: Demand is uncertain;
- *Art for art's sake*: Originality is important;
- *Motley crew*: Diversely skilled inputs are required;
- *Infinite variety*: Differentiation is obtained through quality, uniqueness, and different combinations;
- *A list/B list*: Differences in skills and talent yield big differences in success;
- *Time flies*: Time is of the essence;
- *Ars longa*: Products are enhanced by durability and royalty income potential (Caves 2000; Levickaité 2011:81; UNCTAD 2010:90).

3.4.4 British Department for Culture, Media and Sport

In 1998 the British Department for Culture, Media and Sport (DCMS) was the first country to map and define the CCI (Cooke & De Propriis 2011:366; Mieze 2010:43; Oakley 2004:69-70). Their system has now been copied in many studies around the world (UNESCO 2006). The initial DCMS definition, namely "industries which have

⁷¹ Refer to section 3.11.2.1 of this chapter for more information.

their origins in individual creativity, skill and talent and which have a potential for wealth and job creation through the generation and exploitation of intellectual property” has remained largely unaltered despite revision in 2001 (Jarvis et al 2009:365).

This classification system includes thirteen fields: advertising, architecture, art and antiques, crafts, design, designer fashion, film and video, interactive leisure software, music, performing arts, publishing, software and computer services, television and radio. It overlooks cultural experienced-based activities such as heritage, archives, museums, libraries, tourism and sport (De Propriis 2013:24).⁷²

3.4.5 Howkins’s Fifteen Creative Industries

Howkins observed in 2001 that digital technologies and people’s ability to express creativity through marketable products were at the core of the creative economy (Levickaité 2011:83). He emphasised the concept of intellectual property, favouring a definition of the creative industries as one where “brainwork” is considered most important (Jarvis et al 2009: 366). He classified the creative industries into four broad subsectors which are at the core of his creative economy theory: copyright, patents, trademarks and design (Cabrita & Cabrita 2010:175). Howkins listed the creative industries by fifteen very specific industries, adding research and development and toys and games to the DCMS classification system introduced above (Levickaité 2011:81, 90).

⁷² According to the latest DCMS economic estimate, the CCI accounted for 5.2% of the economy of the United Kingdom (UK) in 2014, growing by 8.9% between 2013 and 2014. CCI employment grew by 5% during the same period compared to 2.1% for the wider UK economy. This economic growth was driven by software, computer services and design. Music, the performing and visual arts only grew by 5.4% during this time (Dept for Culture, Media and Sport 2016).

3.4.6 Creative Network Industries

The term “Creative Network Industries” was devised by Giep Hagoort to express the open networking and connectivity so prevalent in the cultural and creative sector. Contrary to the closed production and distribution chain inherent to traditional industries such as steel and pharmaceuticals, these open networks link small and medium creative enterprises, large firms, societal institutes as well as governmental bodies (Hagoort 2008:19).

3.4.7 UNCTAD’s Creative Economy Reports

UNCTAD, with the publication of its 2008 and 2010 *Creative Economy Report*, has driven the international debate on the scope and potential of the global CCI trade.

UNCTAD (2010:8) classified the CCI in four subsectors:

- *Heritage*: Traditional cultural expressions and cultural sites;
- *Arts*: Visual arts and performing arts;
- *Media*: Publishing, printed media and audiovisuals;
- *Functional creations*: Design, new media and creative services.

3.4.8 UNESCO

UNESCO devised its International Framework for Cultural Statistics as early as 1986, and refined it in 2009 (UNESCO 2009). The framework includes the following domains: cultural and natural heritage,⁷³ performance and celebration (including music, performing arts and festivals), visual arts and crafts, books and press, audio-visual and interactive media, design and creative services (UNCTAD 2010:109). This framework was adopted by the Department of Arts, Culture and Heritage (DAC) in its

⁷³ Heritage, specifically the protection of traditional cultural art forms, is of particular importance to South Africa given the rich variety of our indigenous cultures.

Revised White Paper on Arts, Culture and Heritage as the methodology of choice for South Africa (Dept of Arts, Culture and Heritage 2013:49).

3.5 IMPACT

Although the different classifications and mapping systems of the CCI have caused problems with comparative economic impact analysis studies, there is general consensus that the CCI are key to economic growth, social development and urban regeneration – even though data from self-employed people and small creative enterprises are sometimes excluded from these surveys (Jarvis et al 2009:366; Nivin & Plettner 2009:3; Jarvis et al 2009:367; UNCTAD 2010).

3.5.1 Economic impact

The primary economic impact of the CCI is measurable through the direct contribution made to the economy, the gross domestic product and employment figures. The explosive growth of the CCI has had a substantial direct impact through global trade, especially on developing countries, as witnessed by China that has emerged as the world's biggest exporter of CCI goods, having captured 25% of the global market (UNCTAD 2010:129).

The CCI economic impact is also notably evident through the non-profit arts sector if indirect and induced economic effects and benefits are considered (Niven & Plettner 2009:36). In 2010 Rocco Landesman, a Broadway producer and chairman of the American National Endowment for the Arts, concluded in a report that for every \$1 that was spent on the arts, approximately \$26 were generated locally. A similar report compiled by the City of Fort Worth indicated that from an initial donation of \$1.1

million, the handsome return of \$84 million was generated by arts organisations in and around the city (Woods 2013:30-31).

3.5.2 Agglomeration, liveability and regeneration

According to Landry, creative cities contribute to agglomeration and clustering with economic, social and cultural interactions that enhance efficiency, productivity and sustainable development (UNCTAD 2010:16). Thus “artistic dividend” can be considered the aggregate economic impact of the presence of artists on a region (Markusen & Schrock 2006:1661-1662).

Artists’ contributions reach deeply into the community to revitalise neighbourhoods. Not only do they generate income through direct sales – they induce innovation that enhances the design, production, marketing and saleability of products and services in other sectors to multiply the general productivity and earnings of the entire regional economy (Nivin & Plettner 2009:33). The beneficial spillovers accrued promote the “liveability” of a locality through the concentration of creativity, creative people and cultural activities that drive regeneration (Cabrita & Cabrita 2010:176). A vibrant arts community with a strong media presence attracts new businesses and lures more artists to the region. Weak economic districts such as rural areas and urban cores are thus transformed (Markusen & Schrock 2006:1663-1667). With traditional manufacturing activities declining in the developed world, many “hollowed-out” former industrial cities have been filled with CCI activities that stimulate property development and attract educated migrant workers active in high-tech industries (Pratt 2008:5-6).

3.5.3 Social benefits

The CCI contribute to improved quality of life, productivity, the development and retention of a skilled labour force, and the enhanced ability to attract and retain talented young people. These social benefits, called “existence values”, extend even to the citizens of the region who do not directly consume the goods or services through attendance of arts or cultural events (Nivin & Plettner 2009:35).

The CCI also contribute to employment and job creation. The quality of these jobs provides greater levels of employee satisfaction than more routine occupations because of the commitment and sense of cultural involvement required (UNCTAD 2010:24).

The CCI play a significant role in addressing social exclusion, because it stimulates new ideas and thinking in communities (Pratt 2008:18; Cabrita & Cabrita 2010:176). Arts programmes introduced in schools mould the attitudes and behaviour children. Community arts programmes inculcate transferable skills and build social capital by encouraging people to become engaged in community life. Creative activities enhance individual health and psychological well-being, and foster social inclusion and cohesion because shared participation in cultural activities brings together communities divided by tension and conflict. The creative sector also fosters national development because it enhances cultural diversity and the maintenance of cultural assets, artefacts, minority languages and heritage sites (UNCTAD 2009:8-9). Thus by creating an awareness of the role of culture and the arts within society, the CCI contribute to more sustainable communities with a culturally aware population and a holistic creative ecology (UNCTAD 2010:19, 24).

3.5.4 Enhancing a sustainable “green” economy

The creative economy complements and reinforces the so-called “green” economy. Both share the same sustainable and inclusive development objectives to yield diversity and ecosystem payoffs with significant cultural and economic rewards. CCI inputs are creativity, skills and services – not scarce natural resources. CCI production therefore complies easily with environmental protection and preservation regulation requiring lower water and energy usage because it is not dependent on heavy industrial infrastructure. The sector is considered environmentally-friendly because it contributes to sustainability and biodiversity and raises an interest in ethical consumerism. Indigenous knowledge creates lucrative markets for eco-tourism that promotes the conservation of environmental and cultural endowments and reduces the excessive leakage of creative talent from developing countries (UNCTAD 2010:65-69).

3.5.5 Millennium Development Goals⁷⁴

The growth of the creative economy emerged within an international framework highly influenced by the adoption of the Millennium Development Goals (MDGs) introduced in chapter one. By fostering economic, cultural, social and technological advancement, the CCI nurture a holistic approach to sustainable development, with specific reference to the following six MDGs (UNCTAD 2010:34-38, 231):

- *Poverty eradication and the reduction of inequality*: The CCI encourage entrepreneurship and the growth of small businesses (such as family businesses) that contribute to the informal economy and community regeneration at local level.

⁷⁴ As mentioned in chapter one, the MDG were replaced by the seventeen Sustainable Development Goals (SDGs) in 2016.

- *Gender equality*: Because female artisans are active in handicrafts, the CCI play a catalytic role in promoting gender balance and providing economic opportunities for women entrapped by prostitution and teenage pregnancy, notably in rural areas and developing countries.
- *Sustainable development strategies*: The CCI counteract the erosion of cultural expression, traditional languages and biological resources, and the sector enhances ethical consumerism and the protection of biodiversity through civic engagement.
- *Global partnerships for development*: International cooperation and collaboration build world-wide capacity. Partnerships create access to global markets and promote cultural exchange, facilitated by international investors, the mobility of artists, digitisation and new communication technologies.
- *Strategies for the social inclusion of youth*: The CCI absorb the marginalisation of youth by raising their self-esteem and engaging them in productive work. Income generating opportunities in rural areas discourage the drift to cities and addresses social ills such as delinquency, prostitution and drug abuse.
- *Spreading access to new communications*: The CCI sector facilitates world-wide access to new information and communications technology (ICT) systems and networking through mobile technologies, notably in the developing world (UNCTAD 2010:34-38).

3.6 RESPONDING TO THE RECESSION

The impact of the CCI and its potential to reset the world's economy through economic, social and cultural change, especially in developing countries, became more pronounced following the 2008 financial crisis. While traditional manufacturing

industries were seriously hit, the knowledge-based creative sector was more resilient. World trade in creative goods and services remained relatively robust because people continued to go to cinemas, listen to music, watch television and play video games. The use of creative products continued to thrive as an integral part of people's lives, providing opportunities for local authorities to respond to the economic challenges (UNCTAD 2010:xxv, 255).

Despite signs of economic nationalism as pressure mounted to protect domestic industries (UNCTAD 2010:236),⁷⁵ creative businesses bounced back quicker and grew faster. Even though international trade contracted up to 12%, world trade in creative goods and services continued to grow at an annual growth rate of 14%. Creative employment also grew four times faster than employment in the regular economy, and self-employment continued to rise (De Propris 2013:31; Piergiovanni et al 2012:554-555). The CCI weathered the crisis and showed a more intrinsic resilient dynamism than other parts of the economy, because of its capacity to sustain growth through innovation and competitiveness.

The economic crisis was followed by a period of public and private austerity during which the cultural subsector was perceived as extravagant. Severe cuts in public funding for the arts showed a deep misunderstanding of the innovative and entrepreneurship potential of the CCI to sustain communities and businesses during times of adversity (Cooke & De Propris 2011:366). The resultant credit-crunch caused a shift in public funding as foundation and individual donors decreased and re-prioritised philanthropic giving. The arts moved away from subsidies to pro-actively seeking new alternative revenue streams. Arts organisations diversified their

⁷⁵ Countries embraced trade defense instruments such as tariffs, anti-dumping measures and import restrictions to protect domestic industries and to manage trade balances (UNCTAD 2010).

business plans and started utilising unconventional funding tools such as crowdfunding and collaborative co-financing approaches via networks, partnerships and social media to survive (Beckman & Essig 2012:4-6; UNCTAD 2010:216). Despite the general contraction of the economy and the tightening of household budgets, the demand for entertainment, culture and leisure remained strong, indicating that the arts and culture are resilient, durable components – not merely “frills” – of an advanced economy (De Propris 2013:26).

3.7 OBSTACLES TO GROWTH

Although the innovation and creativity prevalent in the CCI have played a crucial role in recasting traditional industrial and manufacturing activities to develop a more diverse, balanced and stronger knowledge economy, the accelerated socio-economic growth potential of the global CCI sector has remained constrained by several obstacles.

3.7.1 A lack of measurement and monitoring systems

The lack of available qualitative and quantitative data inhibits policy-making (UNCTAD 2009:9). Because culture-based activities are difficult to measure, monitoring systems and assessments are often based on financial reporting, the measurement of trade figures and brand values and the perspectives of key stakeholders, but there is no consensus evaluation model (Moscardo 2007:10; Mieze 2010:47). Core activities vibrant in the non-profit sector and informal arts and crafts activities are often underreported, or double-counting occurs as a result of overlapping activities (UNCTAD 2010:96, 104-106). A more nuanced understanding of the dynamics and definition of the CCI is required. Data tracking and market

research must fit the purpose to provide an evidence-base for policy-making and intellectual enquiry to enhance progress (Cabrita & Cabrita 2010:179; Hesmondhalgh & Pratt 2006:10).

3.7.2 Ineffective education and training

The creative economy requires highly skilled creative workers who are flexible self-learners. The current education system has a “destructive narrowness” (Oakley 2004:74) characterised by outputs and targets at the expense of higher critical thinking, experimentation, creativity and entrepreneurship training. De Propris (2013:23, 31) and Florida (2006:24) asserted that a looming creative skills shortage, especially in the service sector, necessitates an upskilling drive across the board to facilitate the development of new creative products.

3.7.3 Profit motive versus aesthetic value

Although political support for the CCI has been advocated widely, Meade and Shaw (2011:70-71) maintained that this view is based on the belief that “originality and creativity is ‘cool’ – as long as it sells”. With culture being increasingly regarded as a value-adding economic commodity, the arts are being functionalised to integrate marginalised groups, build communities and regenerate economies. The aesthetic value and creative vision of formulaic mass-produced contemporary cultural products designed for profit and rapid turnover – but easily disposed of and replaced – remain questionable (Meade & Shaw 2011:76; Oakley 2004:72; Pratt 2008:18; De Beukelaer 2014:4).

3.7.4 Funding issues

Creative ventures generally have low profit margins and businesses become over-reliant on funding. Creative entrepreneurs lack access to government development incentives and conventional business finance opportunities. They have to be proactive in dealing with commercial banks and private investors, but often find it hard to obtain financial backing. Ostensibly the high growth potential of the CCI has failed to convince many venture capitalists to invest in it (Riley 2012:83; UNCTAD 2010:142, 215; Mize 2010:47).

There appears to be prevalence in CCI public policy to favour short-term, new projects concerned with measurable outputs, whereas non-commercial projects requiring long-term funding (such as subsidised arts initiatives and music education projects in schools) are neglected (Oakley 2004:73-75). Consequently the need to become self-sustainable has put immense pressure on the arts environment to be inventive in sourcing revenue and funding to feed growth and sustainability (Phillips 2004:119).

3.7.5 Social polarisation

The CCI could aggravate the marginalisation of minority or disadvantaged communities by creating additional barriers to the development of a more diverse workforce (Jarvis et al 2009:369). Because the CCI essentially produce two kinds of jobs – high-paying, creative occupations and lower-paying, less secure service-oriented jobs – the rise of the CCI has reinforced and deepened a fundamental class divide. High levels of income inequality have created a rift between the so-called “haves and have-nots, dividing communities along economic, social and even regional lines” (Florida 2005:20, 180-186). The increase in representation of graduate

labour, but with an underrepresentation of black and ethnic minorities, has further aggravated social polarisation within the sector (Oakley 2004:70-71).

3.7.6 Gentrification

With only minor increases in low-level employment, the CCI exacerbate economic inequality through “gentrification” – the arrival of wealthier people in existing urban areas with a related increase in rent and property values, and changes in intrinsic culture and character (Jarvis et al 2009:369; Kooyman 2012:94). Neighbourhoods transpire from low-income communities to fully gentrified districts, resulting in housing-affordability crises. Thus artists, musicians, immigrants and other marginalised groups are pushed out of the very neighbourhoods they have helped to rejuvenate (Florida 2005:196, 259; Pratt 2008:10).

3.7.7 Volatility

Creative entrepreneurs are highly mobile individuals who constantly seek new ideas, collaborations and markets. High volatility is evident in their rapid exchanges and transient relationships with customers (Riley 2012:82-83). The prevalence of short-term projects in the sector, coupled with the ephemeral nature of many creative goods and services, contributes to precarious employment conditions. These sudden surges and sags in business activities could destabilise a local economy. Artists are mostly employed on an irregular freelance or part-time basis, with limited medical and pension fund coverage. Such casualised, informal hiring patterns aggravate the insecure working conditions of many “underpaid” workers in the creative class (Jarvis et al 2009:368; UNCTAD 2010:142; Oakley 2004:69-73).

3.7.8 New workplace hazards

The creative economy has fueled a vibrant 24/7 pace of life that has been marked by new emotional on-the-job injuries and illnesses such as stress, anxiety, depression and burnout which have replaced the traditional physical workplace injuries. Density in creative cities also contributes to basic safety and security concerns such as crime and unusable nighttime streets (Florida 2005:77, 202).

3.7.9 Transport issues

Automotive congestion is aggravated by urban sprawl. Hence, without efficient public transport systems such as subway and light-rail systems present in leading global creative centres, a potentially creative city cannot become globally competitive (Florida 2005:200-201).

3.7.10 Constraints in African countries

African countries contribute marginally (0.6% in 2008) to global exports of creative goods.⁷⁶ They cannot harness the full potential of the CCI for development gains, because fragmentation has led to an incoherent production, marketing and distribution cycle. Ineffective CCI trade governance, inadequate infrastructure, unreliable data capturing, insufficient financing and investment mechanisms, a shortage of entrepreneurial skills and ineffective intellectual property protection measures inhibit the growth of the African creative economy. Despite the profusion of talent and the richness of indigenous cultural heritage, there is limited commercialisation of African artistic creations. The majority of cultural production takes place in the informal economy. Thus the absence of a secure decent income not only detracts from making a career as an artist or musician, but also aggravates

⁷⁶ Egypt is the largest CCI exporter, followed by South Africa, Tunisia, Morocco and Mauritius.

the severe leakage of talent from developing countries to other parts of the world (UNCTAD 2010:41-42, 133, 224).

De Beukelaer (2014:3; 15) asserted that increased cultural consumption and a flourishing CCI sector follow a socio-economically prospering society, not vice versa. Care must therefore be taken against the risk of inverse causation when promoting the CCI as a tool for development in Africa, because the lack of spending power and leisure time inhibits the demand for and consumption of entertainment and culture amongst young African populations. CCI policy focus in Africa should rather form part of a holistic set of interventions to advance human development (De Beukelaer 2014:16).

3.8 CULTURAL AND CREATIVE INDUSTRIES POLICY

The UNCTAD *Creative Economy Reports* reinforced the need for informed CCI policy that recognises the scope, diversity and development potential of the creative economy. Consequently CCI policy has replaced traditional cultural policy and now features prominently in the policies and development strategies of many national and regional authorities.

3.8.1 Policy recommendations

A holistic approach is required to fully and effectively embrace the scope and potential of the CCI (Cooke & De Propris 2011:371-372). CCI policy development must be accompanied by significant mapping processes to enhance strategic action taken at local, national and regional governmental level to promote creative capacity and environmental sustainability through equitable, people-centred economic and

cultural programmes. The cross-cutting and multi-dimensional nature of the creative economy necessitates a coordinated, inter-ministerial and inter-departmental approach to policy-making. Because the development of new CCI enterprises is notably influenced by national industrial relations, CCI policy must be informed and nurtured by other economic, cultural, social, industrial and trade policies (Jarvis et al 2009:370-371; UNCTAD 2010:209-210, 253; Hesmondhalgh & Pratt 2005:9).

CCI policy needs to reflect the interaction and linkages between creativity and innovation, economic development, regional growth and development, technology, labour, social affairs, foreign investment, entrepreneurship, education and training, tourism, trade, and globalisation. Specific attention should be paid to the micro financing of small and medium-sized businesses, industry-specific assistance such as tax concessions and investment incentives, and the expansion of digital capacity. The enforcement of intellectual property rights will safeguard the interest of artists and creators, specifically those from developing countries (UNCTAD 2009:9-10; UNCTAD 2010:27-28, 209-210).

CCI policy should foster creative networks (Cabrita & Cabrita 2010:172) and support social interventions facilitating cultural development and cooperation across different territories – in urban economies as well as rural spaces. A focus on demand-side initiatives using tools such as public procurement, the development of regional creative clusters, tax concessions for donations to the arts, training assistance for the creative arts and the operation of cultural institutions such as museums and galleries will create markets (Mieze 2010:45-48; Cooke & De Propris 2011:369; De Propris 2013:31-33).

CCI policy should be portrayed as democratising and anti-elitist, opposing arts policy purely aimed at subsidised cultural production efforts that do not meet breakeven (Hesmondhalgh & Pratt 2005:5). Policy should address special demands from local communities relating to cultural identity, social inequality and environmental concerns (UNCTAD 2010:xxiv), and there should be an emphasis on relevant and high quality education and training:

The successful promotion of the creative industries requires that they be reflected in the national education system, which would offer targeted training opportunities at different levels (formal, non-formal and informal) in skills and knowledge that are relevant to professional participation in the creative industries sector (UNCTAD 2010:211).

3.8.2 Policy shortcomings

CCI policy means nothing if not applied and implemented efficiently (Hesmondhalgh & Pratt 2005:11). CCI actions remain inhibited by the lack of a uniform framework for definitions and classifications, and a shortage of qualitative and quantitative data and scholarly research about the impact of the CCI (UNCTAD 2009:9; 2010:253).

Hesmondhalgh and Pratt (2005:1, 5) remarked that creative clustering strategies often involve the “functionalisation” of culture through the inclusion of other leisure and entertainment facilities such as bars, restaurants and health and fitness complexes. Notable tension arises when such a commercial and industrial culture is introduced into cultural policy regimes historically characterised by a legacy of romanticism and idealism. They also observed that an emphasis on heritage and cultural protectionism restricts exports and impacts economic free trade policies (Hesmondhalgh & Pratt 2005:8).

Jarvis et al (2009: 364), Oakley (2004) and Florida (2005) cautioned against indiscriminate, universally applied, populist CCI policy which detracts from the socio-

economic benefits brought about by creative enterprises. If used as a single weapon to turn around economically depressed regions, the CCI could increase the risk of creating polarised societies and unsustainable economic development

In developing countries the implementation of good governance principles and the development of positive relationships between creative workers, employers, retailers, producers and distributors remain a serious challenge (UNCTAD 2010:213). African countries specifically lack explicit infrastructure and institutional capacity to deliver on policy objectives. The lack of distinct cultural policy, combined with the location of arts and culture within government portfolios that also house heritage and national identity, contributes to limited attention being paid to contemporary culture (UNCTAD 2010:43).

These policy shortcomings contain definitive cautionary remarks for South Africa, where a broad, populist, approach to the CCI surfaced after several sector reports were commissioned by government and civic society to investigate the potential of the CCI in a South African context.

3.9 SOUTH AFRICAN CCI SECTOR REPORTS

Although the CCI have generally been neglected in mainstream South African trade and industry policy (Riley 2012:10), four public and private sector reports elevated the South African CCI debate. The development obstacles highlighted in these reports resonate strongly with the CCI growth constraints discussed earlier.

3.9.1 Cultural Industries Growth Strategy: The South African Music Industry

This report was commissioned by the Department of Arts, Culture, Science and Technology in 1998 to propose specific strategies for the growth and development of the local South African music industry. The report revealed that weaknesses within the music industry limited the creation of an export market and employment through retail, broadcasting and live performance (Dept of Arts, Culture, Science and Technology 1998:7). Other key problems that were identified include:

- Fragmentation and the lack of coordination between stakeholders;
- The lack of a coherent funding approach;
- Insufficient demand to build the financial security of artists;
- Insufficient exposure of South African artists domestically and internationally;
- The lack of investment resources (Dept of Arts, Culture, Science and Technology 1998:83).

A three-pronged strategy was proposed to strengthen the value chain, comprising the following:

- Increased investment for developing and marketing South African artists;
- Increased coordination between industry role players, institutions and government;
- The introduction of mechanisms to optimise consumption of South African music (Dept of Arts, Culture, Science and Technology 1998:83, 88).

As a result of an overburdened department and a lack of political will and commitment, these proposals were not followed up (Wenz 2012:18; Dept of Labour 2008:3, 5-6). A follow-up sector report was released ten years later.

3.9.2 The Creative Industries in South Africa

This 2008 report, commissioned by the Department of Labour, identified the CCI as significant drivers of sustainable economic opportunities through the development of small, medium and micro enterprises with the potential to create rural and urban employment, generate wealth and enhance international competitiveness (Dept of Labour 2008:3-4). The development of the CCI was viewed as an economic and social upliftment instrument which could support goals such as job creation, poverty alleviation, tourism development and community participation; hence it should receive funding through the fiscus (Dept of Labour 2008:12). However, a “smorgasbord” approach that flowed from the vast scope of CCI activity ranging from commercially viable ventures, cultural art forms dependent on declining funding, to traditional heritage requiring conservation, generated tension as to which government department has purview over the CCI sector in South Africa (Dept of Labour 2008:5-7, 11).

Despite the poor quality and availability of local data that complicated international comparison, several sustainability issues, skills’ requirements and potential key interventions were highlighted. The apparent downward trend in the enrolment for and completion rate of qualifications in creative arts disciplines as a result of the shifting of funding priorities to science, technology and commerce was highlighted as a special concern. As a result the gap between the number of students, available work opportunities, qualifications and the skills needed in creative work was growing, aggravated by the lack of professional development opportunities and insufficient employer input and participation in training initiatives (Dept of Labour 2008:79-89). The following key observations were made about music and the performing arts:

3.9.2.1 Music

Strong entrepreneurship in genres such as rock and kwaito, which have found artistic and creative expression amongst South Africa's marginalised youth, has driven the South African music industry. The future outlook of the local music sector was further enhanced by the global growth in World Music, agglomeration (especially in dense Gauteng), a changing consumer culture, improved income distribution, market access through technology, the potential of music festivals (incorporating rock, kwaito, jazz and classical music) and local content broadcasting quotas (Dept of Labour 2008:41-51).

On the other hand, several growth challenges were harassing the music industry:

- The perception of music as an “art form” instead of a business;
- A lack of managerial and technical skills and abilities;
- Limited resources for quality recordings and artists' promotion;
- A small domestic market size lacking a coordinated development strategy;
- Ineffective copyright and intellectual property protection resulting in huge losses due to piracy;
- Un-regulated contractual arrangements in the live performance sector;
- High unemployment rates and ineffective social security measures (Dept of Labour 2008:44-50).

3.9.2.2 The performing arts

Challenges highlighted in the performing arts subsector included an over-reliance on subsidies, high production costs, a lack of paying audiences and high operational costs of specialist venues such as theaters, concert halls and opera houses. Union structures are weak and unorganised. Performing artists generally have a low income

and face difficult work conditions such as underemployment, contributing to the difficulty in recruiting and retaining high skills levels within this subsector (Dept of Labour 2008:51-58). Furthermore, many self-employed artists engage in multi-tasking activities associated with following a portfolio career. As their job roles increasingly and in contradicting terms demand a combination of technical and creative art specialisation and generalisation in terms of business skills, they continuously cross boundaries in order to keep abreast of changes relating to finance, copyright, contract law, marketing and government legislation (Dept of Labour 2008:64-66).

3.9.3 The Economic Contribution of Copyright-Based Industries in South Africa

This 2011 fact-finding study was commissioned by the Department of Trade and Industry (DTI) through the World Intellectual Property Organisation (WIPO) to investigate the direct and indirect effect of copyright-based industries on the 2008 South African economy. The analysis results showed that copyright-based industries contributed significantly to the total value-added employment and trade. Representing 4.1% of the total economy, this contribution was more than that of the agriculture, food and beverage sectors, but less so than mining and manufacturing. Copyright-based industries employed 4.08% of the workforce and contributed 2.77% to exports. However, with imports of copyright goods being significantly higher at 7.85%, South Africa has an alarming net deficit of copyright royalty flowing out of the country (World Intellectual Property Organisation 2011:5, 47-49). This conclusion was also reached by the following sector report.

3.9.4 South Africa European Union Creative Industries Trade Dialogue Project

As a core partnership between the European Union, the British Council, the Visual Arts Network of South Africa and the Arterial Network, this initiative commenced in 2012 to evaluate South Africa's creative imports and exports through the analysis of large datasets based on the UNCTAD CCI definition. Here too it was concluded that South Africa's trade in creative goods did not compare well with global trends, because the 2008 financial crisis had negatively influenced South African exports to Europe – historically our biggest export destination. From 2002 to 2010 CCI exports rose marginally from R2.42 billion to R3.10 billion, whilst imports nearly quadrupled, creating a trade deficit. Although a significant increase in creative exports to African countries was evident, this increase appeared to be as a result of goods from other parts of the world being forwarded to African countries via South African ports. Penetration of new markets within the Brazilian, Russian, Indian, Chinese and South African formation was negligible, whereas imports from India and China rose significantly, with Chinese imports increasing sevenfold.

The greatest level of disparity appeared to exist in the area of intellectual property, pointing to failure in protecting and promoting South African intellectual property, and the need for serious intervention (Gaylard 2013:16-23). The report stressed the importance of internationalisation versus growing the local South African market and consumption base – given the weak local demand, the weakness of the South African Rand, and the complementary benefit of simultaneously marketing the country in a positive light. The vital role of the DTI and DAC in creating access to international opportunities and platforms was emphasised (Gaylard 2013:45-46).

A dedicated section on music and the performing arts highlighted the importance of diversified income through subsidies as well as earned revenue generated from live performance and touring. Cape Town Opera, which generates 30% of its revenue through an international touring programme, was used as an example of a cultural institution that has achieved growth and sustainability by focusing on an international marketplace profile and strategy to increase revenue streams. Similarly the Soweto Spiritual Singers was cited as a touring venture that exclusively targets the European market; because of their sold-out performances there they no longer considered the local South African gospel-saturated market as a significant source of revenue (Gaylard 2013:31-32). Several key areas requiring future action were identified:

- Improved data collection is required to inform policy;
- Export support mechanisms should be strengthened to assist businesses in accessing international networks and platforms;
- A coherent international strategy is required to align the mandates and strategies of the DTI, DAC and DIRCO⁷⁷ to strengthen intergovernmental coordination and promote the internationalisation of South African arts and culture;
- A coordinating structure is needed to enhance sustained dialogue between government and the industry and to enable rapid dissemination of information (Gaylard 2013:50-54).

3.10 SOUTH AFRICAN CCI DEVELOPMENT STRATEGIES AND SUPPORT STRUCTURES

The DTI has international access support measures and incentives in place to assist audiovisual media production and craft businesses, and a CCI Sector Desk within its

⁷⁷ DIRCO is the acronym for the Department of International Relations and Cooperation.

Industrial Trade Division to develop opportunities for film and craft. Music and the performing arts are meant to be supported through public funding by the DAC, the National Lotteries Board, the Arts and Culture Trust and Business and Arts South Africa (BASA) (Gaylard 2013:10-11).⁷⁸ To pave the way for greater support and development of the CCI in South Africa, additional growth strategies and support structures have been added.

3.10.1 National Development Plan 2030

The NDP aims to eliminate poverty and reduce inequality by 2030 by integrating focused efforts to promote greater opportunities for young people through education and work experience (National Planning Commission 2011:14, 18). Microeconomic reforms address quality education, skills capabilities, work opportunities and better public commuter transport, and there is special emphasis on marginalised rural communities marked by high levels of poverty and joblessness (National Planning Commission 2011:28, 31, 34).

The NDP acknowledges the CCI as the nexus of the arts, culture, the economy and society, with the potential to contribute substantially to small business development, job creation and urban development and renewal. Because South Africa's rich cultural legacy and the creativity of its rainbow people offer unique stories, voices and products, the NDP aims to harness these artistic endeavours and expressions to foster values, facilitate healing and restore national pride. Proposed measures to promote the arts include providing financial information and communications technology support to artists, implementing an effective Arts and Culture school curriculum with appropriate educator support, re-evaluating funding models and

⁷⁸ The problems with bureaucratic requirements and long turnaround times that have complicated access to and the efficiency of these support systems will be discussed in detail in chapter four.

developing legislation frameworks to protect employees in the arts sector (National Planning Commission 2011:26).

3.10.2 Mzansi Golden Economy Strategy

As part of the national target of creating five million jobs by 2020, the DAC launched the Mzansi Golden Economy Strategy (MGE) in 2011. The MGE considers the arts, culture and heritage as South Africa's "new gold" with the potential to increase economic growth and create jobs. By repositioning the arts as a valuable contributor to economic growth, job creation and sustainability, the South African government aims to stimulate the South African creative economy. Strategic investment in key areas is intended to create 150 000 work opportunities by 2017 (About SA – Arts and culture 2014).

The MGE includes specific objectives to:

- Stimulate demand by expanding opportunities;
- Develop audiences and consumption through large-scale national programmes;
- Build heritage resources to change colonial apartheid bias;
- Gather information to inform policy;
- Build human capital through education (Dept of Arts and Culture 2014:4).

The repositioning of the arts, culture and heritage sector is envisaged as a comprehensive drive to enhance overall social cohesion and competitiveness, and to nurture the economic potential of creative goods (specifically music products) through improved trade and export opportunities. Other proposed interventions include professional capacity building, the positioning of artists in schools, the

establishment of a national academy, a public art bank and a cultural observatory (Dept of Arts and Culture 2014:5). Museums, performing arts centres, libraries and archives will be built and upgraded as part of infrastructure development (About SA – Arts and culture 2014).

The MGE has moved away from an ad hoc funding approach to the strategic funding of cultural projects and festivals to expand supply and demand. The aim is to improve South Africa's profile as a cultural tourism destination of choice through the implementation of key programmes that encourage rural tourism growth and access to international platforms (Dept of Arts and Culture 2014:5). Projects with an agenda that includes touring, location regeneration, job creation and up-skilling opportunities are favoured. Prominent flagship projects with growing popularity and attendance numbers (such as arts festivals) receive funding on a three-year renewable basis (About SA – Arts and culture 2014).

Arts festivals are favoured because they promote, protect and preserve the arts, culture and heritage through increased access and participation, especially in rural areas. They are used as vehicles to celebrate culture, create infrastructure, improve public facilities, provide jobs, enhance revenues, attract investment, grow the arts, promote a region and to create local pride (De Klerk & Saayman 2012:383; Saayman & Roussouw 2010:256; Van Niekerk & Coetzee 2011:352). Festivals also play a complementary role in exposing local creative talent to international producers and talent scouts drawn to these events (Gaylard 2013:5). Their collective impact on communities and regional economies has been illustrated through several research reports:

- The *Grahamstown National Arts Festival* annually contributes R360 million to the economy of the Eastern Cape. With a growing number of international agents in attendance, it also plays an important role in facilitating international networking and exposure for South African artists (Gaylard 2013:33).⁷⁹
- The *Cape Town International Jazz Festival* generated approximately R158 million through direct, indirect and induced economic impact in 2009 – a remarkable economic injection given its short two-day duration. Labour was a key element, with 1059 jobs created, and the increase in income for low-income households in particular assisted poverty alleviation (Saayman & Roussouw 2010:255-256, 266-268).
- The *Nelspruit Innibos Arts Festival* has been synergised by equitable interaction between visitors, the industry and community to improve profitability so local businesses can reap the benefits of an increase in visitor numbers – despite the oversupply of South African arts festivals competing for the same tourism market (Van Niekerk & Coetzee 2011:364).

In 2013 the MGE received additional impetus through an attempt by the DAC to create new policy.

3.10.3 The Revised White Paper on Arts, Culture and Heritage

The *Revised White Paper on Arts, Culture and Heritage*, a working paper released for comment on 4 June 2013, encapsulated the government's vision of strategically repositioning the DAC to address unemployment, poverty and inequality through the facilitation and support of the CCI. Through this vision the DAC aims to transform the demographic profile and ownership of the CCI to include "all in South Africa" (Dept of

⁷⁹ Applying Landry's paradigm, Grahamstown launched a Creative City Project to secure a partnership with the European Union and a donation of R6 million for the Makana Arts Academy to establish Grahamstown as South Africa's creative and cultural hub (Anon: 2014a).

Arts, Culture and Heritage 2013:7), by enhancing social cohesion, nation-building and reconciliation through the arts, culture and heritage. With the MGE placed centrally, underpinned by the principle of Ubuntu, the purpose of this *Revised White Paper* is to promote and enhance moral regeneration, and adherence to acceptable social norms to sustain our emerging democracy (Dept of Arts, Culture and Heritage 2013:20-30).

Access to, participation in and enjoyment of the arts and cultural expression are acknowledged as basic human rights. The DAC pledges to create optimum conditions for art to be “developed, enjoyed and practiced ... equitably” (Dept of Arts, Culture and Heritage 2013:20). Transformation will be achieved through redistribution favouring previously disadvantaged entrepreneurs, as guided by the Broad-based Black Economic Empowerment (BBBEE) Codes of Good Practice (Dept of Arts, Culture and Heritage 2013:38).⁸⁰ Aligning with the NDP goals to erase inequality by 2030, the *Revised White Paper* lists fifteen specific outcomes:

- New policy and legislation;
- Accessible infrastructure;
- A holistically supported arts, culture and heritage value chain;
- Streamlined institutional arrangements;
- Suitably skilled and qualified practitioners;
- Transformed demographic representation;
- The creation of decent work and economic growth;
- Social cohesion, justice and solidarity;
- Active citizenship and citizen responsibility;
- Visible alignment between the government and industry role-players;

⁸⁰ The revised BBBEE Codes are discussed in more detail in section 4.10.3 of chapter four.

- Enhanced cooperative governance between the DAC, provincial and local government structures;
- The promotion, protection and preservation of arts, culture and heritage through increased access and participation;
- Increased delivery in rural areas;
- Increased levels of moral regeneration and national consciousness;
- Enhanced international competitiveness.

The DAC aims to do so by increasing market access, developing opportunities, strengthening international partnerships and building new partnerships with tertiary institutions. The establishment of a new CCI fund and the streamlining of national institutions and structures are envisaged to optimise the use of available resources. The UNESCO framework (introduced in section 3.4.8 of this chapter) is used for classification purposes, and specific development strategies are allocated to each subsector, with an emphasis on physical infrastructure and copyright and intellectual property legislation (Dept of Arts, Culture and Heritage 2013:39, 49-50, 56). The importance of arts education at primary, secondary and tertiary levels is acknowledged (Dept. of Arts, Culture and Heritage 2013:13, 32, 37, 64).

Ostensibly the *Revised White Paper* remained a working paper because the Minister of Arts, Culture and Heritage, Paul Mashatile was replaced shortly after its introduction. The former Minister of Police, Nathi Mthethwa, assumed office as the new Minister of Arts, Culture and Heritage on 25 May 2014.

3.10.4 Two new support structures

Minister Mthethwa (2015) acknowledged in his 2015 Arts and Culture Department Budget Vote that the DAC was plagued by internal control deficiencies, procurement problems and irregular expenditure. However, as announced in 2014, the formation of two new government-funded CCI support structures meant to organise and mobilise the South African CCI sector went ahead (Mashatile 2014; *SA creative industry gets government boost* 2014).

The Cultural and Creative Industries Federation of South Africa (CCIFSA) was established in March 2015 to represent the creative sector by attending to the exploitation of artists and industry fragmentation. The administrative structure and inaugural council board, led by actor and producer Tony Kgoroge, aims to protect, develop and grow the CCI by dealing with growth constraints such as funding, piracy, social security and the recognition of workers (SAMRO 2015). However, the efficiency of CCIFSA is already doubted because allegations of corruption and misappropriations of funds surfaced in April 2016 (Saba 2016).

The National Cultural Observatory, based in Port Elizabeth, was launched in 2016 with Prof Richard Haines at the helm to drive mapping processes, statistical analysis and multidisciplinary collaborative research about the socio-economic impact of the CCI on competitiveness, job creation and income generation to facilitate international comparison (Haines 2016).

3.11 COMMODIFICATION OF THE ARTS IN SOUTH AFRICA?

A national mapping study commissioned by the DAC in 2014 revealed that the South African CCI sector contributed over R90.5 billion to the South African economy in 2013/14, constituting 2.9% of the Gross Domestic Product. The sector employs 560 000 people of whom 60% are below the age of 34. With more than 50% of CCI enterprises owned by black South Africans, the sector plays a significant role in Black Economic Empowerment. For 2015/2016 the sector received a national budget allocation of R3.9 billion – an 11% increase in government funding from the previous budget (Mthethwa 2015; Snowball 2016:2-3; Cohen 2015:104).⁸¹

It is evident that the CCI have the potential to drive sustainable economic development and create inclusive job opportunities. However, this should not be the only reason for funding and supporting arts and culture in South Africa. The arts have the potential to develop a fully cohesive society in which its citizens have the skills and abilities to sustain their inclusion (Whittaker 2014a:4, 12). The very essence of the arts is lost when it is functionalised and merely regarded as a value-adding economic commodity that produces consumer goods and trade objects and gentrifies cities (UNCTAD 2010:243, 262). Per example Wenz (2012), who had applied Landry's *Creative Cities* paradigm to her analysis of the CCI-led regeneration and gentrification of Woodstock (originally a low-income suburb close to Cape Town's inner-city) observed an escalation in economic inequality and sociocultural polarisation along racial lines as a result of increased property prices, a demise in low-income rental housing and strict security measures (Wenz 2012:23-24, 28).

⁸¹ This increase in direct government funding has been counteracted by a decrease in NLDTF funding referred to in section 4.3.2.

A nation realises its dreams and aspirations through arts and culture (Cohen 2015:104). Cultural goods, services and activities are recognised as vehicles of cultural identity, values and meaning which contribute to differentiation and diversity, shaping national as well as individual identities (Snowball 2016). Cultural production has a big impact on collective thinking, because it reflects and enhances reconciliation, nation-building and the promotion of cultural dialogue and collaboration. Song has always provided activists with alternative means to reach the hearts and minds of supporters and adversaries alike (Meade & Shaw 2011:73). Prior to the 1994 democratisation of South Africa the performing arts – and music in particular – contributed significantly to the fostering of popular resistance against apartheid across racial lines. Considered as subversive, these artistic cultural expressions were often banned and criminalised by the apartheid government. However, such passionate creative expression often eludes the commodification and commercialisation intrinsic in the creative economy today (Wenz 2012:19).

As discussed in section 2.13, the greatest asset encapsulated in the arts is its intangible value for creativity and human expression (Fillis & Rentchler 2005:278). Creative cultural expression creates cultural capital which needs to be invested in wisely, or it will depreciate and devalue over time (Snowball 2016). A narrow focus on the arts as a business with significant income potential fails to account for the philosophical and intrinsic non-market value of “art for art’s sake”⁸² that cannot be measured in monetary terms (Fillis & Rentchler 2005:282). Originality *is* important. The freedom to make art is considered fundamental to cultural entrepreneurship, especially at micro level where most creative individuals operate (Hagoort 2008:29-30).

⁸² Refer to section 3.4.3 for Caves’s Seven Economic Properties.

Creativity, a “common good”, is an essential human right equal to liberty and security (Florida 2004:136). Creative arts education should therefore be nurtured early on in life for maximum impact. In contrast, arts education remains neglected, especially in rural provinces such as Limpopo, Northern Cape, North-West and Mpumalanga where enrolment for the Creative Arts in schools is very low due to a severe shortage of teachers. These four provinces combined accounted for only 10% of Arts and Culture enrolment in Grades 10 to 12 in 2009 (Cohen 2015:104).

As concluded in the previous chapter, the intrinsic and artistic value of the expressive, emotional side of the creative arts as a source of personal enrichment and a means of human expression provides the “key to a more human future” (Morley 2014). In order to resist the commercial exploitation and commodification of the arts in South Africa, it is imperative that CCI policy aims to grow and develop participation in and appreciation for all the creative and performing arts to foster a more creative future for us all.

3.12 CONCLUSION

The CCI sector, a dynamic element of the emergent knowledge economy, is an important source of wealth, education, national values, expression and pride and as such will become increasingly important in future (Mieze 2010:48). Culture-based creativity drives the creative economy and contributes to its competitiveness. The innovative goods and services provided enhance economic and social well-being, directly and indirectly impacting the wider economy as innovation spreads through spillovers in terms of products, knowledge and networks (De Propriis 2013:32).

The CCI sector aligns economic development with human development as it assists with achieving the MDGs/SDGs. In order to make this transition from an industrial to a creative knowledge society, a country must invest in its people by building creative capital and nurturing open, tolerant societies. Human talent must be harnessed effectively to enhance economic, social and regional regeneration (Florida 2005:241, 245, 255).

On the other hand, the CCI must not be considered a panacea for the world's social and economic problems, because it will not cause social inequality, unemployment, housing shortages, or trade deficits to disappear magically due to a miraculously-high economic growth (Florida 2005:64-65, 204). It could by all indications create new social problems related to urbanisation, gentrification and polarisation which need to be addressed in order for the benefits and opportunities of the creative economy to be optimised.

The creative economy constraints in developing countries identified by UNCTAD resonate strongly with the challenges highlighted in the South African CCI sector reports, as well as with the CSFs identified in section 1.8 of chapter one as key to the sustainability of CMDPs. Weaknesses such as ineffective education and training, funding shortages, a lack of indigenous repertoire, transport and safety and security issues are amplified by additional challenges such as intellectual property management, changing digital ICT needs and cultural entrepreneurship training for artists. To fully exploit the economic potential of the creative economy, these obstacles to expansion must be addressed effectively and efficiently in a uniquely and proudly South African way: in public policy, as well as in practice.

South Africa hosts a colourful rainbow nation with eleven official languages and a variety of cultural traditions. The range of cultural diversity and constitution-entrenched liberty in terms of race, gender, sex, ethnic origin, colour, sexual orientation, disability, religion and culture could significantly enhance interactive synergies within the creative sector. However, a holistic approach to policy – embodying all three elements of Florida’s 3-Ts theory – must be followed in order for the creative economy to flourish. Culture, creativity, innovation, design, technology, globalisation, intellectual property, agglomeration, diversity and tourism aspects must be harnessed in synergy with creative entrepreneurship to enhance job creation, economic growth and social cohesion. Uniform statistical methodologies and data are required to reinforce and feed advocacy efforts.

As envisaged in the NDP, nationwide access to broadband and enhanced bandwidth must be prioritised because “technology provides viral access to a global audience” (Rabideau 2015:6). As musicians and performing artists we should actively encourage the composition, production, marketing and consumption of new South African art works through the efficient use of ICT. Evidenced by the record-breaking gross earnings generated by the commercially successful Dutch violinist/conductor Andre Rieu, audiences seek out live, spectacular music productions showcasing theatrical multimedia feats (Billboard 2013a).⁸³

As a byproduct of a dysfunctional DAC and significant changes in its ministerial governance our CCI policy encapsulated in the MGE and the *Revised White Paper* has remained in its infant’s shoes. Its inherent inconsistency (it clearly favours indigenous arts and culture and arts festivals) does not provide the creative and

⁸³ Rieu repositioned classical music on the world’s live concert stage by exploiting his unique musical talent and showmanship in tandem with theatrical staging containing impressive multimedia displays (André Rieu n.d.).

performing arts much scope for advancement because it lacks articulated measures to grow arts education and national consumption. CCI policy should nurture artists and the arts through arts education because, as a vital source of creativity, it is the training ground of creative design and innovation. As long as the implementation of the Creative Arts curriculum in South African schools continues to be plagued by funding and teaching resource constraints, the creative skills needed in future cannot be fostered adequately.

The functionalisation and commodification of the arts for social cohesion, nation-building and job creation purposes will not enhance audience-building and the creation of quality art and design. As Wenz (2012) indicated, it could even aggravate social inequality and polarisation, already so pervasive in this country. UNCTAD (2010) asserted that inter-ministerial policies and strategies are needed to nurture a holistic creative ecology. To optimise CCI policy interventions in South Africa, it is essential to enhance the functioning of the CCI sector along its entire value-chain – from idea conception to consumption.

This investigation into the interaction between art and economics has revealed that the artist and entrepreneur are remarkably similar: both embrace a willingness to invent their own promising but “uncertain” future. They thrive in a volatile environment characterised by insecurity to make an impact in their communities with their good work (Rabideau 2015:2-4). Moreover, both face financial vulnerability and risk that must be overcome through innovative ideas and sustainability approaches (Haithman 2015:10) – the topic explored extensively in the following chapter.

CHAPTER 4

EXPLORING FINANCIAL SUSTAINABILITY

4.1 INTRODUCTION

In the previous chapters funding issues were highlighted as obstacles to the growth and development of the Cultural and Creative Industries (CCI), the creative arts, arts education and community music development programmes (CMDPs) in particular. Despite the economic contribution and job-creation potential of the CCI, arts and culture remain the under-funded Cinderella in South Africa,⁸⁴ undervalued by donors and the Department of Arts and Culture (DAC) alike (Brown 2015:1).

In this chapter financial sustainability will be explored in depth, viewed against the backdrop of the effective and efficient management of non-profit entities. Known generically in South Africa as non-profit organisations (NPOs),⁸⁵ these entities arise organically in response to specific community needs. Their education, job creation and entrepreneurship interventions alleviate poverty and contribute to income generation and a vibrant democracy (Coalition on Civil Society Resource Mobilisation 2012:16, 21, 38). They are active in sport, education, social development, culture and health sectors and range from small, community-based organisations to faith-based charities, trusts, foundations and big international non-profits (Leuvenink 2010:32). Closely linked to communities, South African NPOs are catalysts for innovation, rural development, women empowerment and youth development. Within the broader socio-economic context they act as social entrepreneurship hubs. Public-private

⁸⁴ There is minimal financial support directed at this sector when compared to others. In 2014 and 2015 Arts and Culture received a mere 2% of corporate social investment funding (Cohen 2015:104; Matthews 2014:202).

⁸⁵ The acronym NPO denotes the singular form.

partnerships, innovative funding models and a variety of resource mobilisation strategies enable them to further their goals (Kurian 2012:2).

NPOs have in recent years started to battle as a result of a hit-and-run management approach which lacks vision, strategic planning and sound financial management, exacerbated by funding volatility (Van Wyk 2014:1; Cristóvão & Baptista 2012:45). As early as 1999, Conradie (1999:291) postulated that financial sustainability is critical for NPOs to maintain service delivery. He highlighted the importance of sound management practices, good funding proposal writing and diversified funding sources, and concluded that the relationships with funders and new strategies for earning ongoing income will establish financial sustainability and maximise the impact of NPOs on community development.

The structure of this chapter follows a similar outline to Conradie's approach (Conradie 1999). After the introduction I examine the world-wide funding crisis and global giving trends, followed by a discussion of the problems experienced by South African NPOs, focusing on the lack of government support. A description of the financial sustainability measures pioneered in the seminal work by Chang and Tuckman (1991) introduces the concepts of revenue diversification and concentration, followed by an investigation into different funding models and the *Advancement*⁸⁶ sustainability framework with its ten crucial management elements (Gastrow 2012a:45). Next I explore the concepts of fundraising tools, funding proposals and relationships with donors, and the chapter concludes with an overview of financial sustainability and fundraising issues within the cultural sector by

⁸⁶ The *Advancement* approach is advocated by the Cape Town-based non-profit support organisation Inyathelo, an organisation committed to providing practical capacity-building and advocacy programmes to South African NPOs.

examining specific measures employed to enhance audience engagement and innovation in arts funding.

4.2 BACKGROUND

The 2008 economic recession affected the global non-profit sector badly because international funding decreased. NPOs are struggling to obtain funds because philanthropists have less disposable income and foundations have adjusted their support target areas, focusing on organisations which provide food, shelter and healthcare to low-income groups. Changing government regulations, growing needs for services and an increase in emerging NPOs have exacerbated the situation. Organisations are downsizing, cutting expenses and employees and postponing programmes or diversifying their mission and objectives. Only NPOs with strong reserves have had the resilience to weather the storm (León 2001:9; Yan & Sloan 2014:2-3; Cristóvão & Baptista 2012:44; Bridgeland et al 2009:6-9; Mancini 2009:6).

The World Giving Index, published annually by the Charities Aid Foundation, presents meaningful statistical insight into changes in global giving. The 2015 Index (based on the survey conducted in 2014) included 145 countries and three activities: donating money, volunteering time, and proffering help to a stranger. The report signaled that globally people have become less likely to donate money, help a stranger or donate time. Although men donate more money to charity than women, women donate more money in developing countries. Myanmar, with the highest average, emerged as the world's most generous country – driven by its culture of Theravada Buddhism. South Africa is in the top ten countries for helping a stranger, emphasising that Ubuntu – the interconnectedness between people that underpins

our social giving – remains a strong motivator. However, our levels of volunteering (down 5%) and donating money (down 4%) had fallen since the previous year. Altogether, South Africa was jointly ranked the forty-ninth most generous country in the world, alongside Chile. Malawi emerged as the highest ranking Southern African country (Du Toit 2015).

4.3 NPOs IN SOUTH AFRICA

4.3.1 A funding crisis

During the apartheid years the South African non-profit sector was sustained by the international donor community. Now the global economic crisis has taken its toll and foreign donor aid is drying up. Moreover, because South Africa is regarded as a middle-income country, local NPOs have experienced as much as a 30% reduction in foreign funding from their traditional sources, affecting the scope, quality and duration of services on offer (Du Toit 2013:1; Lamb 2012; Frye, Mothabi, Mathebula & Clancy 2012:31).

NPOs are prompted to look for domestic funding sources. However, a reduction in corporate social investment (CSI) budgets and a decrease in the number of individual and private donors have also diminished local private and corporate donor funding. Exacerbated by a prevailing economic recession our civil society is facing a funding crisis which has resulted in serious sustainability challenges (Coalition on Civil Society Resource Mobilisation 2012:22). Staff turnover caused by low salaries prevents long-term planning and fundraising strategy implementation. With many NPOs working with rural people functioning from an urban base, internal tensions destabilise partnerships. Moreover, a lack of coordination has caused fragmentation,

the duplication of services and the associated waste of resources (Coalition on Civil Society Resource Mobilisation 2012:24).

Funding politics have become complicated, with power dynamics skewed towards the main funding source (Coalition on Civil Society Resource Mobilisation 2012:25). The impartiality of NPOs dependent on single donors (especially government) is often questioned, because they are susceptible to becoming “subsidiaries” of their funding bodies (Stuart 2013:2). Detailed funding criteria and quantitative monitoring and evaluation (M&E) demands contribute to the view that some NPOs are simply implementers of donor-driven agendas. Aggravated by an increase in NPO mismanagement, corruption and spending cover-ups, the trust between donors and organisations has suffered damage (Coalition on Civil Society Resource Mobilisation 2012:24-25; Van Wyk 2014:1). The funding crisis has also increased the competition for government funding (Stuart 2013:1; Coalition on Civil Society Resource Mobilisation 2012:22; Frye et al 2012:31), but there appears to be an “apparent unwillingness of government to meet its responsibilities to the sector” (Coalition on Civil Society Resource Mobilisation 2012:5).

4.3.2 Lack of government support

The Non-profit Organisations Act of 1997⁸⁷ maintains that government is obliged to create an enabling environment for the NPO sector. However, complex tender systems, strict financial regulations, cumbersome budget-approval procedures and a lack of tax incentives for donors hinder partnership formation between government and civil society (Coalition on Civil Society Resource Mobilisation 2012:47). Many NPOs have difficulty accessing government support because there appears to be a

⁸⁷ This Act came into operation in September 1998 and repealed the old Fundraising Act (Coalition on Civil Society Resource Mobilisation 2012:13).

lack of transparent criteria and discrepancies in the allocation of government funding (Stuart 2013:2).

The competence, drive and will of government to implement its development objectives are often questioned. A lack of skills amongst government employees contributes to the ongoing dysfunctionality of government-related institutions. Resultant outcomes are poor, characterised by slow grant pay-outs and dishonoured service level agreements, irrespective of the budget allocated. Thus the media regularly features allegations of fraud, corruption, mismanagement, and governance problems in institutions such as the National Development Agency (NDA), the National Lotteries Distribution Fund (NLDTF) and the Department of Social Development (Brown 2014a; Du Toit 2014:2; Du Toit 2013:1; Coalition on Civil Society Resource Mobilisation 2012:5, 40-41; Frye et al 2012:31).

The NLDTF has experienced significant structural, management and governance problems which range from a lack of clarity surrounding the roles of distribution agencies, to allegations of conflicts of interest, especially in the Arts, Culture and National Heritage sector.⁸⁸ Furthermore, the NLDTF focuses on short-term projects, weakening long-term vision and mission because it does not cover overheads (Coalition on Civil Society Resource Mobilisation 2012:49, 51-61, 67). A general decline in NLDTF income support was reported by 41% of NPOs in 2015. To address this situation, the National Lotteries Board was restructured and renamed the National Lotteries Commission in July 2015.⁸⁹ New regulations were implemented to improve efficiency and reduce reporting requirements and the Arts and Culture budget allocation was reduced to 23% (Cohen 2015).

⁸⁸ As mentioned in section 3.10.4, Minister Mthethwa acknowledged in 2015 that the DAC was plagued by internal control deficiencies.

⁸⁹ The NLDTF remained unchanged as the main distributing agency.

4.3.3 The healthy NPO business model

The King III Code,⁹⁰ the corporate governance charter, has set NPO governance requirements similar to those required in the business sector. The new Companies Act⁹¹ also requires more management accountability and control, even though management challenges, business purposes, societal value and stakeholder interest differ significantly between the non-profit and for-profit sector (Leuvenink 2010:32-33).

A business model (the way an organisation makes and spends its money to achieve its mission) involves combining earned and contributed income to cover expenses, reduce liabilities, maintain fixed and build liquid assets. A healthy NPO business model reflects this dynamism because a professionalised view with a long-term planning focus guards against sudden funding shocks and ensures long-term financial sustainability. A more commercialised approach emphasising profitability and financial independence, complemented by strong management, positions an NPO better to negotiate funding and generate own income linked to its core business (Van Wyk 2014:1-2; Kurian 2012:1; Thomas 2011).

On the other hand, a pure business-like approach does not provide all the answers (Collins 2005:1, 31). NPO performance should not be associated with financial returns only; performance should be strongly linked to the core mission of the organisation and its success in producing a distinctive impact with a lasting endurance. NPOs therefore need greater conscious choice, discipline and action regarding planning, governance, resource allocation and people management (Collins 2005:5, 8).

⁹⁰ King III is the Third Report on Governance compiled in 2009 by the King Committee which was appointed by the Institute of Directors in Southern Africa.

⁹¹ The Companies Act No 71 of 2008 replaced the Companies Act No 61 of 1973.

4.3.4 Prerequisites for NPO financial sustainability

Financial sustainability refers to the long-term objective of NPOs to become independent and fully operational in order to have maximum impact for at least five to ten years. All NPOs strive towards self-sufficiency, because it enables them to prioritise their activities to accomplish their missions (León 2001:7). To achieve financial sustainability, NPOs need to focus on short-term targets as well as long-term objectives to build capacity and resilience. The generation of a budget surplus is essential to beat inflation, and a growth rate higher than inflation is required to enable NPOs to replace assets needed to maintain service delivery in the long run (Bowman 2011:37-40). Diverse, multiple funding sources eliminate dependency on a single source and own income generation secures unrestricted, less ring-fenced funding that provides a buffer against funding shocks (Conradie 1999:295-296). However, achieving all of this without some financial support is unrealistic (Kurian 2012:1).

Latent capital such as human capital, goodwill, geo-political relationships and market conditions contribute to NPO sustainability in the same way it enables a for-profit company to survive (Chigwedere 2013). Other prerequisites include leadership competence, effective collaboration, durable networking, staff involvement, programme evaluation and responsiveness. A good understanding of the community results in the development of self-help, self-reliance and independence amongst beneficiaries which enable them to stand on their own feet with limited assistance (Conradie 1999:292; Brand 2011:16).

Financial sustainability and programmatic sustainability are closely interlinked. NPOs should therefore foster a holistic approach to financial sustainability by shifting away from fretting over money to creating future plans (Brown 2014b). Too many NPOs

ignore market demands. They do not have appropriate business strategies and infrastructure in place and lack basic administrative, human and financial resource systems; as a result they become financially vulnerable (Wijnberg 2012).

4.4 THE TUCKMAN-CHANG MEASURES

Tuckman and Chang (1991), the authors of a seminal work on the financial vulnerability of NPOs, defined an organisation as financially vulnerable if it had to cut back on services after a financial shock. Using data obtained from a sample of national tax returns submitted by 4730 American NPOs in 1983, they produced a conceptual framework consisting of four criteria used to identify at-risk organisations. They postulated that organisations have financial flexibility if they have access to equity, many income sources, high administrative costs and high operating margins (Chang & Tuckman 1991:659; Tuckman & Chang 1991:445, 450).

4.4.1 The four Tuckman-Chang financial vulnerability criteria

The following four criteria are indicators of financial vulnerability⁹² in organisations (Chang & Tuckman 1991:659-661; Tuckman & Chang 1991:451-453):

- *Inadequate equity balances*: Organisations with a small net worth relative to income do not have the ability to replace income, since equity can be used as collateral to secure a loan, or assets can be sold to reduce a financial shock. The ratio of equity to total income is used to measure this criterion.
- *Revenue concentration*: Access to multiple funding sources enhances an organisation's chances of survival because it lowers the risk of dependency on

⁹² Tuckman and Chang emphasised that financial vulnerability does not indicate a lack of operational efficiency.

a single donor. An index similar to the Herfindahl index⁹³ was constructed to measure revenue concentration. The figure one represents a single source, whereas a figure close to zero indicates that an NPO has many funding sources.

- *Low administrative costs:* An NPO with high administrative costs relative to operating costs can cut administrative expenses in times of need, without making cutbacks in programme delivery. The ratio of administrative expenses to total expenses is used to measure this criterion.
- *Low or negative operating margins:* The operating margin is shown as the percentage net income represents of expenses.⁹⁴ The larger the profit percentage, the more surplus an organisation has to draw upon in times of need when income declines. A large margin also indicates funds that can be used to build equity (Chang & Tuckman 1991:659-661; Tuckman & Chang 1991:451-453).

Tuckman and Chang concluded that these four criteria are independent and that their utilisation will differ across industries, because most organisations do have some buffering against financial shocks (Chang & Tuckman 1991:663; Tuckman & Chang 1991:458).

4.4.2 Subsequent research studies

Tuckman and Chang's groundbreaking research was followed up by several other widely-cited studies.

⁹³ The Herfindahl index is used in economics to measure market concentration: the square of the percentage share that each revenue source represents to total income is summed to capture both the number of sources as well as the extent to which it is dispersed.

⁹⁴ It is calculated by deducting expenses from income and dividing it again by the expenses.

Kingma (1993) applied financial portfolio theory⁹⁵ to account for revenue diversification and predictability as measures to manage financial risk. He concluded that neither income concentration nor diversification minimises income variability. However, NPOs relying on government support have a more predictable income stream which eases the absorption of income shocks – even though they face additional risks such as compliance requirements and funding delays (Kingma 1993:106-110; 118).

Greenlee and Trussel (2000) empirically tested the Tuckman-Chang measures to devise a decision-making model that can be used by charities to predict financial vulnerability. They concluded that both internal and external NPO stakeholders can use the Tuckman-Chang measures to evaluate financial risk (Greenlee & Trussel 2000:199).

Hager (2001) also tested Tuckman and Chang's work empirically, focusing on non-profit arts organisations. He concluded that the Tuckman-Chang measures are useful, but cannot be applied generically to the arts because of the abundance of smaller arts organisations with substantial differences in structure and finances. Although low equity balances and revenue concentration remain viable predictors of vulnerability, vulnerable performing arts organisations are more likely to close than performing arts schools with low operating margins and low administration costs. The right measures must therefore be used to inform and guide NPO stakeholders (Hager 2001:376, 381-389).

⁹⁵ In finance, portfolio planning involves choosing an investment package that balances risk and return optimally to maximise the expected revenue (Kingma 1993:109).

Subsequent research revisited the advantages and relevance of revenue⁹⁶ concentration as opposed to diversification, because of its ability to attain greater continuity, efficiency and stability in certain subsectors (Chang & Tuckman 2010:9).

4.5 INCOME DIVERSIFICATION VERSUS CONCENTRATION

4.5.1 Income diversification

Diversification refers to having a wide range of donors from various sources such as individuals, national and international foundations, the corporate sector and international agencies (Gastrow 2014:22; Love 2012:8). A diversified funding portfolio reduces revenue volatility because it avoids dependence on a single revenue source that could cut back funding during a harsh economic climate (Joonas 2012:117-118). The stable income provided through diversification promotes longevity because managers can predict financial margins more accurately, enabling long-term planning. Revenue diversification also contributes to community buy-in and organisational legitimacy because organisations establish stronger networking relationships and more committed support within the community (Carroll & Stater 2008: 949-950; 963; Frumkin & Keating 2011:151; Chikoto & Neely 2014:573).

On the other hand, revenue diversification is associated with an increase in administrative and monitoring load and reporting and fundraising costs. Servicing many donors requires time and resources to accommodate budgeting, reporting and relationship-building to meet the demands. Diversification also potentially crowds out individual giving (Gastrow 2014:22; Carroll & Stater 2008:949-950; 963; Frumkin & Keating 2011:151; Chikoto & Neely 2014:573).

⁹⁶ The terms revenue and income are used interchangeably throughout this thesis.

4.5.2 Income concentration

Income concentration (the inverse of differentiation) is associated with specific benefits such as lower administrative and fundraising costs and faster total revenue growth. Just as market analysts maintain that a clear focus with specialised leadership is essential for success and long-term growth in commercial firms, income concentration is preferred by some younger NPOs because the focus on cost containment and cash flow management translates into faster growth, greater administrative efficiency and fundraising expertise. Thus NPOs associated with umbrella organisations display revenue concentration, albeit with reduced risk (Frumkin & Keating 2011:153-154, 163; Chikoto & Neely 2014:571-574, 580).

If revenue concentration is the strategy of choice, the income source must correlate with the mission of the organisation and the views of the constituents. Targeting a funding source that is a natural match with the NPO is critical; an organisation might have to forego funding to maintain autonomy and avoid mission drift. The income source must generate enough income for the short and long-term and must not crowd out other potential funding sources (Chang & Tuckman 2010:10; Chikoto & Neely 2014:573; Foster & Perreault 2007:9).

Revenue concentration does not replace the need for diversification and risk management. NPOs must build expertise in raising a particular type of funding, because relying on a single source does not equal relying on a single payer – multiple payers from the same source must be secured. In addition, secondary sources remain valuable and should account for at least 10% of total revenue (Foster & Perreault 2007:8, 12).

Income concentration remains a volatile tradeoff for long-term organisational stability and viability, because some donors limit the number of years they support a single organisation – or they meet increased efficiency with a decrease in funding. Growth is compromised when such a funding wall is struck, as was witnessed when a decline in funding associated with the 2008 financial crisis caused many NPOs to scale down (Foster & Perreault 2007:4; Chikoto & Neely 2014:572).

4.6 SOURCES OF FUNDING

Chang and Tuckman (2010:6) divided funding into two categories: internal (investment income and programme fees) and external sources (donations and grants). In contrast Conradie (1999:296) listed the main sources of South African NPO funding as the government (national, provincial and local), the private sector, development funding agencies, foreign governments, companies and agencies. Significant sources of South African NPO funding will now be investigated.

4.6.1 Government funding

In 2015 the South African government emerged as the largest single source of NPO funding, having doubled its support from 11% in 2014 to 20% in 2015 (Cohen 2015:47-48, 104).⁹⁷ The 2015/2016 national Arts and Culture budget showed an 11% increase to R3.9 billion, mostly to drive social cohesion and nation-building promulgated in the Mzansi Golden Economy Strategy (MGE),⁹⁸ as a result of the increase in xenophobia (Cohen 2015:104).

⁹⁷ Cohen (2015) admitted that these results could be attributed to a slightly different sample used in their annual survey.

⁹⁸ Refer to section 3.10.2 of chapter three for more information.

Governments support NPOs through grants, income tax allowances and deductions, and the issuing of contracts for delivering services in the health and social services sectors. Although linked with predictable income, government funding is associated with cumbersome compliance requirements and late pay-outs that deter many NPOs from applying. Securing and maintaining them require notable political skill and public support (Collins 2005:21; Chang & Tuckman 2010:7).

4.6.2 Philanthropy⁹⁹

Philanthropy involves receiving major contributions from a small number of wealthy people. It is strongly associated with personal income and influenced by personal values, trust, loyalty and commitment to an organisation, hence fundraising efforts must be customised to the needs and desires of each individual donor (Croson, Handy & Shang 2009:468; Chang & Tuckman 2010:6-7; Association of Fundraising Professionals 2010:4-2, 5.) Individual giving signifies involvement, fuels expansion and powers growth (Foster & Perreault 2007:11). Although the top 10% of donors give 90% of all donations, the modest sums given by individuals on a regular basis is now becoming a prolific source of income for NPOs worldwide (Hall 2012:94).¹⁰⁰

Individual donors only qualify for tax deduction benefits when they donate to registered Public Benefit Organisations (PBOs)¹⁰¹ (Du Toit 2013:2). This tax incentive enables organisations to follow a fundraising strategy similar to the “alumni” strategy employed by universities. Thus the cultivation of long-term relationships with individuals eventually forms the backbone of bequest programmes (Love 2012:242-243; Gastrow 2012c:122-123).

⁹⁹ Philanthropy is also referred to as charitable or individual giving.

¹⁰⁰ Per example, the Obama election campaign reached its target by raising small donations averaging US\$25.

¹⁰¹ The abbreviation PBO denotes the singular form.

4.6.3 Corporate social investment

When corporates donate a share of profits to charitable causes, it is referred to as corporate social investment (CSI). In South Africa CSI is closely associated with Broad-based Black Economic Empowerment (BBBEE) legislation (Leuvenink 2013:12)¹⁰² that has opened up new avenues for NPOs and for-profit companies to work together (Chigwedere 2013). Funders claim BBBEE scorecard points when NPOs provide the required documentation that their beneficiaries are from the designated groups (Trialogue 2015).

National projects receive the most CSI funding, whereas Gauteng-based projects receive more support because many company headquarters are located in this province. Education is receiving the lion's share, namely 47%¹⁰³ of all CSI expenditure, mostly allocated to mathematics and science (Cohen 2015:42-43; Matthews 2014). CSI is flatlining because companies are increasingly allocating CSI funding to their own community initiatives and bursary funds (Brown 2015:1).

4.6.4 Own income generation

NPOs may earn income if the business activity is directly related to the organisation's vision and mission, and does not become its primary activity. Thus Cohen (2015:48) reported that self-generated income contributed to the greatest proportion of NPO income growth in 2015. NPOs leverage their assets and resources in innovative ways to earn own income:

- *The sale of goods and services:* NPOs engage in direct sales of promotional products such as t-shirts, posters and tickets for events. They also offer technical expertise and professional consultation services in their particular

¹⁰² BBBEE is discussed in more detail in section 4.10.3.

¹⁰³ This 2015 rate was down from 49% in 2014.

fields, present educational seminars and sell customised goods and services to project partners (Joonas 2012:120-121).

- *Programme fees and public contributions:* Hospitals and higher education institutions depend extensively on programme fees, portraying the dynamics of incorporated businesses (Collins 2005:21). Royalties and licensing fees are also valuable NPO income sources, and professional societies rely on membership dues (Foster & Perreault 2007:11; Chang & Tuckman 2010:8). Some NPOs recover service costs by charging their beneficiaries a small fee (Gastrow 2012b:53).¹⁰⁴
- *Financial asset management and endowments:*¹⁰⁵ Surplus income is transferred to higher interest-bearing accounts to maximise return. Unused assets with good market value are sold, and unused property rented out. Endowments are created from reserves and built through individual bequests and large grants. Investment portfolios are managed carefully because all proceeds such as interest, dividends and capital gains must be spent on charitable activities linked to the mission (Association of Fundraising Professionals 2010:2-12; Gastrow 2014:24-25; Wellburn 2014; Chang & Tuckman 2010:8).

4.6.5 Social entrepreneurship

Own income generation culminates in social entrepreneurship, where a separate social enterprise related to the NPO's mission is established and its profits re-invested in the NPO to further its philanthropic work (Cohen 2015:69). The underlying

¹⁰⁴ In an environment where severe poverty and inequality prevail, the setting of user fees could become problematic if it interferes with the original project goals and eliminates low-income participants (Mancini 2009:7). As was witnessed by the 2015/2016 #Fees Must Fall campaign, the extreme poverty of most students, an increase in university fees and the unwillingness of government to act and grant additional financial support to universities and students resulted in nationwide community resistance characterised by violent student protests and political finger-pointing.

¹⁰⁵ An endowment is an established pool of assets and investments such as rented-out property, shares or bonds that provide an investment income to augment operational funding whilst the capital remains untouched. A percentage of overheads may be earmarked for a legally established endowment fund, if this is stipulated in the organisational policy (León 2001:18-20).

drive is to create sustainable social value for the public good, not personal or shareholder wealth. Social entrepreneurs pursue financially self-sustaining ventures through rapid growth. They achieve greater social impact by working in collaborative partnership with other organisations to counteract external economic and sociopolitical factors such as tax legislation and other prominent competition to ensure that scarce resources are used as efficiently as possible (Austin, Stevenson & Wei-Skillern 2006:7-9, 18; Perrini, Vurro & Costanzo 2010:522-525; León 2001:22-23).

Social entrepreneurs are catalysts for social and economic change and their endeavors have driven human progress over centuries (Austin et al 2006:2; Perrini et al 2010:515). Examples of such visionary social innovators are:

- *Florence Nightingale*, who revolutionised nursing, transformed hospitals and established the first nursing school;
- *Swiss businessman Henry Dunant*, whose lobbying work led to the formation of the international Red Cross and the framework for the Geneva Convention;
- *Maria Montessori*, who pioneered education reform in Italy and whose methodology became the foundation of the contemporary Montessori school system (Krige 2013).

4.7 NPO FUNDING MODELS

It follows that NPOs face critical strategic decisions regarding their income sources and funding models of choice. Funding has become a competitive and complex function of the sector within which an NPO operates, with specific services predisposed to a particular revenue mix. In the arts and religion for instance, private

contributions play a critical role. As a result of greater competition in a shrinking donor market, NPOs need to spread the risk of becoming resource dependent by securing multiple income sources, of which long-term funders will be the most valuable because they provide predictable funding from year to year (Carroll & Stater 2008:963; Frumkin & Keating 2011:151-152; Chikoto & Neely 2014:573; Wolf & Antoni 2012:78).

A funding model provides a methodical approach to building a stable revenue base to support programme delivery and growth. It provides clarity during financial hard times, enabling NPO managers to be disciplined about the way they approach fundraising (Kim, Perreault & Foster 2011:1-3; Foster, Kim & Christiansen 2009:2; 13). A funding model contains information about three characteristics:

- The type of funding (one majority source, or smaller complementary sources);
- Funding decision makers (the people who dictate the funding flow);
- Funder motivation (whether it matches the NPO mission) (Kim et al 2011:1-2).

Extensive research by The Bridgespan Group on large NPOs with a turnover in excess of US\$50 million revealed that these organisations secure over 90% of their total funding from a dominant source such as corporations or the government. They build a professional organisation structured around their selected funding model and focus on finding a natural match between their funding source, organisational mission and beneficiaries (Foster & Perreault 2007:5; Foster et al 2009; Kim et al 2011).

Because an NPO has two sets of stakeholders – beneficiaries as well as funders – attracting and soliciting the right kind of funding for that perfect fit demands time and money. Timing is critical too, because an NGO established during a time of

heightened interest in its specific mission will raise money so much easier (Foster & Perreault 2007:6, 13, 21). Kim et al (2011) proposed following the six steps illustrated in Figure 4-1 to identify and build such a credible funding model:

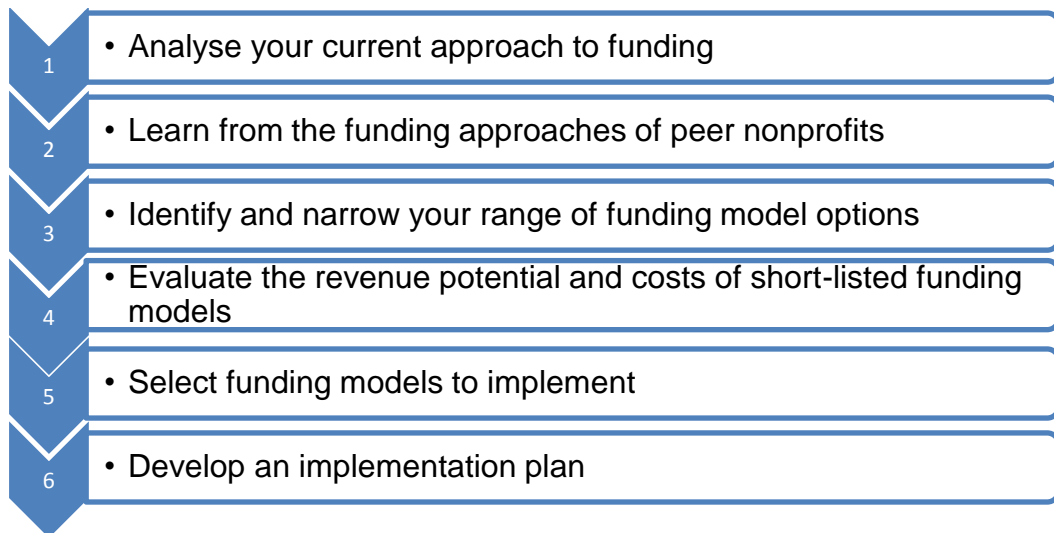


Figure 4-1: Six steps to building an NPO funding model

Source: Kim et al 2011:3.

The research done by The Bridgespan Group resulted in the design of ten non-profit funding models aimed at specific organisations (Kim et al 2011:24; Foster et al 2009:3-12). Table 4-1 contains a short description of each funding model and the funding type, decision makers and motivation associated with each:

Table 4-1: Ten non-profit funding models

Funding model	Description	Categorisation	Tactical tools	Example services
Heartfelt Connector	<ul style="list-style-type: none"> • Mission has broad appeal • Benefits touch the lives of family and friends 	<ul style="list-style-type: none"> • Type: Individuals • Decision maker: Many individuals • Motivation: Altruism 	<ul style="list-style-type: none"> • Special events • Direct mail • Corporate sponsorship 	<ul style="list-style-type: none"> • Medical research • Environmental issues
Beneficiary Builder	<ul style="list-style-type: none"> • Mission attracts individuals willing to pay for benefits • Mission creates strong individual connection 	<ul style="list-style-type: none"> • Type: Individuals • Decision maker: Many individuals • Motivation: Self-interest and altruism 	<ul style="list-style-type: none"> • Earned income/fees • Major gifts 	<ul style="list-style-type: none"> • Universities • Hospitals
Member Motivator	<ul style="list-style-type: none"> • Group orientation creating an inherent community 	<ul style="list-style-type: none"> • Type: Individuals • Decision maker: Many individuals • Motivation: Collective interest 	<ul style="list-style-type: none"> • Membership fees • Special events • Direct mail • Major gifts 	<ul style="list-style-type: none"> • Religious congregations • Societies • Environment and conservation
Big Bettor	<ul style="list-style-type: none"> • Major support from a few individuals or family foundations • Mission fulfilled within a few decades 	<ul style="list-style-type: none"> • Type: Individuals/Foundation • Decision maker: Few individuals • Motivation: Altruism 	<ul style="list-style-type: none"> • Major gifts 	<ul style="list-style-type: none"> • Medical research • Environment and conservation
Beneficiary Broker	<ul style="list-style-type: none"> • Individual beneficiaries determine own spending 	<ul style="list-style-type: none"> • Type: Government • Decision maker: Many individuals • Motivation: Self-interest 	<ul style="list-style-type: none"> • Government reimbursement 	<ul style="list-style-type: none"> • Health • Housing • Employment
Public Provider	<ul style="list-style-type: none"> • Core government services are outsourced 	<ul style="list-style-type: none"> • Type: Government • Decision maker: Administrators • Motivation: Collective interest 	<ul style="list-style-type: none"> • Government contracts 	<ul style="list-style-type: none"> • Social services • International organisations
Policy Innovator	<ul style="list-style-type: none"> • Government funds are secured to provide novel non-core services 	<ul style="list-style-type: none"> • Type: Government • Decision maker: Policy makers • Motivation: Collective interest 	<ul style="list-style-type: none"> • Legislative appropriation • Executive earmark • Government pilot programme 	<ul style="list-style-type: none"> • Human services • Education
Resource Recycler	<ul style="list-style-type: none"> • Surplus goods or products obtained at marginal cost are redistributed 	<ul style="list-style-type: none"> • Type: Corporations • Decision maker: Few individuals • Motivation: Self-interest 	<ul style="list-style-type: none"> • In-kind giving 	<ul style="list-style-type: none"> • Food (i.e. food banks) • Pharmaceuticals
Market Maker	<ul style="list-style-type: none"> • A major funder with self-interest buys a product to distribute 	<ul style="list-style-type: none"> • Type: Mixed • Decision maker: Many/few individuals • Motivation: Altruism/self-interest 	<ul style="list-style-type: none"> • Earned income/fees • Major gifts (corporate/individual) 	<ul style="list-style-type: none"> • Health (i.e. blood banks) • Environment and conservation
Local Nationaliser	<ul style="list-style-type: none"> • Top local priority issues prevalent in many localities nationwide are addressed 	<ul style="list-style-type: none"> • Type: Mixed • Decision maker: Few individuals • Motivation: Altruism 	<ul style="list-style-type: none"> • Major gifts • Special events 	<ul style="list-style-type: none"> • Youth development • Education

Source: Kim et al 2011:24

Although financial sustainability is inextricably linked to funding access, overall programme longevity requires an ecological approach with a financial sustainability framework focusing on leadership and vision, collaboration and partnerships, community awareness, needs and involvement, programme impact measurement, funding and staffing (Mancini 2009:1, 8). Such a framework is provided by Inyathelo, the Cape Town-based South African Institute for *Advancement*.

4.8 THE TEN ELEMENTS OF *ADVANCEMENT*

Inyathelo defines *Advancement* as “a systematic and integrated approach to building and managing external relationships with key stakeholders in order to attract support” (Gastrow 2013). Rather than chasing money through fundraising only, the *Advancement* principles weld together management and planning with fundraising in a holistic, multi-layered approach to position an organisation favorably to attract resources and private investment (Gastrow 2012b:43, 46). Its ten key elements are Leadership, Governance, Human capacity, Organisational strategy and planning, Organisational voice, Organisational visibility, Building external relationships, Financial management, Fundraising and Monitoring and evaluation (Gastrow 2012a:45).

4.9 LEADERSHIP

Great organisations are not built around one single leader, but prosper through many generations of leaders (Collins 2005:35). *Advancement* is driven from the top, because the strength of good leadership creates confidence: donors are inclined to follow leaders they have trust in (Gastrow 2012b:44-45).

NPO leaders do not have the concentrated decision-making power of executive business managers – instead they have legislative leadership. They balance mission with money to ensure that resources are used to advance the objectives stated in the founding documents and they rely on persuasion, political currency and shared interests to achieve these goals (Cristóvão & Baptista 2012:40; Collins 2005:11; Kramer 2013; Rosenthal 2012:1).

The organisational leader provides the vision and strategy and contributes to the profile and reputation of the organisation which directly influences its ability to attract resources. Much of the leader's work is outward-looking and requires personal engagement. The leader builds external relationships, promotes the voice and enhances the visibility of an organisation; hence a good "civic reach" with durable and meaningful connections with the community is necessary (Brand 2011:17; Brand 2014; Gastrow 2013:1-2). Accountable to the board, the leader continuously reviews progress through monthly reporting and annual reviews to control oversight and maintain the standards required for longevity (Gastrow 2013:15-16).

Visionary NPO leaders display "a paradoxical blend of humility and personal will" (Collins 2005:11). They demonstrate integrity and are passionate, committed and ambitious for the cause, not themselves. As excellent communicators they inspire and motivate employees, promoting staff morale, enthusiasm and confidence (Hall 2012:95). They set an example regarding the responsible use of organisational resources and keep an open-door policy for employees seeking advice (Gastrow 2013:18-19). Notwithstanding, great leaders do not rely on charisma only. They anticipate change proactively, identify strategic innovations and build catalytic

mechanisms to stimulate progress and change to ensure that their organisations remain pioneers (Gastrow 2013:20-23; Collins 2005:35).

4.10 GOOD GOVERNANCE

NPOs leaders do not have the individual power to make important decisions alone. Their legislative leadership is impacted by governance legislation, boards and large donors (Clark & Stewart 2012:10). An NPO must be a legal entity with legitimate objectives, proper management, administrative structures and staff to be eligible for funding (Conradie 1999:294).

4.10.1 Legal structure

Three types of legal structures are available: non-profit companies, trusts and voluntary associations. Each type has a distinct governance body: a Board of Directors, a Board of Trustees, or a Management Committee. NPO receipts and accruals are exempted from income tax, donations tax, estate duty and other fiscal levies only if the organisation is registered in terms of Section 30 of the Income Tax Act of the South African Revenue Services (SARS). An NPO is taxed on accruals derived from undertaking activities that fall outside those stipulated in its founding documents. In terms of Section 18A of the same act, taxpaying donors may deduct up to 10% of their taxable income for donations to certain PBOs (in sectors such as education, health care, conservation and housing)¹⁰⁶ if it is supported by a donation certificate. Donations tax of 20% is payable by the donor if the donee is not a PBO (Rosenthal 2012:2-4, 16; Wessels 2013; Association of Fundraising Professionals 2010:7-19; Legal Resources Centre 2011).

¹⁰⁶ Donors giving donations to arts and culture and performing arts institutions only qualify for tax deduction benefits if the donation resides under outreach and education development.

Irrespective of the legal structure chosen, the registration of an NPO has significant benefits and implies a commitment to transparency, because it requires the submission of annual financial statements and narrative reports. Only registered NPOs may apply for funding from public funding agencies such as the NLDTF, the NDA and local and provincial authorities. Certain PBOs deemed in the social welfare and education sectors are also zero-rated for value-added tax (VAT) purposes and may register to reclaim VAT on purchases made (Rosenthal 2012:15-16; Brown 2014b).

4.10.2 The board

The new Companies Act demands stronger governance from a board in terms of fulfilling its fiduciary role. As change-agents board members carry the primary responsibility for ensuring that an NPO remains true and faithful to its values, principles and mission defined in its founding documents. A change of purpose could result in the loss of the tax exemption and donations tax deductibility status (Rosenthal 2012:4-5; Association of Fundraising Professionals 2010:6-10).

Although the board holds management accountable,¹⁰⁷ financial transparency and accountability reside with the board members. Board members need to understand their legal and moral obligation and fiduciary responsibilities and should have a very good grasp of the changing environment in which they function. Their fiduciary duties require that they manage and protect organisational resources with care, impartiality and accountability and that they exercise this responsibility with skill, diligence and in good faith (Geldenhuys 2012:80). Thus board members play an active role in the

¹⁰⁷ The organisational leader is accountable to the board for the budget, expenditure, roll-out and outcomes of the organisation and its programmes (Gastrow 2013:17). With or without formal board membership and voting rights, the organisational leader must attend board meetings, but should not act as chairperson (Rosenthal 2012:12).

oversight of risk management, because capital and income must keep pace with inflation (Coalition on Civil Society Resource Mobilisation 2012:94).

Board members should engage with advocacy, development and fundraising efforts through direct cultivation and solicitation. They need to be well-connected to put the organisation in touch with the “right people” to open doors to new prospective donors, and should support stewardship by emailing, calling or visiting donors and accompanying staff to meet these new prospects (Brand 2014; Naidoo 2012:73, 76; Brown 2014b). They should also be encouraged to donate not only their time, knowledge and skills, but to make a personal financial contribution as tangible evidence of their commitment and support (Association of Fundraising Professionals 2010:6-112; Geldenhuys 2012:81; Rosenthal 2012:11).

A well-functioning, competent board reflects a good mix of qualities, skills, experience and energy which is central to attracting resources (Gastrow 2012b:45). As ambassadors of the organisation they need to care about the organisation’s work and be recruited carefully considering their knowledge, skills, diversity, availability, attitude and willingness to attend meetings. A balance should be achieved between continuity and renewal, with the regular introduction of new and retirement of long-serving members (Gastrow 2012b:47).

Every board position should have a job description stipulating responsibilities, term of office, attendance/participation requirements, financial commitment and the disclosure of conflict of interest (Association of Fundraising Professionals 2010:6-

11).¹⁰⁸ Board members need to actively participate in meetings and should be reimbursed for travel and accommodation expenses. A modest fee may be paid where the level of participation and oversight is significant. A clear code of conduct must cover ethics, values, transparency and risk management and include provision for accommodating “round robin” resolutions (Cristóvão & Baptista 2012:45; Rosenthal 2012:12-13).

4.10.3 New legislation

In addition to the new Companies Act 71 of 2008, South African NPOs must take cognisance of important new legislation that impacts governance and business practices.

The Broad-based Black Economic Empowerment Codes of Good Practice (BBBEE) of the Department of Trade and Industry (DTI) aim to transform the South African economy by increasing the number of black people managing, owning and controlling businesses (Frye 2012:32). The BBBEE legislation dictates that the corporate sector must set aside 1% of its net profits after taxation for socio-economic development initiatives in the areas of health, education, poverty alleviation and community development to reduce South Africa’s Gini coefficient¹⁰⁹ of 0.67 (Transcend 2015; Cohen 2015:52). The new BBBEE codes¹¹⁰ focus on business ownership and the development of skills, enterprises, suppliers and small businesses. NPOs are considered black-owned if at least 75% of their beneficiaries are black. Extra points are scored if black female executives and people with disabilities are appointed. Corporates are also obliged to spend 6% of their payroll on training black South

¹⁰⁸ In the event of conflict of interest arising, the member affected must disclose the nature of the interest and he/she may not participate in the final consideration of the matter at the meeting. The appointment of relatives or friends as employees or service providers must be avoided (Rosenthal 2012:7-8).

¹⁰⁹ The Gini coefficient of South Africa was discussed in section 1.5.1 of chapter one.

¹¹⁰ The revised BBBEE Codes were introduced in April 2015.

Africans. This training may include non-employees,¹¹¹ but it must be accredited to qualify. The financial and in-kind support given to NPOs contribute to the BBEE scorecards of donor companies, encouraging the formation of strategic partnerships through the creation of learnerships, internships and apprentice programmes (Love 2012:21; Lefefa 2015; Matthews 2014:239; Cohen 2015:52, 162).

The Protection of Personal Information Act of 2014 (POPI) secures data privacy and necessitates the introduction of privacy compliance measures in data management. Extra care needs to be taken when personal information concerning minors is shared: NPOs need signed consent from donors and consumers to distribute their personal information and proof of this must be available upon request. An individual must be granted the option to “opt out” or “unsubscribe” from electronic communication and text messaging (Brown 2014a; Brown 2015:2).

4.11 HUMAN CAPACITY

People are an organisation’s most valuable asset. Human resources capacity-building through the guidance, supervision, support and empowerment of staff directly influences the financial sustainability of an organisation (Conradie 1999:29; Gastrow 2012b:45).

4.11.1 Talent management

Collins (2005:13-14) asserted that “getting the right people on the bus” and “having the right people in key seats” contribute to NPO greatness. NPOs need self-motivated, passionate and committed people who are driven “to do the best they can

¹¹¹ Smaller organisations with a turnover between R10 million and R50 million are required to spend 3% of their payroll on training black South Africans, employed by them or not.

because it is simply part of their DNA” (Collins 2005:15). Moreover, “the right people ... attract money” (Collins 2005:17). NPOs must therefore apply greater selectivity in talent management to achieve attractiveness for and credibility with donors.

Staffing must be matched with programme needs. Effective talent management requires equitable, fair and open staff recruitment, development, and recognition and retention procedures. Staff should be well qualified, committed and integrated into all levels of a programme to secure their vision and mission buy-in (Mancini 2009:7; Brown 2014b). They have to be flexible, creative and open to new ideas and need access to development opportunities aligned with their career path and business performance goals to stay motivated (Sokkie 2013). All staff members need to be trained in programme management and fundraising skills, teamwork, conflict management and social marketing to increase organisational sustainability (Brand 2011:20; Brand 2014; Cristóvão & Baptista 2012:45).

Although NPO leaders often have to rely on underpaid employees and unpaid volunteers, the current high unemployment rate¹¹² and over-abundance of job seekers enable NPOs to attract, develop and retain qualified and enthusiastic employees. To foster innovation, energy and collective drive as well as unlock latent human capital, NPO staff members should be allowed to express their talent beyond their job descriptions (Chigwedere 2013).

4.11.2 Rewards and recognition

A transparent and fair remuneration and reward strategy is necessary to retain and attract talent. The non-profit sector demands a special passion and willingness to work for less money. NPO employees are therefore easier to motivate, because they

¹¹² The high unemployment rate was discussed in section 1.5 of chapter one.

have a sense of commitment to the cause and essentially donate a portion of their salary to the organisation (Yan & Sloan 2014:3-4). Nonetheless NPOs should strive towards paying competitive wages, striking a balance between market supply and demand. Failure to match pay packages with competitors risks losing employees, whereas spending too much jeopardises the strategic objectives of the organisation. Donors are inclined to punish organisations that spend too much on compensation (Ryder 2014; Yan & Sloan 2014:3-4).

Performance reviews and appraisals linked with short-term incentive schemes should be based on job descriptions detailing responsibilities and expectations. A high dispersion of duties and mismatch between assigned tasks and formal qualifications result in staff demotivation, hence internal equity must be obtained by paying the same salaries for the same work (Conradie 1999:29; Wolf & Antoni 2012:80; Cristóvão & Baptista 2012:45). Wellness initiatives that focus on staff well-being and health further contribute to a positive organisational culture, with special celebrations of birthdays, achievements, team efforts and staff development goals ensuring that staff stays inspired and contented (Clark & Stewart 2012:10; Sokkie 2013).

4.11.3 Working with volunteers

Volunteers are driven by their intrinsic altruistic values and the social interaction, personal recognition and self-actualisation they achieve through volunteering. They volunteer because they want to make a difference, develop specific skills or expertise, build personal and professional networks, or they desire a specific status. Volunteers could be engaged in leadership, fundraising, planning, office/programme support, events management and specialised areas such as marketing, accounting and legal aid, depending on the scope of their involvement, goals, commitment and

time available. They need proper orientation and must be valued, empowered and recognised for their efforts. Because they work for free, they require adequate training and supervision should they lack the skills or professional training required for the roles they are assigned to. If they are involved in meaningful, rewarding work that meets their expectations, they develop strong commitments to an organisation and become an extension of staff (Association of Fundraising Professionals 2010:6-2-7; Chang & Tuckman 2010:8; Duque-Zuluaga & Schneider 2008:38).

4.11.4 Succession planning and recruitment

Significant costs in terms of loss of accumulated knowledge and experience is associated with losing senior staff at management level. Although staff turnover is a general problem in the life-cycle of community projects, its impact should be minimised through succession planning to ensure that a consistent group of people attends to programme implementation. Besides staff training, development and mentoring, succession planning also requires introducing senior staff members to principal supporters and partners and giving them the opportunity to engage. If a staff member then leaves for whatever reason, the organisation will not be in jeopardy as far as donor relationships and key partnerships are concerned (Mancini 2009:7-9; Gastrow 2013:21-22).

Recruiting new talent should balance the tension between promoting internal programme-oriented staff and hiring external candidates with specialised skills in areas such as marketing or logistics (Foster & Perreault 2007:14). If an NPO works with children or vulnerable people, a vetting system that screens appointees for criminal records and child protection register listings must be in place (Sokkie 2013). Whilst it is important to retain highly skilled and qualified staff, new young staff with

potential should be nurtured and mentored as part of capacity building (Emdon 2012:63).

4.12 ORGANISATIONAL CAPACITY, STRATEGY AND PLANNING

Strategic planning aims to develop competitive advantage as it improves an NPO's capacity to achieve its mission and objectives. It is the process of making decisions and initiating actions to enable managers to get from where they are to where they want to be to in the long run (Lewis et al 1998:153-155). The long-term vision, mission, values and objectives of an NPO provide the clarity of purpose in terms of developing a strategy for survival as well as long-term success (Gastrow 2012b:44).

4.12.1 Organisational vision and mission

A vision/mission statement crystallises the justification for the existence of an organisation in terms of the target market, needs served and functions performed, simultaneously providing an inspiring challenge for the future. It sets the organisation apart from others and provides its identity, business emphasis, scope and future development path as strategic direction for all its stakeholders (Thompson & Strickland 1999:29-35; Lewis et al 1998:165).

The mission and values must be displayed prominently in the NPO offices, on its website, and repeated in documents such as reports and newsletters (Rosenthal 2012:10). The leader must be committed to and take responsibility for the implementation of the vision and mission of the organisation by setting its objectives and strategy in line with its founding documents. A thorough understanding of the sector, its context and communities – complemented by regular environmental scans

to identify gaps and new opportunities – enables the leader to determine the key interventions required to do so (Gastrow 2013:3, 20).

4.12.2 Core values

NPOs must stand firm behind their core values. Collins (2005:17-23) proposes using the Hedgehog Concept¹¹³ as a tool to assist non-profits in identifying the core values that will produce the best long-term results. Illustrated in Figure 4-2, the Hedgehog Concept is the intersection of three circles which indicate what an NPO is passionate about, what it is best at, and what drives its resource engine. The resource engine consists of three basic components: time (the contribution made by employees and volunteers), money (sustained cash flow) and brand (the emotional goodwill and mindset of supporters). Because the three circles must reinforce each other; it is critical to identify how best to connect them. To avoid mission drift and enhance greatness, strict discipline must be applied in declining opportunities that fail the Hedgehog Concept test by rejecting resources that do not fit (Collins 2005:27-28).

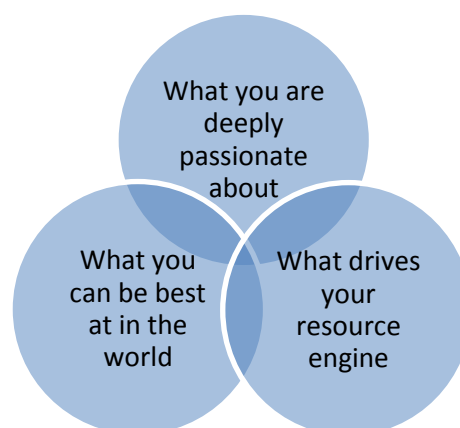


Figure 4-2 The Hedgehog Concept

Source: Collins 2005:19.

¹¹³ Jim Collins first introduced the Hedgehog Concept in his book *Good to Great* to guide for-profit companies towards identifying their best profit mechanisms.

4.12.3 Goals and objectives

The strategic goals and objectives that an organisation wants to achieve in the short and long term serve as managerial tools for “stretching an organization to reach its full potential”. They must be defined clearly to enable an organisation to implement its programmes with realistic time frames and available resources (Mancini 2009:8; Brown 2014b; Thompson & Strickland 1999:41). Short-term objectives have a one or two-year time frame and they are generally considered milestones on the road to achieving the long-term goals – which have a three to five-year span, or longer. Effective goal-setting should adhere to the SMART principle, and as such all goals should be:

- Specific and well-defined;
- Measureable and expressed in quantitative terms;
- Achievable;
- Realistic, but also challenging;
- Time-linked and achievable within the specified time period (Lewis et al 1998:167).

4.13 ORGANISATIONAL VOICE AND VISIBILITY

Donors will not support organisations they have not heard of. A coherent and consistent organisational voice is critical to express what an organisation stands for, because it creates a memorable brand that builds customer loyalty. Publicising and communicating the work of an organisation through strategic media channels nurtures visibility and public interest and creates awareness of its activities (Triologue 2015; Gastrow 2012b:45, 48; Sargeant, Hudson & West 2008:615; Musical America Special Reports 2012:24).

4.13.1 Advocacy

Advocacy is the act of making a compelling case in favour of a specific cause. It involves providing factual information and statistics and pleading, arguing and demonstrating active support. Advocacy contains a stick as well as a carrot element: it is an important strategy used to influence policy, draft legislative language, build relationships and to obtain funding (Wolf & Antoni 2012:79-80). NPO leaders contribute to advocacy and branding through public speaking, participation in campaigns and interaction with national and local government (Brown 2014b).

4.13.2 Marketing and branding

Organisational visibility is directly linked with the marketing and branding efforts of an organisation. Marketing and branding show the unique human face of an organisation; it moves a potential donor from interest, to empathy and action. A good organisational profile grows confidence, because perceived ethics and benevolence foster trust and support. Although the organisational leader becomes the public voice and face of the organisation, everyone within the organisation has the responsibility to contribute (Gastrow 2013:5-6, 23-24; Association of Fundraising Professionals 2010:2-58; 3-5; Emdon 2012:640; Trialogue 2015).

Information disseminated through the media and other appropriate channels builds an organisation's profile and credibility, keeps stakeholders informed and sustains relationships. The organisation's voice is carried out through communication mediums such as newsletters, brochures, business cards, pull-up banners, social media pages and website. A professionally prepared annual report highlighting new initiatives, projects and grants is an excellent marketing tool to send out to stakeholders and potential donors, and media releases distribute news about special

events, achievements or controversial issues. Branding should be consistent and aligned across all these communication platforms. A one-liner that sums up what the organisation does, makes its work accessible and relevant to the general public. A user-friendly logo should be available in different formats (with strict control over its access and usage), and the charitable status and registration information must be indicated. A common thread and “personality” must run through every communication medium or method used: from emails, to the way the telephone is answered (White 2012:102-104; Guttman 2005:58-59; Sargeant et al 2008:617, 628; Gastrow 2013:5-7, 9; Trialogue 2015).

4.13.3 Online marketing, social media and mobile marketing

The internet is an essential communications channel because it builds an online brand and offers comprehensive, low-cost and instantaneous ways of engaging clients directly, providing opportunities to alter their perceptions and handle difficult customer service issues (Clark & Stewart 2012:10). Social media does not replace traditional media, it complements it. Online and offline marketing and branding efforts must be integrated and managed as part of the broader communications strategy. Specific staff members who have an excellent grasp of technology, communication, and socio-economic trends should be assigned to drive social media (Ntala 2015).

The website must be easy to find and be representative of the organisation as a whole. Websites and social media pages should be up-to-date, dynamic and interactive with new messages and original, colourful, thought-provoking images posted daily. The website must tell a moving story and contain a deliberate call to action for volunteering and individual giving through an easy donation process that includes the use of the donate button as well as a donation form that can be

downloaded. Contact information must be provided to encourage dialogue. By sharing links and following peer organisations a network of collaboration can be built; thus social media is useful in engaging a wider audience as part of a peer-to-peer crowdfunding campaign. It could also be used to establish contact with a potential donor if regular approaches have been unsuccessful. The choice of social media platforms used and content shared must be considered wisely and the highest standards of ethics, security and privacy maintained (Association of Fundraising Professionals 2010: 5-24; Coalition on Civil Society Resource Mobilisation 2012:19-29; Musical America Special reports 2012:22; Govinder 2012:112-114; Trialogue 2015; White 2012:106; Emdon 2012:64).

Mobile smartphones have sped up the pace of social media marketing and online advocacy. Africa has experienced the world's fastest growth, with 160 million mobile connections and a recent increase in bandwidth due to the availability of new undersea cables which opened up the scope of cloud computing (Ntala 2015). A mobile-friendly website requires condensed information to adapt to the slower speeds and smaller screens of these devices. To streamline navigation, content must be simplified, centered and decluttered with limited word count and imagery. Social media activity and website traffic must be tracked with tools such as Google Analytics and Facebook Insights to draw statistical insight. Specific frontline marketing tools such as Quick Response code (which takes a smartphones directly to a website) and location-based services (which use global positioning system technology to determine location) are useful in reaching potential donors and supporters in the immediate geographic vicinity (Musical America Special Reports 2012:14; Musical America Special Reports 2013c:2-8; 16-24).

4.13.4 Networking

Networking builds trust and reciprocal relationships. Strong networking relationships with stakeholders such as suppliers, buyers, clients and the bank manager build competitiveness and profit potential, whereas networking with friends, family and associates in government, academia, philanthropy and other civil society organisations creates support systems and access to information. Networking takes place by default and by design, because it involves resources and knowing what and with whom you want to share those resources with. Organisational networking by design requires a strategy, a dedicated coordinator, time and money and should be included in the annual budget and on meeting agendas (De Klerk & Saayman 2012:382-387; Gastrow 2013:7; Julie 2013).

4.14 BUILDING EXTERNAL RELATIONSHIPS

Isolation threatens sustainability, whereas cross-sector relationships and coordination combat fragmentation (Brand 2011:17).¹¹⁴ External relationships, strategic collaboration and partnerships ensure continuity of operations, improve service-delivery efficiency and increase problem-solving capabilities (Duque-Zuluaga & Schneider 2008:35). A range of relationships should be cultivated, with the main concern always to advance the interests of the beneficiaries (Rosenthal 2012:12).

4.14.1 Collaborative relationships

An African proverb quoted by Chigwedere (2013) speaks to the synergy of relationships in terms of distance and continuity: “If you want to go fast, you go alone; if you want to go far, go together”. Relationships create awareness, build interest and

¹¹⁴ Fragmentation was highlighted in the previous chapters as a serious obstacle to the development of music education, the music industry and the CCI sector as a whole.

trust and secure nurturing commitments and support (Gastrow 2012b:45). When NPOs try to solve social problems independently, they increase the resources required exponentially. Collective impact is achieved when a committed group works together sharing resources, knowledge and skills to avoid duplication and decrease competition for funding (Van Wyk 2014:2; Frye et al 2012:32). In-kind donations often flow from such collaborative efforts (Brand 2014).

Collaborative relationships are more successful if the parties share a powerful vision with focused, inspirational goals and clear, coherent action. The objectives should contain small measurable milestones that provide the steppingstones to the long-term goal (Wolf & Antoni 2012:62-63). Continuous dialogue, interaction and exchange are essential to establish a common vocabulary for effective programme development, implementation and evaluation. The priorities of one organisation should not be favoured over another; enough lead time should be granted to meet common needs. Communication about leadership roles and responsibilities and the provision and sharing of resources must be clear (Conradie 1999:297; Kania & Kramer 2011:6-7; Mancini 2009:80).

4.14.2 Partnerships¹¹⁵

Informal collaborations are widespread amongst smaller organisations, whereas bigger, established organisations tend to have formal partnerships. Multiple linkages build the strongest partnerships (Coalition on Civil Society Resource Mobilisation 2012:34). Partnerships established between businesses, the private sector, government and civil society create economies of scale, reduce duplication and stretch limited resources such as funding, equipment and infrastructure. Other

¹¹⁵ As mentioned in chapters one and three, the development of global partnerships as a measure to eradicate poverty and pursue sustainable development is the eighth goal of the Millennium Development Goals (MDGs).

advantages include a wider reach and deeper impact, improved visibility, legitimacy, goodwill and longevity. Partnerships also provide better working conditions for staff, assist with the retention of good talent, create improved skills and enable peer-learning. Financial muscle can be flexed to contribute to practical benefits such as reduced travel rates, and better medical aid and pension plans (Coalition on Civil Society Resource Mobilisation 2012:19; Kurian 2012:1; Wolf & Antoni 2012:19-20; Chigwedere 2013; Gastrow 2013:12).

A successful capacity-building partnership requires mutual trust and joint decision-making, delineated responsibilities, appropriate dispute resolution mechanisms, constructive advocacy, transparency and flexibility to best serve the interest of each partner (Lister 2000:228-229). For efficient governance purposes a single entity must bear the legal and fiduciary responsibilities to remain accountable to funders and the larger community. A dedicated staff and committee structure must be assigned to oversee programmes, carry out administrative tasks and conduct formative and summative evaluations to evaluate effectiveness. A stipulated time frame determines the duration of such a formal partnership (Wolf & Antoni 2012:50-51; Duque-Zuluaga & Schneider 2008:35; Guttman 2005:15).

Partnerships could experience challenges if institutional priorities are hard to align. Partnerships might be entered into for the sake of institutional survival rather than advancing common goals; or an authoritarian and self-promoting managing partner could try to push back other partners. Without a common understanding a partnership might face procedural issues, excessive bureaucracy, insufficient coordination, time constraints and planning problems. Ways of working and the professional language spoken may differ. Growing budgets, increased workloads,

and added responsibilities demand new skills and ways of doing business. The larger the collaborative partnership, the less control there is. Furthermore, all partnerships become vulnerable when leadership changes, no matter how good the working relationship is (Cristóvão & Baptista 2012:42; Lister 2000:236; Wolf & Antoni 2012:28, 54-55).

4.14.3 Working together

Successful collaboration depends on honesty, respect, dignity and the willingness to listen and compromise – even when people disagree. All parties must therefore commit and have a mutual regard for each other’s strengths and limitations. Aligning agendas requires flexibility to find the sweet spot where everybody agrees. New opportunities and issues that arise must be discussed openly and frankly, and conflict must be seen as useful, not personal. Partnerships can benefit from such differing perspectives because understanding and accepting the views of others expands one’s own perspective and contributes to effective decision-making. Regular evaluation of the quality of the collaboration is useful for course correction and improvement and offers the opportunity to rethink, reposition, realign and even restructure a partnership to capture new ground and credibility (Wolf & Antoni 2012:64-69, 74, 81; Guttman 2005:13-15, 50).

4.15 FINANCIAL MANAGEMENT

Greater financial transparency and accountability within the context of “widespread corruption” have become pressing issues within the non-profit sector (Stuart 2013:1). NPOs take care of donor money on behalf of the beneficiaries and communities they serve. Usually held in trust, this money requires great ethical and legal responsibility

to be well-managed. Effective stewardship requires sound financial accounting and accountability systems involving the forecasting, planning, monitoring and analysis of financial information to ensure that funds are used as agreed with donors, that a proper paper trail exists, that donor communication is sustained and reporting done on time (Gastrow 2012b:45; Joonas 2012:120-121).

4.15.1 Financial health and transparency

Sound financial management and accounting procedures ensure transparency that assists in attracting funds and maintaining donor trust. Good financial record-keeping and reporting, with monthly reconciliations and regular reviews by management (monthly) and the board (quarterly), are required to inform decision-making (CMDS 2013a). Historical documents such as audited financial statements and forward-looking budgets and cash projections provide valuable data about the financial health (or vulnerability) of an organisation. Income statements show its track record and revenue reliability, with the presence of consistent surpluses (as opposed to break-even results) indicating strong financial management that creates a breathing space during hard times. Healthy businesses cover direct costs as well as indirect hidden costs (such as depreciation on fixed assets) and they accumulate surpluses for reserves. The balance sheet shows the ability of an organisation to manage debt (by measuring the liabilities as a percentage of its total assets) as well as its ability to steward infrastructure such as property and equipment. Reserves indicate the facility to maintain and replace these assets over time. Appropriate liquidity is achieved when an organisation has the ability to sustain itself with its unrestricted cash reserves for at least three months (Kramer 2013).

Rapid growth poses specific problems such as increases in activity levels, paid employees and geographical spread which demand sound financial control. A damaged reputation can result from disgruntled staff, funders and other stakeholders if there appears to be waste, an inability to account for funds received, or a lack of strategic financial thinking (CMDS 2013b). A financial crisis can also arise through unexpected financial obligations, disputes and fraud. Indicators of financial trouble are cash flow problems, an inability to pay running costs such as salaries and rent, the depletion of reserves and the sale of assets. Ongoing deficits highlight liquidity problems (CMDS 2013a).

The work of the financial officer must be scrutinised often to ensure that all SARS payment requirements are met (CMDS 2013a). To reduce the opportunity for fraud, the financial control system should not be run by a single person (Silberman 2015).¹¹⁶ Electronic funds transfer payments should require two people to release the funds (similar to the two signatories required for issuing cheques) because a single mouse click can clear out the contents of a bank account in seconds – in error, but also intentionally (CMDS 2015).

4.15.2 Budgeting for sustainability

Through budgeting and cash flow management organisations are able to meet their monthly fiscal commitments. Significant accounting skill is required to plan ahead, because income and funding flows can be difficult to predict. Some grant-makers pay an entire grant upfront, whereas others only pay upon submission of an invoice. This variety of grant-making cycles leads to complex cash flow management where forecasting becomes essential to ensure that there is enough cash in the bank to

¹¹⁶ The person responsible for financial recordkeeping should not be the one who also authorises internet payments.

cover fluctuating levels of expenditure throughout the year (Brown 2014b; Gastrow 2014:1-3).

Preparing the annual budget requires anticipating the basic requirements and projected cost of all planned activities. Funding shortfalls must be covered through multi-year budget planning; therefore at least two years' financial projections should be in place. Accurate budgeting includes operational costs such as salaries, rent, utilities (water and electricity) and insurance, as well as indirect costs such as administration, rental fees and travel requirements associated with fundraising. Budget notes provide clarity about specific line items, but vague items such as "sundries" or "contingencies" should be avoided. The budget must be approved and monitored by the governing board for overspending as well as underspending to ensure that planned projects remain on track (Gastrow 2014:4-7, 18).

When an NPO fundraises for several projects separately, every project must pay its way to covering overheads. By including a portion of the core cost as indirect costs in a specific project budget, the true costs of such a project is reflected. This contribution can be calculated proportionately according to the scale and duration of the project and the needs of the organisation (Gastrow 2012b:47; Gastrow 2013:12-14; Gastrow 2014:1-2, 7, 11-14).

4.15.3 Financial planning

Long-term financial planning should be mapped and viewed over a three to five-year horizon to enhance sustainability and job security. Fundraising plans should make provision for the development of infrastructure, financial management and information and communications technology (ICT) systems. Long-term funding

should be secured and made available in a timely manner (León 2001:22; Brand 2011:18). NPOs should negotiate upfront payments from donors, and obtain clarity whether accrued interest may be used or invested, or must be returned to the donor. Undesignated donations can be used to make up shortfalls, and excess funds redirected to build a reserve fund. At least ninety days' operating costs should be maintained to guard against unforeseen cash flow problems (Joonas 2012:117-119; Hall 2012:90-91; Brand 2011:18).

4.15.4 Infrastructure and asset management

An NPO builds capacity if it taps into new technologies and technical expertise and takes ownership of its assets through proper asset management. Provision must be made for stable infrastructure with adequate space and facilities, and building compliance in terms of health, safety and accessibility requirements. Although donors hesitate to fund infrastructure projects (viewed as expensive, high-risk and time consuming) they add significant value if there is a clear vision, community ownership and participation (Kern 2014). Infrastructure equipment such as ICT should be used strategically and holistically to enhance organisational performance, effectiveness and mission-related outcomes. The availability and affordability of appropriate technical equipment and its effective use by properly trained support staff remain salient factors, because subpar performance and negative attitudes result from the use of poor-quality (often donated) equipment (Brown 2014b; Kern 2014; Hackler & Saxton 2007:474-477, 482-484).

4.15.5 Unrestricted funding, own income and reserves

Unrestricted funding is obtained through donations, own income generation and investment income. Also known as undesignated or general purposes funding, it

enables NGO leaders to build strong, self-sustaining organisations (Collins 2005:25) because the organisation can determine how it should be spent. It can be used to cover any type of costs; hence it is useful for budget shortfalls. The more unrestricted funding an organisation has, the better it can respond to emergencies or changing needs (Gastrow 2014:23).

“Not-for-profit does not mean for-loss” (León 2001:13). Own income generation assists with surplus generation. However, these activities must be aligned with the founding purpose stipulated in the vision and mission statements and may not expose the NPO to undue commercial risk by compromising its non-profit tax exempt status and competitive advantage. Surpluses generated may also not be distributed for personal financial gain and must be reinvested back into the organisation to facilitate future planning, sustainability and longevity. (León 2001:7, 14-18; Gastrow 2014:19-21; Rosenthal 2012:11; Joonas 2012:115-116; Wellburn 2014).

Although building a reserve takes time, it protects beneficiaries because a continuation of service is guaranteed regardless of funding delays. It also reassures funders that an organisation has the capacity and financial wellness to apply grants properly. Strong financial management is required to resist the temptation to spend money earmarked for investment on daily operations. A reserve and endowment policy should be in place to ensure that excess funds are invested wisely, at a higher interest rate that balances market volatility with inflationary risk. Over time a well-invested reserve will generate its own income, of which not more than 30% percent should be used annually and the balance reinvested to combat inflation. Excess reserves can be used to build an endowment (León 2001:22; Gastrow 2012b:53; Joonas 2012:117-119; Wellburn 2014).

Research results by Trialogue (Cohen 2015) indicated that 72% of South African NPOs have reserve funds, of which 27% are sufficient for three to six months, and 18% will last about three months. Only 6% of NPOs have more than three years' reserve funding available. Because of the contracting funding environment, 15% of NPOs had to dip into their reserves in 2015 and 28% expected to do so in 2016 (Cohen 2015:48-50).

4.16 FUNDRAISING

Fundraising involves the mobilisation of resources for good causes to foster the humanitarian spirit of Ubuntu (Association of Fundraising Professionals 2010). It is an art form that requires creativity, skill and discipline and a client-centered approach to attract new supporters and nurture current ones (Musical America Special Reports 2013a:2-4). Grant-making requires timely communication, regular feedback and communication complemented by streamlined financial processes, accountability and evidenced-based research to inform decision-making and avoid payment delays (Coalition on Civil Society Resource Mobilisation 2012:98).

4.16.1 An integrated fundraising programme

Fundraising requires a detailed, coordinated and integrated fundraising programme aligned with the overall strategic plan. It starts with the organisation's mission, because a clear understanding of why funds are being raised is required. Fundraising considers the environment in which an organisation operates and examines the outlook over the next three to five years.¹¹⁷ The fundraising plan must contain clear fundraising objectives, goals, strategies and an operating budget. The mix of

¹¹⁷ This is usually done through a SWOT (Strengths, Weaknesses, Opportunities and Threats) or PESTLE (Political, Economic, Socioeconomic, Technological, Legal and Environmental) analysis (Association of Fundraising Professionals 2010). Cohen (2015:50) observed that 76% of NPOs reported in 2015 that they had reviewed their financial and strategic directions and changed the way they raise and spend funds.

fundraising vehicles must be stipulated, and it must be communicated to staff and volunteers to ensure their understanding and ownership. Every staff member becomes involved in fundraising by cultivating everyone he/she meets (Association of Fundraising Professionals 2010:1-7; 2-2).

A good data management system is critical to schedule and track fundraising activities and manage donor information according to the latest privacy laws and regulations.¹¹⁸ Information must be kept current and stored where it is safe, accessible and retrievable (Association of Fundraising Professionals 2010:7-4).

The perceived overall “fit” between the goals and programmes of the donor and the recipient is the most important fundraising consideration. Strong associative links such as the funding agreement duration and similar attitudes, geographic location and target audiences predict a good fit. Selection criteria include compatibility in terms of values, mission, identity, target audience and newsworthiness (Olson & Thjørmøe. 2013:57-60, 68; BASA 2013). A good fit results in:

- Improved reputation and goodwill for the donor;
- Positive social change, increased awareness and community support;
- A gain in resources, commitment and cause awareness (Nowak & Clarke 2003:142).

4.16.2 The key steps of fundraising

Successful fundraising is grounded in developing a strong case for support through four key steps: prospect research, donor cultivation, solicitation and stewardship.

¹¹⁸ Refer to section 4.10.3 for more information about the POPI Act of 2014.

4.16.2.1 Prospect research

Prospect research into available funding resources and prospective donors enables NPOs to identify the funding criteria of potential donors who might be a good fit. Using a framework similar to the one provided in Table 4-1, contact details and relevant information such as past grants and donations must be collected and the funders segmented according to their level and type of giving. By scanning personal contacts, participation records, public information and annual reports, prospects with a connection to the organisation are identified and then ranked according to their ability to give and their linkage with and interest in the organisation and its cause. A clear strategy must be in place to find the perfect “match” for each donor-type, and gifts should be sought “from the top down”: the potentially biggest donor should be cultivated first (Mancini 2009:9; Conradie 1999:296; Olson & Thjørmøe 2013:69; Gastrow 2012b:50; Trialogue 2015; Emdon 2012:65-66; Association of Fundraising Professionals 2010:1-14, 17, 4-8).

4.16.2.2 Donor cultivation

Donor cultivation develops and deepens the relationship between potential donors and the organisation to nurture them as active supporters and regular donors. Through organisational voice and visibility the organisation reaches out to build trust. The annual report is distributed to government, large donors and specific funding sources, followed by a letter of enquiry to ascertain whether their funding priorities and available funds will permit consideration of a specific proposal. Holiday greeting cards, organisational newsletters and invitations to events are sent to a strategic list of individuals to establish contact and cultivate awareness, interest and confidence before the question of funding is raised (Gastrow 2012b:50; Association of Fundraising Professionals 2010:2-26, 4-12).

4.16.2.3 Donor solicitation

“Asking is the stimulus to giving” (Gastrow 2012b:53). The donor solicitation process involves requesting donations for specific purposes or projects (such as acquiring new computers or building new infrastructure) through the tandem use of several well-targeted advocacy and communication methods (Association of Fundraising Professionals 2010:5-1). Rank-ordered by Guttman (2005:60) according to their effectiveness, these solicitation methods are: face-to-face communication, small-group discussions, electronic media (emails and websites),¹¹⁹ telephone conversations, handwritten letters, typed personal letters, videos, mass-produced letters, newsletters, brochures, news items and advertisements. Once trust, confidence and a good relationship have been established, a potential donor might respond with “gift noises”. If not, the donor must be solicited in person through a face-to-face meeting. Members of this solicitation team must be skilled in presentation and asking techniques. Once they have made the “ask”, they must wait silently for the response and then confirm understanding if the answer is “yes”, or enquire what it means if the response is “no” (Gastrow 2012b:50-51; Association of Fundraising Professionals 2010:5-7).

4.16.2.4 Stewardship

Stewardship involves ethical management, care of and mutual respect for both human and financial resources (Association of Fundraising Professionals 2010:4-2, 7-1). Honesty and transparency regarding the use of donations develop trust between the donor, the organisation and the community served. The creation of a pleasant donor experience requires continued relationship-building and the recognition of all key partners. Full donor engagement is encouraged by sending out

¹¹⁹ Use of electronic and social media varies according to communities and age groups.

individualised thank you letters, issuing tax certificates and completing narrative and financial reporting on time (Gastrow 2012b:45-49, 51).

4.16.3 Collective impact fundraising

Through partnering a greater variety of funding sources can be accessed because collaborative projects appear stronger and more attractive to funders. Some partners may be strong in securing individual donations, whereas others could be more effective in obtaining government grants or corporate support. Because mature entities with a proven track record attract more funders than new entities, new projects must be incubated within the existing organisational structure of potential partners. Location is important: large urban areas have more funders, whereas rural areas attract more funding. An urban partner can therefore enhance fundability by collaborating with a rural partner. Scale and impact also play a role: larger projects with ambitious goals are considered more attractive to funders than smaller ones. Conversely, venture philanthropists prefer growing smaller initiatives to scale (Guttman 2005:54; Wolf & Antoni 2012:77).

4.16.4 Specific fundraising tools

4.16.4.1 Individual giving

Although special events are effective for recruiting new donors, major donors prefer in-person meetings (Brown 2013). Informing individual donors of the level of other donations influences their giving behaviour. Because ethical considerations demand the protection of the anonymity other individual donors, the use of aggregate statistics is advised. Thus individual giving can be increased by up to 30% by indicating giving levels on pledge forms. Alternatively signed consent to use a donor

as an example must be obtained.¹²⁰ To elicit a large bequest, a potential donor's passions and values must be studied to learn what will motivate him/her to nominate a specific organisation as an estate beneficiary (Croson et al 2009:467, 478, 483).

Individual giving, known as philanthropy, is generally viewed as an elitist activity of the rich. It can be approached in a paternalistic and patronising manner which results in a culture of dependency. In contrast, an activist philanthropist actively supports a cause through passionate involvement. By contributing at an equal and equitable level with the rest of the organisational team to create networks across social divides, an activist philanthropist effects change (Gastrow 2015).

4.16.4.2 In-kind giving/Pro bono services

In-kind giving includes the provision of professional skills and expertise, pro bono services, discounted rates and the use of facilities. Sometimes redundant assets are donated or made available for purchasing at a reduced cost. The monetary value of all in-kind donations must be acknowledged in writing for taxation purposes (Love 2012:21; Musical America Special Reports 2013a:21; Triologue 2015).

4.16.4.3 Naming rights

Naming rights can be allocated to venues, buildings, research chairs and institutions, according to the fundraising strategy and amount donated. Even solo artists within performing arts organisations are awarded individually sponsored positions. Behind-the-scenes interaction and activities are encouraged to enhance the relationship between the donor and the recipient. Naming rights should not be awarded at random – it should carry a time limitation. If associated with a new project, naming

¹²⁰The POPI Act introduced in section 4.10.3 requires that personal information may only be distributed with signed consent.

opportunities need to be issued before the fundraising process begins (Musical America Special Reports 2013a:9-11).

4.16.4.4 Matched funding

Matched funding raises funds from different sources on a rand-for-rand basis. It is a model of collaboration that distributes the risk and rewards amongst all the stakeholders, challenging and incentivising them to step outside their comfort zone (Cooks & Sokolic 2009:141-142). Business and Arts South Africa (BASA), in collaboration with the DAC, manages a similar matching grant scheme to encourage new businesses to enter the arts sponsorship market. Additional funds are made available by BASA to arts organisations after confirmation of a new business sponsorship (BASA 2010).

4.16.4.5 Professional and commission-based fundraising

Professional fundraisers are used to secure funding because of the specialised networking, marketing and presentation skills required (Conradie 1999:296). However, the payment of huge commissions without the knowledge of the donor is universally considered unethical. Donors want to develop relationships with their recipients and beneficiaries; hence they are not willing to negotiate with commission-based fundraisers. If a professional fundraiser is used, the fundraising fee must be reasonable and commensurate with the time spent rendering services. Because charitable donations may not be used for personal enrichment, the predetermined, capped fee must be added as a line item to the budget, with the number of working hours indicated to prevent a legal pitfall. Alternatively, performance-based compensation must be in accord with prevailing practices within an organisation

(Brown 2010; Cuthbert n.d.; Musical America Special Reports 2013a:20; Association of Fundraising Professionals 2010:1-22).

4.16.4.6 Social impact bonds

Social impact bonds (SIBs) leverage private capital to support high-impact social development interventions with measurable gains. They offer governments a risk-free way of pursuing social programmes. An intermediary project leader raises the capital from banks, foundations and individuals, and hires an NPO service provider to deliver the programme. A neutral external evaluator measures the outcomes and resolves disputes. Once the stated objectives have been achieved, the government repays the investors and the capital is recycled to help more people (Pettus 2013:11-12). Originally launched in the United Kingdom in 2010, more than twenty SIBs have since been deployed in the United States, Australia and India, and negotiations have started in South Africa. However, local implementation is hampered because a strong commitment is required from government; the required results-based payments remain a critical concern (Short 2014).

4.16.4.7 Online giving

The collective impact of technology and the use of social media have changed contemporary fundraising significantly by enabling increased awareness and closer communication with global donors (Musical America Special Reports 2013a:2-4). Most NPO websites nowadays include a user-friendly “donate now” button.¹²¹ Online giving is an effective, safe, convenient and mobile-friendly fundraising tool that has no hidden charges for the donor (Brown 2013). Selecting a third-party online funding site which best suits the organisation is critical, because foreign platforms do not

¹²¹ The donate button should be displayed prominently in the top right-hand corner of the landing page for best visibility (Association of Fundraising Professionals 2010).

always accommodate South African Rands. Moreover, set-up, registration, administration and transaction fees differ significantly. The platform should permit design customisation and links to the recipient's social media sites to encourage sharing, and donations should be deposited directly into the recipient's bank account. The host should be compatible with existing financial management software systems and be able to issue the relevant tax certificates. Brown (2014a) proposed benchmarking the following online-giving platforms:

Table 4-2: Online-giving platforms¹²²

Name	Wed address	Country of origin	Comments
FirstGiving	http://www.firstgiving.com	United Kingdom	
Fundercloud	http://www.fundercloud.co.za	South Africa	
GivenGain	http://www.givengain.com	South Africa/ Switzerland	
Givey	http://www.givey.com	United Kingdom	Founded by South African billionaire David Erasmus
JustGiving	http://www.justgiving.com	United Kingdom	
PayFast	http://www.payfast.co.za	South Africa	
PayPal	www.paypal.com	United States	Founded by South African billionaire inventor Elon Musk

Source: Brown 2014a

4.16.4.8 Crowdfunding

Crowdfunding has grown exponentially over the past five years, with global growth accelerating at 167% in 2014 (Cohen 2015:164). A crowdfunding project is a specific funding challenge that solicits small amounts of money from a large number of people, usually via an online service provider. A donate mechanism and a strong marketing drive lure traffic through social media channels. A memorable crowdfunding campaign is a powerful fundraising tool that builds a strong brand, as

¹²² I have had personal experience of interacting with two online fundraising platforms during collaborative international fundraising efforts: with Virgin Money Giving (as a beneficiary, acting on behalf of a project) and GoFundMe (as a donor).

demonstrated by the 2014 Ice Bucket Challenge¹²³ which raised \$220 million globally (Brown 2015:1).

Crowdfunding is not a new fundraising concept: historically it was employed to fund churches and museums, and used by composers such as Mozart and Beethoven to fund concerts (Lemrini 2015).¹²⁴ Even traditional South African “stokvels” constitute crowdfunding when groups of people pay money into joint saving schemes (Cohen 2015:165; Gastrow 2016). What is different now is the application of the internet to mobilise people quickly and efficiently to build enthusiasm and targeted engagement. The following rewards-based and equity-based financial contribution models are employed:

- *Donations*: People donate money to a cause;
- *Rewards*: Donors get something in return, for example a concert ticket, or a meeting with the artist;
- *Lending*: Money is repaid afterwards – with or without interest;
- *Equity*: The donor receives business shares (not dividends) and benefits from capital gains when the shares are sold (Cohen 2015:164; Nesta 2014:17).

A crowdfunding campaign has a clear objective with a beginning and an end. It requires a strong hook (a defined call to action), clearly set targets and relentless marketing (Cohen 2015:167). The landing page must tell the recipient’s story in a compelling way to develop an emotional connection, with the most important information captured in the very first sentence. Accentuating a page with photos and a short three minute video, with powerful music, captivates attention. Brevity is key –

¹²³ This initiative, which went viral on social media from July to August 2014, involved dumping a bucket with ice water on someone’s head to raise awareness of and research funds for amyotrophic lateral sclerosis, also known as Lou Gehrig’s disease (Ice Bucket Challenge n.d.).

¹²⁴ Mozart raised funds from donors to compose and perform new works in exchange for having the donors’ names listed in the manuscript, and Beethoven collected funds in exchange for private performances and copies of his work (Lemrini 2015).

only a few seconds are available before the “surfing” donor moves on to the next page.

Crowdfunding success relies solely on social networking. Family, friends, colleagues, board members, volunteers and donors act as advocates who create momentum when they engage and share content via social media. Campaigns that receive donations within the first three days are the most likely to succeed. Core supporters must therefore be encouraged to become cheerleading captains by making the first pledges to boost the crowdfunding campaign. Customised, individualised, mobile-friendly emails with a captivating subject line achieve the best response (Anon n.d.; Govinder 2012:112; Trialogue 2015). Acknowledging donors by thanking them within 48 hours reinforces the connection and encourages them to make a larger donation further down the line. Tracking data and traffic, measuring results and sharing it with donors wraps up the crowdfunding intervention (Anon n.d.; Musical America Special Reports 2013a:6, 19).

Recent technological developments have enhanced convenience and security in online crowdfunding initiatives. Smartphone payment applications with barcoding requirements such as SnapScan and the experimental decentralised digital currency called the Bitcoin¹²⁵ are used widely. Bitcoins enable instant payments from anyone to anywhere in the world. They are donated in virtual form and paid directly into a Bitcoin wallet address, which reduces potential online fraud. No account is needed and no sensitive information is collected because users remain anonymous. PayFast, a local gateway provider mentioned above in Table 4-2, has facilitated Bitcoin access in South Africa (Brown 2014a; Brown 2015:2; Kabwato 2015).

¹²⁵ The Bitcoin is an alternative financial system invented in 2009. Driven by market sentiment, it is not run by an individual, government, company or bank (Kabwato 2015).

4.16.4.9 Corporate sponsorship

Sponsorship is the payment of money or provision of resources by a business in exchange for particular benefits such as promoting the business name, products and services and gaining branding. Sponsorship is not a philanthropic exercise because the money is not donated for mere charitable reasons. The sponsor usually has an altruistic as well as financial motive, views the sponsorship as an investment and expects some commercial outcomes and financial return through increased sales opportunities and new market development. As a mutual marketing exercise, sponsorship is regarded as a business deal with advantages for both sides. It simultaneously benefits the greater community by providing an event, services or facilities that would not be affordable otherwise (Nuntsu & Shukla 2005:174-177, 194-199; Foster & Perreault 2007:11-12; BASA 2010; BASA 2013).

Sponsorships include sponsor benefits such as prestige, relationship building, community involvement, goodwill, brand awareness and market segmentation. Hospitality and entertainment opportunities arise from the hosting of special events. In exchange the recipient receives funding, in-kind donations, support, advice and legitimacy resulting in new networking structures (Nuntsu & Shukla 2005:189; Daellenbach, Davies & Ashill. 2006:80-82). Several different forms of sponsorship, with associated loaded rights packages, are available in the following hierarchical approach:

- *Exclusive title sponsor*: A premium is paid for having the sponsor's name linked to the event;
- *Presenting sponsor*: The sponsor sponsors a predetermined portion;
- *Co-sponsor*: Several sponsors share sponsorship;
- *Media sponsor*: A predetermined amount of advertising is sponsored;

- *In-kind sponsor*: Specific products or services are sponsored (Nuntsu & Shukla 2005:177-178, 193).

Sponsors prefer to know at what cost which benefits are available, and how many sponsors will be accommodated per category. The final agreement needs to be designed carefully with articulated agreed-upon objectives and arrangements stipulated in a legally-binding contract, signed by both parties, with penalties clarified up-front. Both parties should agree to the use of the name and logo of the other party (Nuntsu & Shukla 2005:189).

NPOs should choose corporate sponsors wisely and strategically. Shared values cultivate trust and commitment and foster long-term relationships. Meticulous market research is required to find a good natural fit because companies have specific target markets. A close fit leads to a seamless acceptance of the altruistic motives of the sponsor, whereas a low fit will confuse people about the meaning of the brand and it could potentially harm an NPO's profile (Nuntsu & Shukla 2005:180-184, 199; Nowak & Clarke 2003:139-143).

4.16.5 Compiling powerful funding proposals

A compelling and powerful funding proposal needs to be bright, eye-catching, well-researched and well-written to build an evidence-based case that showcases the capacity and commitment of the organisation. The author must communicate with passion to reflect the specific need, stipulating why this particular organisation can solve the problem and how many beneficiaries (with demographics provided) will be reached. The proposal must emphasise the envisaged positive outcomes of the project – within national context – and explain community participation and value-

added without promising what cannot be delivered (Silberman 2015; Millar 2012; Conradie 1999:295-296).

The Association of Fundraising Professionals (2010:2-36) cautions against the so-called “TMI syndrome – Too Much Information”. Proposals should be concise, precise and supported by proof; donors should not be overwhelmed by minutiae. The objectives, time lines, expected outputs, performance indicators, benefits on offer, marketing opportunities and the level of investment requested must be clear and linked with a cost-efficient budget detailing realistic income and expenditure. All this information should be captured within six pages. Addenda such as copies of the financial statements, founding documents, registration certificates, newspaper clippings, letters of support, quotations for assets to be purchased and detail of other funding agencies approached should be attached separately (Wijnberg 2012; Millar 2012; Conradie 1999:296; Nuntsu & Shukla 2005:193; Guttman 2005:57; Association of Fundraising Professionals 2010:5-11).

A funding proposal usually includes a cover page, executive summary, table of contents and organogram, followed by the introduction which contains a situation appraisal. The background introduces the vision, mission and track record of the NPO, augmented by statistics about the positive impact of its programmes. Detailed information about the proposed project should include a brief problem statement and explanation about the objectives and scope of work, time lines, assistance required and benefits on offer. The project budget should include budget line items detailing unit price costs, quantity and the total cost per item, and information about other donations and generated income. The proposal ends with a conclusion, explicitly

stating evaluation and sustainability measures, as well as the next steps required and deadlines for response (Brand 2014; NLDTF 2013).

Before submitting a funding proposal, a letter of enquiry must be sent to the funder to enquire whether its present funding programme and available funds will permit consideration of a proposal by the organisation. After submitting the proposal, a follow-up call is necessary to ensure that all is in order (Association of Fundraising Professionals 2010:4-55).

The universal use of technology has fast-tracked the use of online funding application forms with pre-populated questions. Technology has also contributed to the replacement of traditional written funding proposals by innovative paperless presentations containing cutting-edge cloud-computing, voice-overs, YouTube clips, drop-down budgets, statistics and maps that enable online discussions with potential donors (Brown 2015:1-2). Regardless of the format used, as the first and lasting impression created of an organisation, a good funding proposal has the potential to introduce a meaningful relationship with a potential donor.

4.16.6 Relationships with donors

People give money to people they know and trust, to support causes that touch their hearts and minds. As a donor's involvement with a cause increases, the size of the donation increases too (Association of Fundraising Professionals 2010:1-14; 4-37). Because the granter-grantee relationship is such a powerful determinant of the grant decision, initiating personal interactions with possible donors remain the "most effective way of raising large sums of money" (Gastrow 2013:8).

4.16.6.1 Fostering productive relationships to enhance fundraising

Funders are the primary clients of NPOs. Their privacy must be respected, their wishes honoured and they must be informed timeously about how their contributions were used. For every six new donors secured, non-profits lose five (Association of Fundraising Professionals 2010:1-22, 4-24). Donors leave because they die, relocate, have financial constraints or have a change of attitude, believing they will receive better service elsewhere. Just as it costs up to five times more to recruit a new client than to retain an existing one, it is more cost efficient to nurture relationships with existing donors than to recruit new ones (Sargeant 2001:179, 188).

Finding new sources of investment, bonding with donors and maintaining commitments require a significant amount of time, money and energy. Maintaining these relationships should not depend on one key fundraising staff member only – all the team members should be involved. Spending time with donors creates positive experiences and fosters loyalty, commitment, trust, satisfaction and a balance of power. A weak strategic approach showing a lack of effort and expertise creates barriers to successful donor-donee relationship-building (BASA 2013; Brown 2014a; Nuntsu & Shukla 2005:195).

Donors should be informed of an organisation's activities and invited to special "donor only" events, celebrations and workshops. Timely reporting must include a comprehensive financial report to show that funds have been used as agreed. The donor should be consulted for clarity about the utilisation of excess funds and terms renegotiated should project plans change. After the initial trial year, committing to a multi-year agreement will save a significant amount of work (Clark & Stewart 2012:9; Gastrow 2013:10; Nuntsu & Shukla 2005:191-192).

Successful funding relationships and donor loyalty are influenced by the level of trust, commitment, communication, cooperation and satisfaction that develop between the partners. Trust depends on predictability, dependability and faith. It demands professionalism, competence, reliability, flexibility and compromise from both parties, with a focus on their shared vision, mission and goals. Trust and loyalty arise from confidence that donations are being used appropriately and having the anticipated impact (Nowak & Clarke 2003:142-144; Sargeant 2001:184-185; Shaw & Allen 2009:89-94).

A long-term philanthropic relationship must remain a collaborative effort between equals, where each party enhances the capacity of the other. Both partners must intentionally nurture a relationship of equal power and high mutual regard to enhance collaborative grant-making. If not, dynamics can become fraught with tension. The relationship must never deteriorate to a power struggle between a grateful grantee and a powerful granter, with issues over the funding of administrative costs and the generation of surpluses resulting in sub-optimal performances and tension between the pursuit of humanitarian goals and funders' demands (Fairfield & Wing 2008:34-35; Shaw & Allen 2009:83-84).

Challenges should be addressed in an attempt to be accountable and understood. NPOs have to guard against the harmful side-effects of mission-drift caused by increased accountability measures and demands associated with funding compliance. They should rather only respond to funding calls that correspond with their own goals, and aim to restore lapsed relations damaged by past organisational behaviour. Funders, on the other hand, can market the good work of their grantees to other donors to engage more support. By financing administrative and operating

costs, they can assist with capacity building to develop stronger, more effective organisations (Zweibel & Golden 2007:42-46; Waters 2009:327-331). The ability to talk about these delicate matters restores the power play and nourishes successful long-lasting relationships (Fairfield & Wing 2008:28-40; Zweibel & Golden 2007:42).

4.16.6.2 Communication

NPOs should engage donors in open, active and honest discussions about the nature of their relationships. Effective, courteous and timely communication and ongoing feedback will enable task orientation and goal adjustment where necessary. Although having to discuss potentially embarrassing subjects and bad news could lead to uncomfortable dialogue and upset, leaving it unaddressed could result in simmering anger and relationship impasse. Organisations therefore need to encourage donors to choose and indicate how they would like to be treated in terms of their preferred method of communication and frequency of delivery. Because donors welcome guidance about the appropriateness of gift levels, NPOs should advise them about how much to donate, without asking for financial support too often (Fairfield & Wing 2008:37-39; Sargeant 2001:180-186, 189-190; Nowak & Clarke 2003:143; Shaw & Allen 2009:93-94).

4.16.6.3 Recognition and acknowledgement

Seventy-eight percent of individual donors said they would definitely or probably give again to a charity that provided them with prompt, personal gift acknowledgement, followed sometime later with a meaningful update on the program they had funded (Burk, quoted by the Association of Fundraising Professionals 2010:3-10).

Donors want ownership, acknowledgement and recognition and they want to share in the achievements of the organisations they support. A lack of punctuality regarding feedback could be perceived as disinterest (Zweibel & Golden 2007:42). To show appreciation and build lasting commitments, each donor should be acknowledged

and thanked appropriately (Brown 2015:2). They should be sent a thank-you letter within 48 hours of the gift having been received. A small donor welcome package containing a personalised welcome letter, the list of board members, the annual report, newsletters and other publications highlighting success stories or avenues for further engagement should follow seven to ten days later (Gastrow 2012c:122-123). Finally, personal “credibility contact” via telephone or a tailored email should be made within two months to communicate how the gift was utilised, to convey outstanding achievements and efficiency, and to deepen confidence (Association of Fundraising Professionals 2010:1-5, 5-43). Invitations to annual functions, membership certificates and naming rights will further generate loyalty and trust (White 2012:105-106). In contrast, millennial donors (youth born between 1981 and 1995) prefer instant responses through online contact and daily updates of websites, blogs and social media such as Facebook, Twitter and YouTube (Brown 2015:1).

4.16.6.4 The funding life cycle

Daellenbach et al (2006) equated a funding relationship to the life cycle stages of birth, growth and maturity. A funder’s intention to renew funding is driven by the extent to which the needs of the different parties were met and the level of trust and commitment achieved. The longer the association lasts, the greater the emotional connection and its impact. Although the ending of the relationship between the funder and the recipient is a gradual winding-down process, changes in the broader contextual business environment and a turnover of executive staff could trigger funding relationships to fade more quickly. However, failure to renew funding does not necessarily indicate business failure; it simply means that the life-cycle has been completed (Daellenbach et al 2006:75, 77-83; BASA 2013).

4.17 MONITORING AND EVALUATION

Monitoring and evaluation (M&E) provide the controls to ensure that funding has been utilised optimally and that effective programme implementation is taking place. It heightens accountability, facilitates learning and improvement opportunities for the grant-maker as well as the grantee. The assessment of social investment returns measures impact on society and demonstrates merit and success, attracting continued investment and support (Lamb 2012; Mancini 2009:3; Cohen 2015).

4.17.1 Building accountability for greater impact

An effective M&E system improves operational efficiency and social credibility (Haiyan 2010:30). It builds accountability, internal capacity and competitiveness to ensure that NPOs remain connected to their beneficiaries as well as their donors. Through M&E communication and the sharing of credible success stories NPOs track achievements, demonstrate progress and innovate programmes to deepen impact (Krige 2012; Trialogue 2015). A high standard must be set for the M&E process and data quality to encourage efficiency, effectiveness and a learning culture (Zweibel & Golden 2007:42).

M&E involve the periodic gathering and analysis of data to determine the effectiveness of an organisation in terms of carrying out its planned activities, fulfilling objectives and achieving anticipated results. The measuring of short-term, quantifiable goals at organisational level to demonstrate the effectiveness and efficiency of a programme and investment returns in terms of time, space, money and effort, is complemented by evaluating long-scale impact at societal level (Ntshabeleng 2013; Schweigert 2006:424). Thus M&E have evolved from tracking expenditure inputs and activities to tracking programme outputs, outcomes, impact

and benefits to beneficiaries, defined as a change in behaviour, skill, knowledge or attitude (Matthews 2014:53).

Because philanthropy does not have benchmarks for effectiveness or operating efficiency, the assessment of mission fulfilment and performance measurement is approached differently by different organisations. Performance is a multidimensional concept because it includes organisational, team and individual performance. It is the result of efficiency in terms of financial, process, political and service-oriented decisions relating to productivity, quality, outcome and accountability (Haiyan 2010:32, 38-39). Proving effectiveness requires an emphasis on positive change and causality. Evidence must indicate that the results are attributable to the intervention and that the actions taken were true to the original design and carefully documented (Schweigert 2006:417-418). The critical challenge is determining which variables to track, because the quality of the assessment and research results will depend on the questions asked and the authenticity, credibility and reliability of the data gathered. Because data collection is such a daunting challenge and often a subjective exercise, the boundaries of the intervention must be drawn carefully with the relevant evaluation measures conceptualised upfront. Outcomes must be quantifiable by indicators – the conditions which demonstrate the change (Ntshabeleng 2013; Guttman 2005:83-84; Schweigert 2006:420-422; Haiyan 2010:37).

Schweigert (2006:423-431) concluded that three distinct meanings of effectiveness are used to measure the impact of community initiatives: increased understanding, accountability and demonstrated causal linkages. A mixed-model evaluation method should be used, incorporating concrete evidence and clarifications obtained through qualitative studies (observation and interviews) with quantitative investigations

(surveys and questionnaires involving measurable aspects related directly to the project goals). The use of an integrated but simplified set of tools employing tick boxes, Likert scales and predefined options will limit the manpower and time required to gather data. The initial formative evaluation should build reflection for use in course correction and improvement, whereas the summative evaluation should use comparable methods to measure impact and change over time. Staff should be trained and given technical assistance on evaluation considerations and reporting requirements (Wolf & Antoni 2012:73-75; BASA 2013; Lamb 2012; Mancini 2009:5).

Aligning key objectives with the Millennium Development Goals (MDGs)¹²⁶ provides a framework that can be used to measure development outcomes (Brown 2013). Duque-Zuluaga and Schneider (2008:37-40) identified seven dimensions that should be considered in M&E:

- Beneficiary response, satisfaction, attendance and participation;
- Financial health, fundraising, resource acquisition and allocation;
- Job satisfaction of employees and volunteers in terms of motivation, client interaction, absenteeism, willingness to collaborate;
- Responsiveness to environmental changes, stakeholder needs and expectations;
- Long-term outcomes in terms of mission achievement and social improvement benefits;
- Programme goals, outputs and outcomes;
- Organisational efficiency relating to effort and accomplishment in terms of inputs and outputs (Duque-Zuluaga & Schneider 2008:37-40).

¹²⁶ Refer to section 1.4.5 of chapter one for more background about the MDGs, now referred to as Sustainable Development Goals (SDGs).

4.17.2 Assessing social return on investment

Funders are increasingly introducing complex grant conditions with extensive reporting requirements, procedures and standards (Rifer 2013). They want reassurance that their investments are yielding positive results and that the resources they donate are deployed responsibly and translated into clear, measurable societal benefits (Guttman 2005:82). Return on investment in business terms refers to measures such as profits or strategic advantage. Performance and value for money considerations also apply to NPOs as funders are increasingly expecting “development dividends” (Rifer 2013). NPOs must be able to prove the “added value” of their activities and investors need to be able to assess the social value of their investments (Mdee, Isaac & Cornelius 2008:149-152). As consumers, social investors increasingly want “more quantity, better quality, and more benefits, but at a lower marginal cost” (Rifer 2013). They want to accomplish positive impact with a clear sense of value for money.

Social return on investment (SROI) is usually measured in social terminology such as the total number of children educated or people supported. Secondary returns for funders include public relations opportunities, the generation of brand royalty or goodwill, or the development of strategic partnerships (Wijnberg 2012), measured by using metrics such as brand awareness, customer loyalty, employee engagement, media coverage and new media exposure (BASA 2013). Cohen (2015:55) recommended using this programme logic model containing five levels of measurement:

- *Inputs*: All human and financial resources allocated to specific activities (staff time, vehicles, funding and supplies);

- *Activities*: Actions designed to transform inputs into outputs (distributing supplies, training people);
- *Outputs*: Direct, immediate, concrete short-term results (the number of people trained);
- *Outcomes*: Medium-term developmental results (improved school grades and changes in behaviour, knowledge, skills, well-being and self-esteem);
- *Impacts*: Broad, long-term consequences at community, societal and system level (improved education system and effectiveness, a more educated and healthier population, increased capacity).

Documents that can be used as sources of information include staff job descriptions and annual performance agreements, annual action plans and timetables, departmental budgets, records and systems, and results and reports (Association of Fundraising Professionals 2010 7-10).

4.17.3 Reporting

M&E costs in terms of time, human and financial resources are high. Hiring an external evaluator with a good fit (someone with extensive experience and subject knowledge) may be the better decision if budgeted for properly (Guttman 2005:84). The budget, time-lines, work plan and reporting mechanisms should be established at the outset and considered part of the basic costs of programme delivery (Haiyan 2010:33; Wolf & Antoni 2012:76; Guttman 2005:87).

The collected data is analysed statistically to determine the significance of the results. “Dashboards” are used to translate the raw data into visible and easily digested snapshots for use in brochures, presentations and the annual report (Wolf &

Antoni 2012:73-75). Thus patterns of action contributing to programme effectiveness or unanticipated mission-drift are revealed which must be used constructively to expand understanding and sharpen programme focus. Gray performance areas should be improved and successful ones strengthened through the identification of critical implementation features such as short, medium and long-term actions, resources and time frames essential for the achievement of new goals (Schweigert 2006:430; Ntshabeleng 2013).

For clarity, reliability, consistency and stability, the reporting format has to remain constant throughout the funding period. If different stakeholders require different formats, the same data should be used. The final feedback report submitted to funders should contain a detailed analysis of measured participation (facts and figures of participants and venues according to demographics), skills and performance (before and after levels), media coverage (market penetration, press cuttings), photographic evidence of marketing and other promotional materials, statements of gratitude, and a proposal for a sustained relationship (Nuntsu & Shukla 2005:187, 200-201).

4.17.4 Corporisation of arts NPOs?

Care must be taken that the emergence of a report culture with an emphasis on financial sustainability, professionalism and corporisation within the non-profit sector does not distance NPOs from the very poor and marginalised communities they are meant to serve. Commercialisation can negatively impact the corporate culture of NPOs (Love 2012:16, 17; Stuart 2013:1-2). Furthermore, an overreliance on quantitative measurement can result in a misunderstanding of the distinct intangible value of the arts, resulting in distrust and distant relationships (Mullen 2013:183-184).

The corporatisation and commercialisation of arts NPOs introduce new philosophic obstacles which echo the caution expressed against the commodification of the arts as discussed in chapters two and three.¹²⁷ Creative human expression cannot be measured in numbers or expressed in monetary terms. The arts demand a unique approach to its management and funding challenges.

4.18 CHALLENGES ASSOCIATED WITH ARTS FUNDING AND MANAGEMENT

4.18.1 The changing arts funding system

Dewey (2003:6-9) observed that the CCI impacted the arts funding system because it expanded the interaction between arts and entertainment, and amateur art, non-profit and commercial creative enterprises. Commercially successful producers of popular mass entertainment now co-exist alongside financially vulnerable producers of live “high” art. As the importance of arts and culture in terms of education, community building and the development of social capital became more widely recognised, the decline of government support necessitated privatisation and the sourcing of alternative funding and support mechanisms from national lotteries, trusts and foundations. E-commerce, e-philanthropy, matched funding projects and the protection and exploitation of intellectual property assets increased. Following the financial crisis, entrepreneurial arts organisations built resilience through diversification and the acquisition of fixed assets such as buildings to assist with accessing bank finance (Nesta 2014:13), but their reserves decreased (National Campaign for the Arts 2013:2-5, 35).

¹²⁷ Refer to sections 2.13 and 3.11.

4.18.2 Management challenges

Prevailing arts management approaches cause tension between the creative, organisational and entrepreneurial competencies of artists and managers. Artistic leadership requires charisma and creativity, whereas business leadership demands conventional management approaches. A mismatch could develop between an organisation's vision and its ability to realise it owing to limited resources. Arts managers therefore have to juggle multiple roles and apply different management strategies to appease the different arts genres (Clark & Stewart 2012:10-12).

Hagoort (2008:24) drew renewed attention to cultural entrepreneurship with an emphasis on "the freedom to make art", because managing creative people demands a certain sensitivity which does not interfere with their freedom to do their job. Mullen (2013) too proposed that arts management should be arts-led, because funding relationships can constrain arts practice and compromise its inherent values. The ideology of a funding agency should not influence the recipient arts organisation. Management, art-making and economics should be integrated and interdependent, reflecting the dynamic interplay between the agendas and value systems of the funders and recipients as equal stakeholders (Mullen 2013:189-190).

Arts business leaders must build their organisations' uniqueness and brand reputation to connect with current and future audiences and donors. "High culture" organisations (ballet and opera companies) need to attract wider audiences and more young people to augment their generally aging audience, which typically represents only 3% of the high income population (Clark & Stewart 2012:9). A fine balance between innovation and control, and ticket prices and sales is required to maximise box office income, especially when planning entire seasons in advance.

The performing arts subsector is particularly vulnerable at the moment as a result of three inherent weaknesses: undercapitalisation, employment practices and changing audience behaviours (Cunniffe & Hawkins 2016).

- *Undercapitalisation*: Historically the focus has been on zero-based break-even budgets with narrow operating margins (even deficits) to garner philanthropic support. Art organisations are now required to show operating surpluses and a healthy balance sheet to build reserves as a cushion for artistic risk-taking associated with innovation, experimentation and investment in new works (Cunniffe & Hawkins 2016:2).
- *Employment practices*: An over-reliance on poorly-paid workers and volunteers, the lack of permanent positions, the willingness of artists to accept discounted compensation and staff cuts contribute to understaffing which aggravates the weakness of arts organisations in critical areas such as marketing and development (Cunniffe & Hawkins 2016:3).
- *Changing audience behaviours*: A decline in subscriptions, increasing competition and declining audiences for art forms such as opera have created cash flow problems and necessitated greater investment in marketing. The changing demographics evident in the fast-growing older and immigrant populations present challenges as well as new opportunities to create relevant, accessible programming (Cunniffe & Hawkins 2016:2).

4.19 NECESSITY IS THE MOTHER OF INVENTION

The domino effect of the CCI, aggravated by the 2008 global financial crisis, necessitated arts programmes to redesign, redevelop and redirect their work through calculated, innovative ways to enhance financial sustainability and audience

development through the use of technology, audience engagement and the development of partnerships between different CCI stakeholders (Dewey 2003:9-11).

4.19.1 Surviving the economic storm

O'Connor (2011) reflected on the key factors that enabled his New Zealand applied theatre company to survive the economic storm after their government contracts were cancelled following the economic crisis. An overwhelming community response and meaningful advocacy efforts mobilised mass protest and fueled a passionate academic discourse which resulted in a personal intervention by the minister. Accumulated reserves sustained them during the lean times, and the profitmaking structure of their business eliminated lengthy board approval processes, enabling quick decision-making. He concluded that an ethical base, good scholarly and business practices, strong community networks and partnering based on long-standing academic relationships combined with their ability to use research enabled them to survive (O'Connor 2011:97-99).

UNCTAD (2010:142) recommended international touring as a platform for own income generation, specifically foreign earnings.¹²⁸ International touring opens up new international markets and it promotes cultural exchange and diversity by introducing artists to other parts of the world. It is best exemplified by the global success of Dutch violinist and music entrepreneur André Rieu who, in 2013, became one of the top twenty most successful live touring acts across all genres in the world. He grossed \$49 983 266 from 70 live performances attended by 558 467 people all over the world (André Rieu n.d.; Billboard 2013a).

¹²⁸ A turnaround strategy based on international touring has resulted in Cape Town Opera making a net profit of R134 672 in 2014, up from a net loss of R-7 069 350 in 2013 (Cape Town Opera 2014:21).

4.19.2 New business models

A strong growth in earned income through ticket sales and tuition continues to drive recovery in the arts sector. Resonating with O'Connor's approach, new business models, with an emphasis on earned income and long-term collaborations with shared resources and risks, are being explored to enhance self-reliance. Non-traditional practices are employed by aligning with fiscal sponsors of project-based work as for-profit businesses rather than as non-profits. Long-term financial health is enhanced by budgeting for surpluses and developing policies for growing cash reserves (Cunniffe & Hawkins 2016:6).

The English National Opera adopted such a new business model after having lost 27% of its annual public funding. They refurbished the Coliseum¹²⁹ to include hospitality areas opened up for daytime retail, and now present more lucrative mass-market musical theatre productions, tour internationally to increase international reach, and partner with the University College of London to conduct research on the future of live performance and the performing arts (Stevens 2014c; Anon 2014c).

Musicians are also building alternative teaching careers through extensive networking and collaboration, using their peers and social media as resources (Haithman 2015:4). A core group of 60 redundant music teachers from Milton Keynes in the United Kingdom pioneered a new music education business model by establishing a music cooperative to continue the delivery of instrumental music lessons to children in the district after local government funding was cut. The collaborative body enables the self-employed music teachers to share resources, develop best practices, and offer consistency in service delivery to schools, parents and children (Anon 2014d).

¹²⁹ The Coliseum is a West End theatre venue in London.

4.19.3 Engaging with new audiences

Musicians have championed “a new look and vision for classical music” (Cunniffe & Hawkins 2016:3) by refining audience engagement through a range of strategies which include earlier curtain times on weeknights and pop-up performances containing unique interactive programming in unconventional public spaces, nontraditional venues and even late-night haunts where audiences are encouraged to have a drink and applaud at liberty (Cunniffe & Hawkins 2016:3; Riley 2014; Haithman 2015:2). Thus the Colorado Symphony Orchestra presented a “Classically Cannabis” concert, where attendees could bring and smoke their own legal cannabis. The Manchester Camerata chose another way to immerse the senses by using blindfolds and scent bombs in their “Challenging the Senses” chamber music series. Trumpeter Alison Balsom dressed up in period costume to play, sing and dance in a production at Shakespeare’s Globe (Riley 2014).

The multiple value of the arts is endorsed by partnerships with civic and social groups that engage with local communities in projects involving environmental advocacy, crime prevention, building a creative workforce and advancing health and wellness to build racial equity and address issues of urban revitalisation without the displacement associated with gentrification (Cunniffe & Hawkins 2016:4).¹³⁰ Innovative collaborations have involved musical celebrities such as Nicola Benedetti and Andrew Lloyd Webber who promoted El Sistema-linked music programmes in schools. New York’s Carnegie Hall partnered with the Jacobi Medical Centre through its “Musical Connections” programme to combine concerts with health fairs featuring diabetes counselling, blood pressure screenings and farmer’s markets promoting healthy organic eating (Wolf & Antoni 2012:27).

¹³⁰ Gentrification was introduced in chapter three as one of the CCI growth challenges.

Audience development has also been enhanced through more accessible and affordable live music performances enabled by top-tier simulcast performances by the Metropolitan Opera, Royal Opera House and Berlin Philharmonic in cinemas throughout the world and at home (Cunniffe & Hawkins 2016:3). Digital devices and multimedia have also been employed to produce multi-disciplinary works such as the collaborative “Blue Touch Paper” series produced by composer Eve Harrison and artist David Boulton (Riley 2014).

4.19.4 The mobile revolution

Technology has indeed changed the way art is produced, shared and having its impact measured. Mobile technology and social media are driving audience engagement, interaction and growth (Cunniffe & Hawkins 2016:3, 6). Paperless ticketing is enabled through the scanning of ticket codes from smartphones. Programme notes are screened or posted on websites and “behind-the scenes” material is shared online to reveal what is happening backstage. Ticket discounts are offered to audience members who regularly share their concert experiences on Facebook and Twitter. Audience members are encouraged to engage in interactive social media commentary¹³¹ during performances, hence dedicated “tweet seats” with good views are offered (Musical America Special Reports 2012:3, 10, 27; Musical America Special Reports 2013b:25-28; Cunniffe & Hawkins 2016:3).

4.20 BOOSTING FUNDING FOR THE ARTS

4.20.1 Arts sponsorship

Arts sponsorship delivers “tangible benefits for a range of stakeholders” (Christensen 2015:4). It creates performance platforms, promotes the value of the arts and

¹³¹ Because of copyright limitations, sound recording and photography remain restricted.

enhances the national and international profile of the hosts. To be attractive for potential corporate sponsors, an arts event needs to have a large audience appeal, a strong leadership supported by a quality team, solid business aims and values, and distinctive timing, scale and location. Conversely, local sponsors prefer investing in smaller scale, local events (Christensen 2015:44-46).

Arts sponsorship has evolved from a hierarchical patronage approach to a partnership approach that leverages tangible assets such as introductions to artists and invitations to performances with intangible assets such as brand appeal and reputation. Access to exclusive groups of people and association with a sustainable environmentally-friendly product¹³² that addresses the well-being and development of society also make the arts an attractive investment. The degree of fit – the strategic match between the partners and target audience – will determine the results in terms of brand equity achieved. Gratitude becomes an important consideration because it builds an emotional connection between the sponsor and the beneficiaries. However, over-commercialisation must be avoided because the line between support and exploitation remains slim (BASA 2013).

Social inclusion associated with performing arts festivals (especially in rural areas) is the main arts and culture sponsorship focus in South Africa. Cultural projects that promote equity and transformation, nation-building, job creation and rural economic development through tourism are prioritised, and a strong focus on indigenous cultural expressions and arts and crafts produced by women and people with disabilities prevails (Cohen 2015:104, Matthews 2014:202).

¹³² The link between creativity, the arts and a sustainable green economy was introduced in section 3.5.4.

Support for the arts should not be sought from corporates engaged in controversial activities. Garrard (2013) cautioned against the hidden costs associated with the moral responsibility and accountability of arts sponsorship, citing the example of Shell's support of the Southbank Centre¹³³ in London. He argued that Shell's philanthropy was simply an attempt to buy public favour, serving as a smokescreen for its oil spills and associated human rights' abuses in the Niger Delta. Similar concerns about social justice in Venezuela has contributed to a controversial discourse about the ethical grounding of aligning and collaborating with directly with El Sistema (Garrard 2013; Baker 2014).

4.20.2 Increasing innovation in arts funding

It takes creativity to tap into the vast, rich and eclectic world of financial resources for the arts. Financial sustainability is cultivated by exercising cultural leadership through strategic advocacy and awareness with an innovative entrepreneurial focus. It is nourished by engaging in intercultural exchange and interactions such as touring, trade and tourism to foster local cultural identity and diversity (Dewey 2003:9-11). Nurturing cultural entrepreneurial capacity is no longer a choice, but a requirement connected to the profession because "independent artists, musicians and designers ... operate as entrepreneurs in the fiscal and legal sense of the word" (Hagoort 2008:30).

To foster a sustainable funding mix, cultural entrepreneurs and arts organisations must leverage multiple revenue streams by seeking support from traditional avenues such as individuals, corporations and foundations complemented by professional fees and ticket sales to supplement own earned income (Haithman 2015:7). To serve

¹³³ The Southbank Centre is a major performing arts theatre complex in London. Its sponsorship by Shell was eventually terminated in 2016 following significant public protest.

their target communities better and more effectively, they should build an articulated identity that is “different from the pack” (Haithman 2015:4). Nesta (2014) advised applying these three distinct strategies to increase innovation in arts funding:

- *Investing in research and development:* Investment in research supports the development of innovative, experimental, high-risk projects with high potential, such as the application of mobile digital technologies to explore new models of audience reach and engagement.¹³⁴ Publishing research results benefits the whole sector (Nesta 2014:4).
- *Engaging venture funders to support arts accelerators:* Arts accelerators link innovative arts organisations with technologists, mentors and potential investors. Venture funders are engaged to stretch public funding and to accelerate the establishment of viable, sustainable and scalable projects. Grant options include profit-sharing, equity arrangements or loans that have to be repaid once commercial returns are achieved (Nesta 2014:5, 11-16).
- *Using crowdfunding to leverage public funding through matched funding:* New public money is mobilised into the arts through crowdfunding to leverage and stretch public funding through matched funding. Populist projects initiated by technologically-savvy individuals with strong social networking skills are favoured. The arts funder could either put in money first, or top-up a crowdfunding intervention with a matching grant (Nesta 2014:17-18).

4.21 CONCLUSION

Financial sustainability enables an NPO to achieve its vision and mission. It is closely interlinked with the continued need to drive the social cause, and therefore demands

¹³⁴ The London Symphony Orchestra developed a mobile location-based application to sell unsold concert tickets at discounted prices to university students living in and around London. With an 82% success rate, the project has been replicated by other orchestras and venues (Nesta 2014:8-9).

a clear definition and validation as to why a project should continue and whose interests are served in the process. Only when such a cause is validated, can further funding opportunities be explored (Chigwedere 2013; Conradie 1999:295). As a necessary and obligatory long-term goal, financial sustainability cannot be achieved through financial management alone. It requires designing offerings that speak directly to people and therefore needs to be absorbed in all the day-to-day management and programme delivery practices through an all-out and concerted *Advancement* effort by the entire organisation and its stakeholders.

Non-profit organisational capacity and efficiency demand leadership that displays professionalism and accountability to generate trust and confidence, complemented by competent human resources with qualified staff and dedicated fundraising personnel. Staff-turnover – an inevitable side-effect of NPO staffing – must be counteracted through succession planning to enable an organisation to survive through different generations of leaders and employees. Speaking in one voice strengthens organisational capacity and builds model projects that are sustainable and scalable.

An NPO must stick to its core function and cut activities or projects that are not aligned to its core function or do not bring in sufficient income. Strong fiscal control requires long-term financial planning, proper accounting measures and good audit procedures. The proper use of projected cash flows and budgets will maximise impact with the limited resources available. Overheads and all running costs must be recovered – preferably annually – with income growth exceeding inflation in the long run. Unutilised funding must be earmarked for reserves to optimise financial return.

Regular reviews and scrutiny by the board will ensure good governance and oversight.

Revenue concentration resonates with the proverbial carrying of all your eggs in one basket. Although you might get to the market easier, quicker and cheaper, you are in danger of losing some eggs should you trip *en route*. Diversifying the income stream by securing income from several funding sources rather than one big donor offers a safer option, especially for performing and creative arts institutions and schools. Sourcing own income generation through social entrepreneurship opportunities and venture philanthropy initiatives further facilitate sustainability.

Funding proposals need to be compelling and captivating, supported by strong data, clear goals with measurable outcomes and a realistic budget to build a competitive advantage. NPOs should apply proper research and best practices regarding the selection of a best-fit funding model and the identification of perfectly-matched funders. Exogenous factors such as location, local economies and area demographics that impact fundraising potential should be borne in mind. A clear understanding of the different ways that people donate time and money at different stages in their life – and targeting and tailoring engagements accordingly – will enhance philanthropy.

Programme efficiency and cost-effectiveness need to be balanced with commitment, customer service and accountability to cultivate loyalty in funding relationships. Funding relationships fail owing to poor consultation, ineffective communication and feedback, and a lack of trust. Funders (as the main clients of NPOs), as well as beneficiaries, need to be shown respect and afforded the opportunity to evaluate,

praise and even criticise the quality of products and services they receive (Wolf & Antoni 2012:81; Rosenthal 2012:8).

The impact of mobile technology and the resultant changing dynamics between fundraisers, donors and recipients need to be observed. Social media participation, tracking and monitoring have become key to successful marketing and relationship-building and significantly increase the reach of performing arts organisations. It should also be employed to drive fundraising efforts, seasonal and last-minute ticket sales through the use of location-based ICT systems (Musical America Special Reports 2012:19, 20-22).

NPOs need to show accountability, transparency, compassion, passion and drive to support mission-driven sustainability. A culture of measurement must be embedded. The Tuckman-Chang criteria can be applied to evaluate financial risk, and frameworks linked to the MDGs/SDGs used to measure development impact. Assessing strengths and weaknesses will improve ongoing service delivery, efficiency and cost effectiveness. Reporting should be consistent, comparable and published as part of normal business reporting. Programme outcomes and successes should be communicated to existing stakeholders as well as potential funders and used to support and substantiate advocacy efforts (Brand 2011:18; Mancini 2009:9). More research is required to provide a rigorous methodology for measuring SROI, specifically regarding the ability and value of social interventions to enhance social inclusion (Mdee et al 2008:152). Data gathered should be published to build and promote a stronger case for advocacy efforts.

Greater social and government engagement and action will contribute to building a sustainable giving environment that encourages public trust and confidence in donating money to charities (Charities Aid Foundation 2012:9). At national level the government should champion the role of NPOs by ensuring that minimum standards of governance and oversight are adhered to in order to maximise effectiveness. Registration and annual compliance reporting should not require an undue level of administration. More tax-relief incentives such as tax-effective donations to performing arts and culture organisations must be accommodated to nurture philanthropy.

To foster longevity and address the development of more professional artists and audience support, CMDPs have to counteract funding shocks by adapting their business models to include a substantial stream of own earned income. Applying financial sustainability measures and *Advancement* principles, complemented by cues taken from other performing arts institutions, will enable them to survive. Simultaneously CMDPs need to remain focused on arts-led funding goals to eliminate mission-drift, by staying close to their core values as advocated in Collins's Hedgehog Concept. The continued teaching of music to South Africa's marginalised youth will require a committed, collective, and coordinated interdisciplinary drive for this underfunded Cinderella to become a true princess.

CHAPTER 5

RESEARCH METHODOLOGY, DATA ANALYSIS AND INTERPRETATION

5.1 INTRODUCTION

The main research question that guided this research project was: *What are the critical success factors that have enabled some South African CMDPs to survive for more than five years?* This chapter explores these critical success factors (CSFs) through the analysis and interpretation of data collected via 37 electronic questionnaires, triangulated with several telephone and email narratives and seven elite interviews.

The chapter commences with an introduction to the concept of interdisciplinarity and the chosen qualitative research paradigm. The research methodology section focuses on purposive sampling, the respondent database compilation and multi-method data collection processes. It details how the electronic questionnaire was assembled, distributed and collected, and provides insight into the negative case analysis and elite interview processes applied for triangulation and crystallisation purposes. I subsequently introduce the validation strategies employed to ensure trustworthiness, followed by the detailed analysis of the research results, summarised and visually displayed through graphs and tables. The chapter concludes with a discussion of the implications of the research findings and a few final words of wisdom from the elite interviewees.

5.2 RESEARCH DESIGN

5.2.1 Interdisciplinarity

This interdisciplinary research study has drawn on the two disciplines of music and business management, studied and practised throughout my career as a music performer, teacher, administrator and director. With post-graduate qualifications in music performance and education, as well as in business management and administration,¹³⁵ I represent the typical interdisciplinary researcher who draws on an “intrinsic motivation to cross-fertilize” rather than specialise (Rhoten 2004:8).

Interdisciplinary researchers leverage multiple expertise to break down “disciplinary silos” in order to advance the “understanding of complex problems” (Rhoten 2004:8). In doing so, they work seamlessly across established disciplinary boundaries to build scientific bridges and achieve breakthroughs (Rhoten 2004:6; Metzger & Zare 1999:642). As a result, interdisciplinary research is generally considered “risky” (Rhoten 2004:9; Rhoten & Parker 2004:2046; Metzger & Zare 1999:642), because it does not yet have an established tradition with a clear set of principles. As such it is generally deemed to be of a lower status than monodisciplinary research. Notwithstanding, interdisciplinarity is highly beneficial because it merges different perspectives and is more concentrated on practical problems (Metzger & Zare 1999:642). It requires broader problem-solving skills (Rhoten 2004:11) and presents a better overall view of the researched issues to produce relevant and applicable research results that address specific societal needs (Rhoten & Parker 2004:2046). In this regard, interdisciplinarity makes a valuable contribution to the building of theory (Hagoort 2008:14-15).

¹³⁵ Refer to section 1.3.1 for more background information.

Two supervisors from two departments, representing different faculties within the University of the Free State, were appointed to lead this research process: one from Music (within the Faculty of Humanities) and a co-supervisor from Business Management (within the Faculty of Economic and Management Sciences). This interdisciplinary approach in itself presented pressure which had to be surmounted early on, owing to the inherent qualities of the two potentially opposing disciplines which differ in style, research methodology and scholarly tradition (Beckman & Essig 2012:7).

Business management is entrenched in a quantitative research paradigm with a formalised approach. Research in music education, on the other hand, lends itself to a qualitative research paradigm with an informal, exploratory approach and a descriptive narrative style. To relieve this inherent tension, a collaborative and collegial effort was made to overcome these philosophical obstacles by finding the common middle ground early on in the research process to address differing ideologies and expectations which otherwise could have posed as potential barriers to my research (Campbell 2005:576). As Beckman and Essig (2012:8) recommended, the style guide of my “home discipline” – music – was followed seeing that it has framed my world-view as a music teacher.

5.2.2 Qualitative research paradigm

An open and emerging qualitative research design was chosen as the research paradigm of choice in intent and strategy because it added significant depth, understanding and richness to the research. In qualitative research topics that are of personal interest, but of which not much has been written about, are often pursued. As an exploratory study, the researcher probes this topic and builds an

understanding based on what is heard from participants (Creswell 2014:110). Thus a qualitative research design generally has the following features:

- A detailed engagement with the research object;
- A relatively small sample;
- A multi-method approach using multiple data sources;
- A flexible design feature which accommodates adaptation when necessary (Babbie & Mouton 2001:279).

An empirical interpretivist qualitative research design characterised by these four above-mentioned features was chosen, because it enabled me to focus on description and a deep, comprehensive understanding of CMDP management challenges to gain insight into how CMDP financial sustainability is nurtured (Creswell 2013:89-90). Referred to as “Verstehen” by Babbie and Mouton (2001:270, 309), this approach allowed me more control and freedom to be innovative within a flexible, “researcher-designed” framework (Creswell 2014:21). My departure point was to develop an insider’s perspective of CMDP management challenges by capturing a holistic account of the actions, behaviours and practices that impact CMDP longevity through a rich, thick, detailed and in-depth description of the many CSFs that contribute to CMDP financial sustainability and vulnerability. The flexibility associated with the emerging design allowed for the research design to be adapted as new information came to the fore over time (Creswell 2014:186).

The open, emerging, multi-methods approach accommodated the use of multiple data sources and sequential data collection techniques. Hence a list of structured questions was distributed as an electronic questionnaire to facilitate the collection of a large amount of data in a short time, at a fairly low cost (Kelley, Clark, Brown &

Sitzia 2003:261). Negative case analyses was incorporated through telephone and email enquiries to gain additional explanations and insight into defunct CMDPs, and seven elite interviews were conducted towards the end to obtain an overarching executive perspective of CMDP financial sustainability. I personally collected, processed and analysed the data. Thus a sense of the overall financial sustainability practices and actions applied by CMDP leadership was obtained by following a grounded theory research approach (Babbie & Mouton 2001:270-280; Creswell 2014:186).

5.2.3 Grounded theory research

Grounded theory is an approach that permits the studying of a relatively unknown social phenomenon around which no theory exists yet. The purpose of grounded theory is to generate a theoretical explanation of a process or action with the aim of providing a framework for further research. The researcher is embedded in the research process and has an intimate familiarity with the studied phenomenon – often choosing a topic in which he/she holds a decided stake. The theory is developed grounded in information gathered from participants who have experienced the process (Babbie & Mouton 2001:499; Creswell 2013:83; Creswell 2014:66; Charmaz 2008:160-163).

Because grounded theory is a flexible “method of explication and emergence” (Charmaz 2008:156), CMDP financial sustainability theory was built by ascertaining patterns out of data obtained from the 37 questionnaires, field notes made during several email and telephone inquiries and seven elite interview transcriptions. A flexible “systematic, inductive, comparative and interactive approach to inquiry” (Charmaz 2008:156) was used to develop the themes and their connections through

these successive levels of data collection and analysis. Data saturation was achieved when the same themes arose repeatedly and no new information came to the fore (Charmaz 2008:158,167; Creswell 2013:105).

5.2.4 Non-random sampling methods

Non-random sampling – also known as judgemental sampling – is a common sampling method used to collect data in qualitative exploratory studies because it intentionally targets individuals who can best contribute to answering the research problem by setting up specific criteria for the inclusion and exclusion of respondents (Creswell 2013:147; Kelley et al 2003:264).

5.2.4.1 Purposive (purposeful) sampling

Through a sampling method known as purposive or purposeful sampling, the research was narrowed down to only include respondents who are currently (or were previously) involved in South African donor-funded CMDPs established before or during 2011.¹³⁶ Purposive sampling resulted in a small, focused number of respondents, but it maximised the information that could be obtained from a diverse range of CMDPs with a broad geographic spread and it ensured that the sample represents multiple perspectives of the larger CMDP population of South Africa (Babbie & Mouton 2001:166-167, 288; Kelley et al 2003:265; Creswell 2013:147, 151 Bird 2009:1314).

5.2.4.2 Snowball sampling¹³⁷

As data collection progressed, snowball sampling was used to gain access to a wider variety of respondents from further afield. Snowballing methods were also used to

¹³⁶ Refer to section 1.6 for the delimitation of the study area.

¹³⁷ Snowball sampling is also called chain sampling (Creswell 2013:158).

locate respondents whose personal contact information had changed. By following leads provided through reference by participants as well as other music teachers, information-rich diverse CMDPs from all over South Africa could be included for deeper insight (Babbie & Mouton 2001:167; Bird 2009:1314; Kelley et al 2003:265).

5.2.4.3 Extreme views, negative and deviant cases

To report a greater diversity of perspectives, narrative feedback received from project leaders of defunct CMDPs was incorporated in the discussion of the data findings because the inclusion of divergent views and deviant or negative cases challenges generalisation (Creswell 2014:99; Babbie & Mouton 2001:166).

5.2.5 The final respondent database

In 2006 the Register of Music Outreach Programmes in South Africa (MOPSA) formed the backbone of my original database of potential respondents. As mentioned in section 1.9.1 of this thesis, the MOPSA register was compiled in 1998 on behalf of the South African Society of Music Teachers (SASMT) (*The South African Music Teacher* 1998:13-15). It was hosted on the website of the Department of Music of the then Potchefstroom University for Christian Higher Education¹³⁸ (Van der Merwe 2006) and contained information about thirteen CMDPs.¹³⁹

In 2010 I gained access to another CMDP database: the detailed attendance register of the Cape Festival Music Development Forum hosted by the Conservatoire of the University of Stellenbosch.¹⁴⁰ This attendance register, containing email and telephone contact information of all the attendees, added flesh to my final respondent database.

¹³⁸ This university is now known as the North-West University.

¹³⁹ Although no longer available online, I do have an electronic version and a print-out of this register made on 21 April 2006.

¹⁴⁰ Refer to section 1.7.1 for more information.

An extensive database spreadsheet was compiled detailing each CMDP, listing project leaders and secondary contacts together with their email and telephone contact information. Because quite a few CMDPs listed on the database had already closed down by the time data collection commenced in 2015, more projects were located through snowball sampling to ensure that the final sample would be “representative of the larger population” (Kelley et al 2003:264).

Creswell (2013:89) recommended involving between twenty and sixty participants. My final respondent database contained 61 prospective electronic questionnaire respondents from CMDPs located in all nine South African provinces. In terms of organisational structure they represented small urban and rural CMDPs run by dedicated individuals, established programmes run under the auspices of big umbrella institutions and major non-profit organisations (NPOs) that function at national – sometimes even international – level. The music tuition disciplines covered included Western Art instrumental and vocal music, traditional African music and jazz. The final respondent database also included the details of the seven elite interviewees – current or former chief executive officers of major arts and culture organisations that host CMDPs as part of their music education initiatives.

By 2014 only three of the original thirteen MOPSA projects appeared to be active and they were included in the final database as part of the 61 prospective electronic questionnaire respondents. The other ten “inactive” MOPSA representatives were listed on their own because they were contacted separately via email and telephone to obtain information about the status quo of their projects. If the project had closed down, the representative was prompted for further information about the reasons for its demise.

Ethical clearance was obtained through the Faculty of the Humanities of the University of the Free State on 15 August 2014 and permission granted to proceed with the data collection in 2015.¹⁴¹

5.3 DATA COLLECTION

To sequential data collection process, implemented to strengthen the qualitative research design (Bird 2009:1309), commenced mid-June 2015 with the distribution of the electronic questionnaire via email. Towards the end of September 2015 I started locating the representatives of the ten “inactive” MOPSA projects to enquire after the status quo of their projects. Finally, during October/November 2015, a series of seven elite interviews were conducted to maximise data collection and facilitate triangulation.

The questionnaire respondents and elite interviewees were initially approached via email and invited to participate in the research project. For ethical purposes, a detailed cover letter with a consent form was added to provide background information about the research project, to develop trust, and protect the integrity of the research (Kelley et al 2003:264; Creswell 2014:92).

5.3.1 The cover letters and consent forms

The cover letter (attached as Appendix B on page 428) contained the contact detail of the university and my two research supervisors and provided detailed background information. It clarified that ethical clearance had been obtained from the university, that participation was voluntary, and that no reward was on offer. Respondents were assured of their privacy, anonymity and confidentiality in the data analysis and

¹⁴¹ The ethical clearance number is UFS-HUM-2014-47.

reporting process and were invited to indicate whether they would like to be informed of the research results afterwards (Bird 2009:1313). The participants' informed consent was obtained by means of a consent form that had to be signed to confirm that participation was voluntary. If a respondent's CMDP fell under the auspices of an umbrella organisation, the manager/director of that umbrella body had to grant written consent for the project leader to participate as a respondent. In addition, the elite interviewees had to grant written consent for their interviews to be voice-recorded.

The cover letter and electronic questionnaire were distributed as attachments with an email request for participation. The prospective informants were asked to return the signed consent form electronically together with the completed questionnaire, or in hard copy at the elite interview.

5.3.2 The electronic questionnaire

An electronic questionnaire data collection technique was chosen as the most suitable data collection strategy, because the CMDPs included in the sample were scattered all over South Africa. The questionnaire consisted of a list of structured questions and therefore essentially functioned as a web-based interview, conducted via email for cost and time efficiency as advocated by Creswell (2013:159; 2014:193) and Bird (2009:1307-1308). It enabled collecting a large amount of data in the same electronic format to ensure the production of reliable, replicable and valid results. The questionnaire has been attached as Appendix A on page 422.

5.3.2.1 Questionnaire design and compilation

The contextual background of CMDPs and the educational, creative and non-profit environment in which they operate were discussed in detail in chapters one to four.

This problem statement and subsequent literature review culminated in a concise representation of a holistic, thematic financial sustainability framework around which the questionnaire was designed, as recommended by Babbie and Mouton (2001:282). Guided by Inyathelo's *Advancement* model (refer to section 4.8) and the CSFs identified in section 1.8 of chapter one, the questions were compiled using some pre-existing themes and categories as a starting point. The questionnaire was further informed by questionnaires used in prior South African CMDP research studies conducted by Brand (2011), Le Roux (2009) and the editors of *The South African Music Teacher* (1998). In addition, the questionnaire was augmented by inputs from questionnaires used in the financial sustainability research by León (2001), Guttman (2005), Wolf and Antoni (2012), Foresters Community Finance (n.d.) and CMDS (n.d.), especially as far as the pre-determined codes and categories used in the closed questions were concerned. Refined through a process of logical thinking and consultation with my supervisors, I was able to build and expand on these pre-existing themes to ensure that the relevance and importance of and interconnections between the different financial sustainability issues were carefully thought through to address the main research question and sub-questions stated in chapter one, section 1.9.2 (Srivastava & Thomson 2009:76).

Non-threatening introductory questions were used to establish rapport and to gather basic background information about each CMDP to ensure that it meets the delineation criteria. Thereafter the questions dealt with general CMDP challenges complemented by specific non-profit financial sustainability challenges regarding human resources, financial management, partnerships, fundraising and monitoring and evaluation (M&E). Related questions were grouped together and content was categorised with sub-headings derived from the *Advancement* model to ease

reference (Bird 2009:1310; Kelley et al 2003:263). The sequence and wording of the questions were selected carefully to avoid ambiguity and to establish a “logical order” (Bird 2009:1310-1311). Double-barrelled questions and loaded, leading and ambiguous questions were eliminated (Bird 2009:3012; Kelley et al 2003:263).

Open-ended as well as closed-ended questions were incorporated to obtain a comprehensive understanding (Jabareen 2009). Open-ended questions were used so participants could share their own knowledge, experience and insight with freedom and spontaneity to add depth (Bird 2009:1311; Kelley et al 2003:263). Closed-ended questions were included because they are easy to code and summarise, aiding comparison and interpretation (Bird 2009:1311-1312; Kelley et al 2003:263). Multiple-choice questions were added by using a checklist tick-box approach with a selection of pre-populated responses to simplify the completion of the questionnaire.¹⁴² To minimise the effect of having respondents choose predefined answers only, they were given the opportunity to elaborate on their answers to heighten understanding. Explicit instructions were provided throughout (Bird 2009:1311).

Because the subject matter dealt in part with sensitive financial matters, potentially embarrassing or confidential issues were deliberately avoided by asking for general aggregated information rather than probing for detailed specifics about individual funders and annual income in name and numbers.

Several people active in the music education non-profit sector were approached to review the questionnaire and make recommendations prior to distribution. The final

¹⁴² The option to answer “I do not know” was included should the respondent not be familiar with the specific issue under question.

product was formatted in Microsoft Word (MS Word) to enable respondents to complete it electronically to reduce transcription during the data processing phase.

5.3.2.2 Questionnaire distribution

Because the database contained CMDPs scattered all over the country, the questionnaire was distributed and collected electronically via email for the sake of convenience. Clear instructions were given in the accompanying email.

Electronic distribution ensured a good representation and eliminated potential bias by enabling hard-to-reach CMDPs in faraway provinces to be included (Kelley et al 2003:265; Bird 2009:3012). Electronic distribution also created a non-threatening environment that granted the participants more time to reflect on the questions asked before they responded with their feedback, especially as far as sensitive financial issues were concerned (Creswell 2013:159).

The first emails with the cover letter and questionnaire attached were distributed in mid-June 2015. Reminder emails were sent a month later in July/August (seeing that the June-July school holidays had negatively impacted the initial response rate). Short text messages (SMS) and telephone calls followed in September to encourage participation. Several follow-up messages were sent throughout the next few months and respondents were asked to recommend other CMDPs for inclusion in this research.

5.3.2.3 Questionnaire collection

Of the 61 questionnaires distributed, 41 completed questionnaires were returned. This indicated a good response rate of 67%, slightly higher than the 65% recommended by

Kelley et al (2003:265). Four of the completed questionnaires could not be included in the data analysis, because the CMDPs did not meet the delineation criteria.¹⁴³ The remaining 37 questionnaires (representing six provinces) were well within the range of between twenty and thirty informants recommended by Creswell (2013:149,157; 2014:189) as essential to develop well saturated theory.

The relevance of the subject matter, familiarity and rapport clearly impacted the positive response. Respondents who knew me personally responded eagerly and quickly, whereas those with whom I had never dealt before needed some reassurance and encouragement before they replied. Several respondents added meaningful voluntary narrative answers, detailing valuable particularities unique to their CMDPs that added significant depth to the research.

Most of the completed questionnaires were returned in MS Word format via email. This eliminated the need to transcribe the data, saved processing time and minimised error. Only a few questionnaires sent in Portable Document Format (PDF), or hand-delivered in hard copy, had to be transcribed. As the completed questionnaires were returned, the respondent database was maintained meticulously and all ensuing communication was logged. If a person declined participation – for whatever reason – that was recorded too.

In total, twenty project leaders did not participate, for the following reasons:

- Three respondents declined participation because their CMDPs had closed/scaled down because of financial woes and leadership turnover. Two of them provided valuable, detailed narrative feedback via email and telephone;

¹⁴³ They were either not donor-funded, or they were established after 2011.

- Four respondents declined participation, citing very busy schedules and lack of time as the reasons;
- Eight prospective respondents promised to participate, but never did so despite several follow-up messages sent;
- Five prospective respondents never replied to any of my email and telephone messages.

Towards the middle of October 2015 I noticed that the return-rate had slowed down. The questionnaire data were processed into Microsoft Excel (MS Excel) spreadsheets for analysis purposes as it became evident that data saturation was approaching. The last questionnaire was received and processed on 13 November 2015. In the mean time I had proceeded to secure information about the ten “inactive” MOPSA projects.

5.3.3 The MOPSA register telephone and email enquiries

Although three of the best-known MOPSA programmes were included in the electronic questionnaire data collection process, the remaining ten MOPSA representatives were approached during October and November 2015 to enquire after the status quo of their projects. Because most of them had retired from their institutions, or had emigrated, snowballing techniques and references by former colleagues were used to trace the MOPSA representatives via telephone, email and Facebook Messenger.¹⁴⁴ Meticulous note-taking and record-keeping ensured that every lead could be followed and retraced afterwards.

¹⁴⁴ The Facebook Messenger social media platform was very valuable in contacting project leaders who had relocated or emigrated.

All ten MOPSA representatives were located and thus I ascertained that two MOPSA projects were still “fairly active” (even though their websites were notably outdated). However, the other eight MOPSA projects had closed down for the following reasons:

- Leadership turnover, mostly due to staff retirement and relocation;
- Lack of funding (three of them initially had the same international funding source which, according to one informant, withdrew its support to South African universities in 2003);
- Institutional structural changes and a resultant change of mission.

5.3.4 The elite interview process

Towards the end of October 2015, after most of the questionnaire data had been processed and studied, I proceeded with the elite interviews. These interviews were conducted with seven music executives to obtain their overarching, management perspective regarding the CSFs that are essential in establishing financial sustainability in the South African CMDP environment.

5.3.4.1 Rationale

Elite interviews, considered a key tool of qualitative analysis (Richards 1996:204), are semi-structured interviews conducted with influential experts who are gatekeepers at the top of their stratification system. The aim is to obtain their unique, first-hand commentary about specific experiences to provide additional insight into a social phenomenon (Hochschild 2009:6). Interviewees are chosen because of the position they occupy, to acquire information not recorded elsewhere and to provide context about the success or failure of a specific event or process. Snowballing methods are used to obtain access to them (Moyser n.d.; Richards 1996:200; Hochschild 2009:2).

Elite interviewing requires that the interviewer must have a good command and prior knowledge of the material being researched, therefore it is best done and most productive during the latter stages of the research process – after the themes for the final argument have emerged – whilst the analytic narrative is being developed (Hochschild 2009:4-5).

5.3.4.2 The elite interviewees

The seven elite interviewees were selected because they each head/used to head a major arts and culture organisation or academic institution that is a key role-player in the South African CMDP environment. For geographical spread these interviews were conducted in three provinces, and the elite interviewees represented:

- Two universities;
- A provincial education department music centre;
- A provincial performing arts organisation;
- A professional symphony orchestra;
- Several national NPOs that produce inter alia music festivals and competitions, an orchestral training course, and amateur opera productions.

The elite interviewees were initially approached via email. They too received an attached cover letter¹⁴⁵ requesting a thirty minute interview, to be conducted at a predetermined time and venue of their choice (Britten 1995:253). All the interviewees responded positively and follow-up communication to confirm the scheduled appointments took place via emails, telephone and SMS.

¹⁴⁵ Refer to section 5.3.1 for more information about the cover letter.

5.3.4.3 The elite interviews

The interview protocol is attached as Appendix C on page 430. At the start of the interviews the interviewees were reminded that the interview would be voice recorded on my cellular phone, and they were presented with a hard copy of the cover letter and consent form to be signed in person.

As recommended by Babbie and Mouton (2001:289), the interviews followed a flexible, unstructured, continuous and open format which used the broad, holistic discussion topic indicated in the cover letter¹⁴⁶ as a starting point. The interviewee did most of the talking, and was allowed to speak for him/herself without being interrupted by a range of predetermined questions. Because each interviewee represented a different arts and culture sub-sector, each focused on different themes of particular relevance and interest to him/her. To obtain their expert point of view and knowledge about specific themes covered in the electronic questionnaire, ensuing probing questions which flowed spontaneously from the informal conversation were included to gather more information based on their unique experience (Kelley et al 2003:263; Srivastava & Thomson 2009:75; Britten 1995:251-252).

Remaining anonymous in the research output was an important consideration for the elite interviewees, given the sensitivity of the research topic and the volatility of the political, economic and professional environment in which they function as executives. Being reassured of confidentiality and that neither they nor their organisations would be identified, created a heightened level of rapport, trust and confidence which encouraged them to open-up spontaneously in a pleasant conversational style. According to Richards (1996:201-204), great care must be taken should the reliability

¹⁴⁶ The discussion topic was: "The critical success factors that are essential in establishing financial sustainability in the South African community music development environment".

of an elite interviewee appear to be questionable as a result of deceitfulness, vengefulness, subjectivity, or an unforthcoming attitude. This was not necessary, because all the elite interviewees discussed the interview topic passionately, albeit with a sincere concern for the sustained delivery of music education in South Africa. As a result of their enthusiastic narrative some of these interviews went on longer than the pre-planned 30 minutes.

One interview was conducted in English, four interviews were in Afrikaans, and two interviews were bilingual. The interviews were captured through extensive note-taking and sound-recorded on my cellular phone. Afterwards the recording was downloaded onto my laptop computer and I transcribed the notated text into MS Word whilst the data remained fresh and clear. Due to the meticulous note-taking, the recordings proved to be unnecessary.

5.3.5 Organising and storing data

An extensive manual and computerised filing system was developed to organise, store and secure the data and back-up information on a daily basis to accommodate subsequent search and retrieval activities (Creswell 2013:175; Babbie & Mouton 2001:504-506). Every email response was saved in my electronic mailbox for future reference. The completed electronic questionnaire files, interview recordings and transcriptions were saved on my personal password-protected computer and on separate flash drives, kept safe in different locations for back-up purposes. To further mitigate risk, the questionnaires, email narratives, notes and interview transcriptions were also printed, filed and stored in my study at home for easy location and reference.

My personal computer was used for data processing and analysis through MS Word and MS Excel. The collection of the questionnaires formatted in MS Word eliminated the need to retype lengthy responses (and to possibly err in doing so) and it enabled efficient organising and search capacities which streamlined data processing. Only a few questionnaires returned in hard copy or PDF had to be retyped. Subsequently the MS Word documents were exported into MS Excel spreadsheets to facilitate direct comparison, some basic statistical analysis and graphic displays of the research results. I continuously checked, cross-checked and rechecked these conversions for quality assurance purposes to ensure that interesting findings could not be attributed to incorrect data entries (Bird 2009:1315).

5.4 DATA ANALYSIS

A thick description of data is an essential part of a qualitative analytical study which attempts to explore, describe and explain a specific phenomenon. To achieve this, the qualitative data analysis guidelines provided by Bazeley (2009), Creswell (2013, 2014) and Babbie and Mouton (2001:283) were observed closely.

5.4.1 The data analysis process

As an inductive analytical study the research involved a data analysis process that included elements of content analysis, grounded theory and basic statistical analysis. Thus patterns and themes were built by organising data into a comprehensive set of categories, of which some pre-existing theoretical codes and categories (known as *a priori* codes and categories) were derived from the constructs identified in the literature framework (notably the CSFs identified in section 1.8 and Inyathelo's *Advancement* model detailed in chapter four), and others emerged from the data.

Although the use of predetermined codes and categories has received mixed reaction, it remains a popular method because it does not limit the researcher from being open to new themes emerging from the data (Bazeley 2009:9). The researcher remains alert to surprising, conceptually interesting information that reflect the participants' views (Creswell 2013:185-186).

The following step-by-step data analysis guide provided by Creswell (2013:182) proved very valuable and was followed closely:

- Highlight key words and memo key concepts as margin notes;
- Identify codes;
- Reduce codes to themes and categories by identifying patterns;
- Count frequency of codes;
- Note relations amongst themes and variables;
- Relate and contextualise categories to the analytic framework from the literature;
- Display data through graphs, tables, charts and figures to make comparisons and illustrate contrasts (Creswell 2013:182).

Elements of content analysis and grounded theory, as well as some basic MS Excel statistical analysis were employed to facilitate “pattern-matching” and “explanation-building” (Babbie & Mouton 2001:283).

5.4.2 Data analysis techniques used

5.4.2.1 Content analysis

Content analysis is a powerful data reduction technique which compresses text into content categories. It is useful in the early stages of qualitative analysis, especially

when using pre-existing theoretical codes and categories. It is also used to examine data for new emerging concepts which indicate specific trends and patterns (Stemler 2001:137-140; Babbie & Mouton 2001:491-495). As a research tool, content analysis uses word counts to quantify and analyse the presence, occurrence, meaning and relationships of certain words or concepts in written texts. The number of times these words appear indicates importance (Busch, De Maret, Flynn, Kellum, Le, Meyers, Saunders, White & Palmquist 1994-2012; Stemler 2001:139).

Thus traditional conceptual content analysis¹⁴⁷ was used to analyse the verbatim text responses to the open-ended questions in the electronic questionnaire. Also known as thematic analysis, the existence and frequency of words and phrases which represent certain concepts were established to determine trends. Because there were only 37 respondents, coding was done by hand through selective reduction to reduce the potential for coding error. Frequency of occurrence of key words used was calculated manually, as well as with the help of MS Word. Great care was taken to include synonyms such as “salaries”, “wages” and “remuneration”. Minor themes that fit together were merged to form major categories, established through emergent as well as pre-existing coding derived from the theoretical framework (Busch et al 1994-2012; Stemler 2001:137-140; Babbie & Mouton 2001:491-495).

The results to the open-ended questions are displayed as tables in the discussion of the data findings.

¹⁴⁷ Relational content analysis was not applied because there was no intent to prove causality through detailed statistical analysis of the data.

5.4.2.2 Basic MS Excel statistical analysis

Indicating frequency of occurrence is “typically associated ... with systematic approaches to qualitative research” (Creswell 2013:185). The data obtained from the closed-ended questions were therefore organised into MS Excel spreadsheets. By converting the raw data categories into numbers (Creswell 2013:199), basic statistical analysis could be applied to calculate percentages and averages to examine frequency and magnitude. Where necessary data categories were condensed, and where relevant the mode was also calculated to provide detailed novel insight. However, because the qualitative paradigm excluded an intention to examine or prove causality, advanced statistical analysis was deliberately excluded.

The results of the closed-ended questions are displayed in graphs for easy analysis and comparison.

5.4.2.3 Grounded theory analysis

Grounded theory analysis was applied to analyse the seven elite interviews, two narrative transcripts and feedback received from the eight defunct MOPSA projects. Hand-coding was again used to go through each line of narrative text to identify the themes that link with the emerging and predetermined conceptual categories derived from the questionnaire data (Srivastava & Thomson 2009:73-76; Creswell 2014:199). Axial coding was used to build the main arguments and to generate recommendations as part of the triangulation process (Babbie & Mouton 2001:499-501).

5.4.3 Data integration

The emerging data patterns and pre-existing themes and categories were triangulated with the responses provided by the elite interviewees. Negative case analysis

assisted with generating additional explanations provided by the narrators and MOPSA representatives (Babbie & Mouton 2001:283). The data results presented in tables and figures were supported by verbatim quotes to form a coordinated picture of the findings from which the final conclusions were drawn. Divergent views and unique responses were singled out and reported to provide alternative explanations. Through cross tabulation the relationships between the different concepts were explored, compared and analysed in greater detail and linked with the literature and theory discussed in the preceding chapters (Bazeley 2009:6-13). Every attempt was made to address response bias and minimise coding error, and several validation strategies were applied to address the truth value of the research.

5.5 VALIDATION AND TRUSTWORTHINESS

Validity refers to whether the research concept was measured accurately (Kelley et al 2003:263) and measured what it intended to measure (Bird 2009:3011) to enable generalisation from the sample to the population (Krefting 1991:215). In a qualitative research approach validity is addressed by trustworthiness, authenticity, credibility (Creswell 2014:201), transferability, dependability and confirmability (Creswell 2013:244).

As recommended by Krefting (1991:216), the following validation strategies were applied to increase trustworthiness and validation during the research study design, data collection and interpretation stages:

5.5.1 Triangulation of multiple data sources

Triangulation uses multiple data collection methods and sources to reduce the bias that can arise from single methodologies (Babbie & Mouton 2001:275). Different viewpoints are obtained to enable the researcher to look for patterns that shed light on specific themes. Triangulation adds breadth and depth and builds justification by assisting with corroboration through the cross-checking of data and data interpretation (Creswell 2013:251; 2014:201; Riley 2012:24; Krefting 1991:219).

The primary data collected through the electronic questionnaires were triangulated with narrative data obtained through the elite interviews and telephone and email correspondence with the narrators and MOPSA representatives to enhance credibility and dependability. Notes and records were maintained and filed meticulously to establish a clear audit trail for the sake of credibility and confirmability.

5.5.2 Prolonged engagement

The researcher, as the most important research instrument, aims for prolonged contact with and decreased distance between the informants and him/her to build trust and establish rapport. By spending extensive time in the field to learn the culture and to decide what is salient for inclusion in the study, the researcher develops a better understanding of the research topic (Babbie & Mouton 2001:273; Creswell 2013:250-251; Krefting 1991:217).

I spent a decade studying this phenomenon whilst I was immersed in community music development work in multiple professional roles as a music teacher, performer, examiner, project coordinator, director, researcher, fundraiser and consultant. These multi-tasking activities and responsibilities enabled me to obtain a very clear insider's

perspective and understanding (Babbie & Mouton 2001:53) of the CSFs that enable – and disable – the longevity of South African CMDPs. This prolonged engagement enhanced the credibility and dependability of the research findings.

5.5.3 Reflexivity

A researcher's background and the multiple roles played whilst engaged in the research dictate the framework used to organise and analyse the research findings (Krefting 1991:218). The researcher must therefore remain self-critical and declare moral assumptions and ethical implications to maintain integrity. Diverse voices must be granted equitable treatment in order to stimulate new dialogue if the transformative value of the research is to lead to action and change (Creswell 2013:248, 250).

Through reflexivity I was able to contribute to the theoretical framework and the CSFs described in section 1.8 and used in the data collection process. Reflexivity also enabled me to pursue diverse cases by tracing the project leaders of defunct projects, such as those listed on the MOPSA register. Although my prolonged engagement with this research study has inevitably resulted in some of my personal values being brought into it (Creswell 2014:18), the truth value of the research was never compromised because I spent those ten years wearing several different professional caps in the CMDP environment. Thus I obtained a unique all-round perspective which, given my interdisciplinary background in music and business management, was advantageous seeing that it provided valuable insight and understanding and enhanced the reliability, credibility and trustworthiness of the research results.

Extra care was taken to remain neutral and unbiased during the data collection, processing and write-up phase¹⁴⁸ in order to avoid subjectivity. Because I was not professionally associated with a specific institution or organisation at this time, I was able to nurture personal awareness and sensitivity that enabled me to remain neutral and unbiased in the documentation, description and interpretation of the data. Complete impartiality was strengthened by the fact that I was also not accountable to any funder, so I could maintain an objective and free stance.

5.5.4 A rich and thick description

Creswell (2014:202; 2013:246, 249) noted that a detailed, thick description that contains many perspectives and a persuasive weight of evidence supports interpretation and produces more realistic and richer research results.

Snowball sampling enabled me to increase geographical spread to secure a sample representative of the wider CMDP population in South Africa: the 37 respondents represented six provinces and a variety of music disciplines. One elite interviewee represented a seventh province.¹⁴⁹ Augmented by the feedback received from the narrators and MOPSA representatives, these multiple data sources ensured that potential response rate bias was eliminated (Kelley et al 2003:265). Thus a wide variety of voices was heard, contributing to the authenticity, applicability and transferability of the research results.

To maximise validity and reliability, all the informants were granted the opportunity to elaborate to voice their opinion freely. During data analysis the necessary steps were taken not to distort their responses, as advised by Babbie and Mouton (2001:275).

¹⁴⁸ This was during the period July 2015 to April 2016.

¹⁴⁹ Two rural provinces were excluded because one questionnaire was not returned as promised, and another was rejected because the project was established in 2014 only.

Therefore several verbatim quotes were included in the discussion of the results to support the main data findings summarised in graphs and tables and complemented by cross-tabulation.

5.5.5 Negative case analysis

Because the inclusion of divergent or negative views and cases and the reporting of discrepant information contribute to credibility (Krefting 1991:219; Creswell 2014:202; 2013:251), representatives of defunct MOPSA projects were approached to ascertain what had caused the demise of their projects. The feedback received from the two narrators about the decline of their projects similarly enhanced credibility. Divergent views expressed in the questionnaires were also reported.

5.6 DISCUSSION OF THE RESEARCH RESULTS

The anonymity of the individual informants has been protected by assigning numbers to them (Creswell 2013:174), aligned with their listing on the final respondent database discussed in section 5.2.5:

- The questionnaire respondents are referred to as Respondent 2 to 38;
- The elite interviewees are called Elite Interviewee 1 to 7;
- The two projects leaders who provided narrative information about their defunct projects are called Narrator 1 and 2;
- The MOPSA register representatives are referred to as MOPSA 1 to 13.

Percentages were calculated manually as a percentage of the entire sample (N=37), or as a percentage of the total number of respondents who responded to a specific question. The number of respondents who abstained from answering certain

questions was included in these figures, but the implication thereof was only discussed if really relevant to the findings.

In the tables the frequency of occurrence of each coded response is either indicated in brackets or – space permitting – in a separate column to shed light on the magnitude of each.

Data findings were cross-tabulated to identify the relationships between categories and linked with references to the literature discussed in the preceding chapters. Verbatim quotes by the respondents, narrators, MOPSA representatives and elite interviewees were included as concrete evidence “to add interest and clarity” and to show that the findings are grounded in the data (Bazeley 2009:19). Where Afrikaans quotes were used, the text was translated into English and the verbatim Afrikaans statement included as a footnote.

The research findings that follow are introduced and discussed per section according to the sub-headings used in the questionnaire.

5.7 BACKGROUND INFORMATION OF CMDPs

To ensure that all the CMDPs investigated meet the delineation criteria, respondents had to indicate when their CMDPs were established. Background information about size and autonomy was also collected to add insight. Refer to Section A of the questionnaire (Appendix A, page 422) for the specific questions included in this section.

5.7.1 The number of CMDPs established per decade

As mentioned in section 5.2.4.1 only CMDPs established in or before 2011 were included in the final sample because projects older than five years are generally considered long-term social interventions. Moreover, these projects have outlived the brunt of the 2008 financial crisis. For ease of reference the data have been summarised into decades and displayed graphically as Figure 5-1.

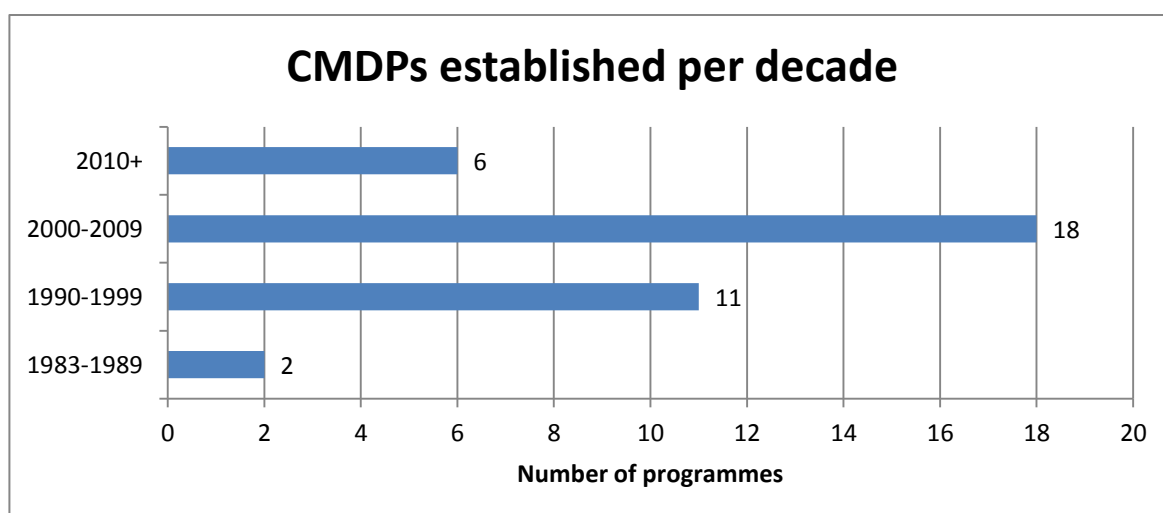


Figure 5-1: Number of projects established per decade

It is evident that CMDPs have been in existence from as early as 1983. Eleven CMDPs (30%, N=37) were established between 1990 and 1999, the decade in which the change in the country's political dispensation had a domino effect on the general basic education system, with a serious impact on music education.¹⁵⁰ The growth in new CMDPs peaked in the decade between 2000 and 2009 with the establishment of eighteen new programmes (49%), of which twelve (32%) were started between 2003 and 2006 following the first review of Outcomes-based Education in 2000. It appears that as music education was being phased out of government schools, the need for community music development soared. The four youngest CMDPs included in the sample date back to 2011.

¹⁵⁰ Refer to section 1.2.2 for more historical background information about the changes in basic education as far as music is concerned.

CMDPs continue to sprout even today, especially in rural areas. During the data collection process I had contact with four CMDPs established as recently as 2014. However, they were excluded from the data analysis because they did not meet the delineation criteria.

5.7.2 The size of CMDPs

The size of CMDPs was measured by the number of learners currently receiving music tuition in each programme, summarised in clusters of 100 learners each and illustrated below in Figure 5-2.

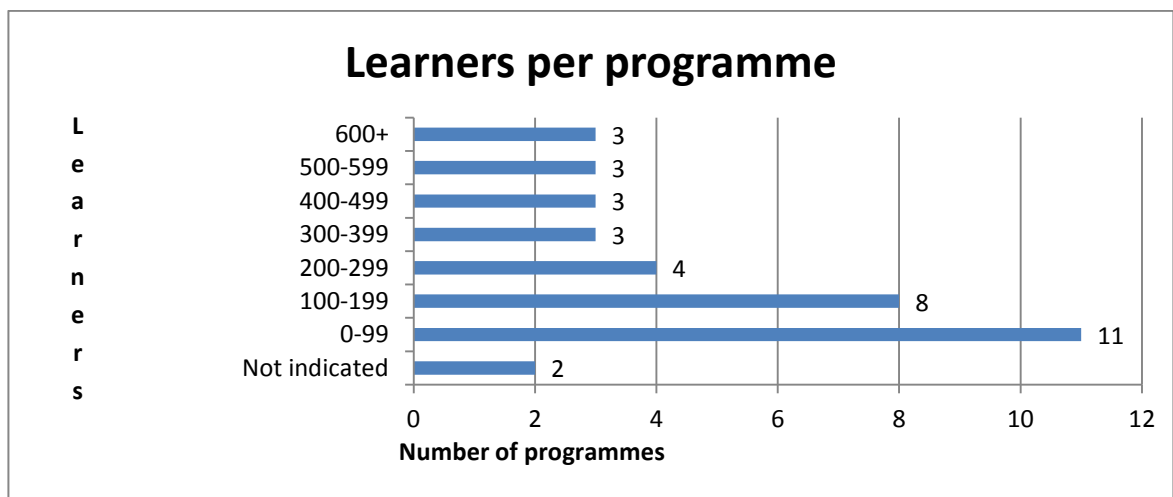


Figure 5-2: The number of learners currently receiving music tuition per programme

The total number of learners taught by the CMDPs, as reported by the respondents, is 10 489, with an average of 299 learners per programme (n=35).¹⁵¹ More than half (51%) of the programmes have up to 200 learners, and eleven programmes (30%) teach up to 99 learners each. The smallest programme teaches only seven pupils, whereas the biggest CMDP accommodates more than 2500 students in its regular opera training workshops.

¹⁵¹ Because two respondents abstained, n=35.

5.7.3 The autonomy of CMDPs

As a measure of their autonomy, the respondents had to indicate whether their CMDPs are independent or affiliated with an umbrella body. As summarised in Figure 5-3, 22 CMDPs (59%, N=37) disclosed that they are run under the auspices of an umbrella organisation whereas fifteen CMDPs (41%) said that they are not.

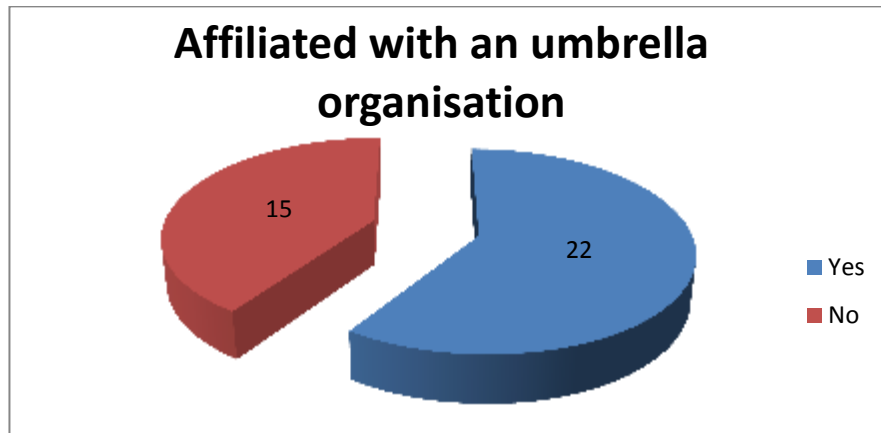


Figure 5-3: The number of CMDPs affiliated with umbrella organisations

NPOs associated with umbrella organisations have reduced risk. They have access to a wider network of people and support and save on resources such as infrastructure, administrative and operational costs covered by the umbrella body; thus overreliance on external funding is reduced. As Elite Interviewee 4 observed, CMDPs add a broader dimension to general music education programmes offered by umbrella institutions, and they provide a structure in which sustainability can be housed. The different types of umbrella organisations are displayed in Table 5-1.

Table 5-1: Umbrella organisations

Umbrella organisation	Non-profit organisation	Provincial government	University	Orchestra	Private school	Abstained
Number of CMDPs (n=22)	7	6	4	3	1	1

Umbrella bodies are mostly general community development organisations (32%, n=22) and provincial government departments (27%) such as Departments of

Education (4 CMDPs) and Arts and Culture (2 CMDPs). A few universities (18%) and symphony orchestras (14%) as well as one private school make up the rest.

5.8 PROGRAMME CAPACITY AND SERVICE PROVISION

Section B of the questionnaire (Appendix A, page 422) dealt with the general programme management and planning approaches of CMDPs. Respondents were questioned about programme challenges and needs, vision and mission statements, leadership and parental involvement.

5.8.1 Programme challenges

A list of predetermined programme challenges identified through the theoretical framework and reflexivity (refer to section 5.3.2.1) was provided. Respondents were asked to indicate how severe they perceived these challenges by ranking them on a scale ranging from one (somewhat challenging) to five (very challenging). The 37 individual scores per challenge were added up and the totals displayed in Figure 5-4. In Table 5-2 the results were rearranged and listed from the most to the least severe. The average score and mode of each challenge were included for more insight.

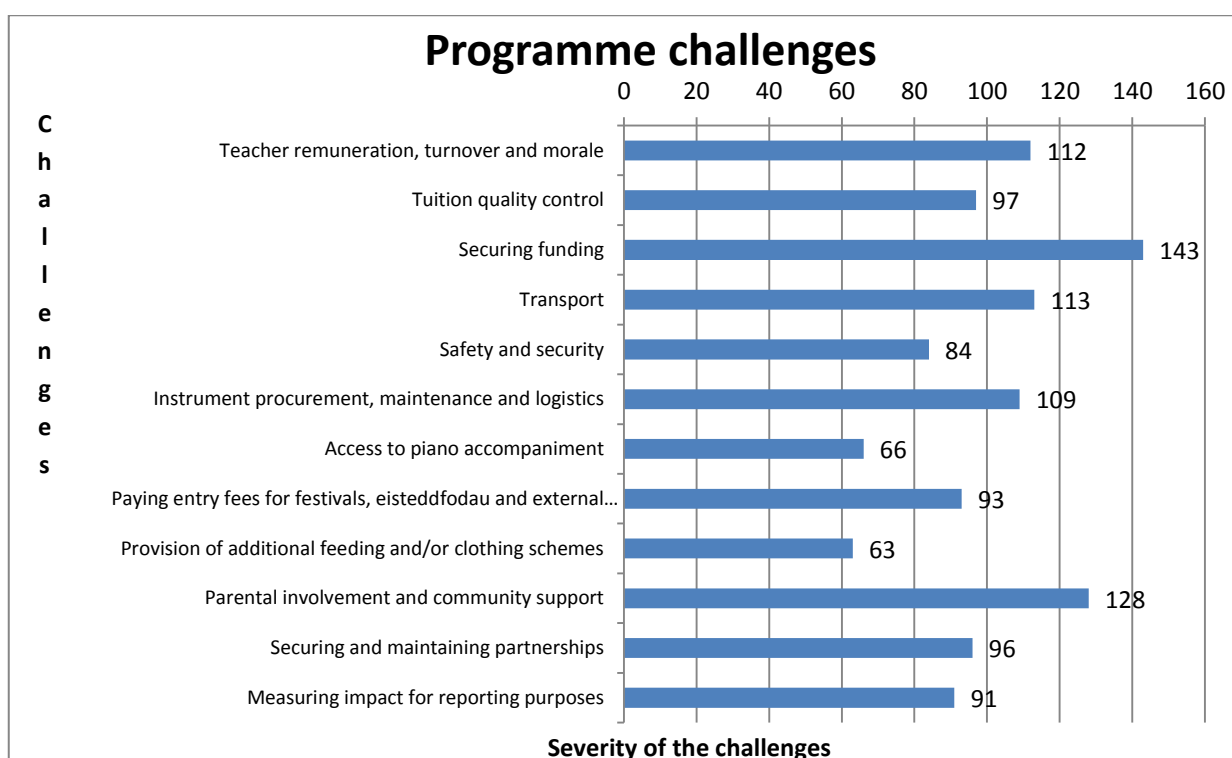


Figure 5-4: The severity of programme challenges experienced by project leaders

Table 5-2: Challenges in descending order

Position	Challenge	Total	Average	Mode
1	Securing funding	143	3.86	5
2	Parental involvement and community support	128	3.46	5
3	Transport	113	3.05	3
4	Teacher remuneration, turnover and morale	112	3.03	4
5	Instrument procurement, maintenance and logistics	109	2.95	1
6	Tuition quality control	97	2.62	2
7	Securing and maintaining partnerships	96	2.6	1
8	Paying entry fees for festivals, eisteddfodau and external examinations	93	2.51	1
9	Measuring impact for reporting purposes	91	2.46	1
10	Safety and security	84	2.27	1
11	Access to piano accompaniment	66	1.78	1
12	Provision of additional feeding and/or clothing schemes	63	1.7	1

Not surprisingly, with a total score of 143, *Securing funding* emerged as the most severe challenge faced by CMDPs today. *Parental involvement and community support*, with 128 points, came in second, but its mode of five (the same as that of *Securing funding*), indicated that many respondents considered it an equally severe challenge. *Transport* – highlighted throughout the previous chapters as a critical

factor not only for South Africa, but also for the global Cultural and Creative Industries (CCI) – scored third with 113 points,¹⁵² closely followed by *Teacher remuneration, turnover and morale* with 112. However, closer analysis showed that their averages are separated by a mere 0.02 points and with a higher mode, *Teacher remuneration, turnover and morale* appears to be the more serious problem for some.

Instrument procurement, maintenance and logistics scored 109, whereas *Tuition quality control*, at 97, was closely followed by *Securing and maintaining partnerships* with 96 points. Again the modes provide additional insight, showing that *Tuition quality control* is more problematic and challenging for certain CMDPs. After all, it is relatively easier (and cheaper) to buy a new instrument than it is to buy the services of a good teacher!¹⁵³

The scores for *Paying entry fees for festivals, eisteddfodau and external examinations, Measuring impact for reporting purposes, Safety and security, Access to piano accompaniment and Provision of additional feeding and/or clothing schemes* varied from a total of 93 down to 63, all with a mode of one. Ostensibly the issue of *Safety and security*, exemplified through the high level of crime which is so common and wide-spread in South Africa, has not yet impacted CMDPs severely. Similarly *Measuring impact for reporting purposes* (highlighted throughout chapter four as essential for the financial sustainability of NPOs) also scored low, potentially hinting at what could be a root cause of the financial vulnerability experienced by CMDPs.

¹⁵² These findings correspond precisely with those of Brand (2011) who, after having completed a similar study in the Western Cape, concluded that “financial resources, transportation and gaining the support of parents as well as the wider community, are seen as the principal factors challenging sustainability” (Brand 2011:iii).

¹⁵³ Elite Interviewee 2 specifically remarked that poor quality teaching is becoming more prominent. Teachers lack the knowledge and experience to work with the talent at their disposal. They make poor repertoire selections, and they do not attend training opportunities.

Respondents also had the opportunity to elaborate on other challenges not included in the predetermined list. The following additional challenges each scored between five and ten points:

- *Insufficient staff;*
- *Lack of time;*
- *Lack of an own venue with suitable teaching and practising space.*

Insufficient staff and *Lack of time* are closely intertwined. *Lack of time* also surfaced in the email feedback received from four potential respondents as the main reason for their non-participation.¹⁵⁴ This resonates strongly with the plight of multi-tasking self-employed performing artists briefly described in chapter three (see section 3.9.2.2). The duties of CMDP project leaders simultaneously demand juggling creative art specialisation and generalised business skills, necessitating the execution of time-consuming, cross-boundary management activities. Project management will consume much of their time if these responsibilities are not shared with other staff members. In this regard Elite Interviewee 6 specifically observed that the current workload of university academics (who have to spend half their time on teaching and the other half on research) complicates the distribution of work associated with community engagement.

5.8.2 The greatest needs threatening the continuity of CMDPs

Respondents had to indicate what they consider as the greatest needs threatening the continuity of their CMDPs. Their responses were coded, categorised and tabulated in Table 5-3. Financial management issues such as funding and resources, reported by 67.5% of the respondents, emerged as the greatest need by far, followed

¹⁵⁴ Refer to paragraph 5.3.2.3 for more information.

by infrastructure and human resources management. The need for funding escalates with the need to grow and expand a programme because more space, transport, instrument-specific teachers and musical instruments are needed.

Table 5-3: The greatest needs threatening the continuity of CMDPs

	FINANCIAL MANAGEMENT		HUMAN RESOURCES		INFRASTRUCTURE		OTHER	
	NEEDS	Funding/financial resources	16	More qualified, efficient teachers	4	Bigger venues/buildings	5	Committed, disciplined, motivated learners
Staff salaries		4	Committed, disciplined, motivated teachers	3	Better public/own transport	4	More government support	2
Settling of bad debt (unpaid fees)		4	More fundraising and admin staff	2	Instruments	3	More board support	1
Proper procurement procedures		1	More full-time staff	2	Goodwill of landlords/partners	2	Sustained development of good programmes	1
			Suitable teacher qualifications	1	Security	1		
			Succession planning to replace project leader	1				
TOTAL		25		13		15		7

The following quotes further illuminate specific needs and threats:

- “Raising of fees should always be implemented without ... pricing oneself out of the market” (Respondent 3).
- “To maintain a high standard of tuition, [we] need highly qualified and efficient teachers with a passion for their field of music teaching. It is difficult to get hold of such expertise, if a company cannot provide and secure good salaries” (Respondent 3).
- “There is ... a danger that sponsors grant funding towards individuals and not to institutions” (Respondent 3).

- “[O]ur school is far too small, and we have problems trying to get the Church on whose ground we stand to agree to an extension” (Respondent 10).

Thus the questionnaire respondents focused on financial and general programme management, whereas the elite interviewees and one narrator emphasised the need for more government support and commitment and National Lotteries Distribution Trust Fund (NLDTF) efficiency. Clearly the lack of clear cultural policy and poor implementation of the Creative Arts as a school curriculum subject are challenging the financial sustainability of CMDPs:

- Elite Interview 1 criticised the inefficiency of government departments and the NLDTF, saying that they had to submit the same information repeatedly as part of reporting.
- Elite Interviewee 2 questioned the aesthetical value of DAC (Department of Arts and Culture) projects,¹⁵⁵ maintaining that politics influenced funding allocations. Despite millions of Rands being poured into DAC preferential projects, these projects stalled because of a lack of commitment. Even when valid contracts are in place, payouts are problematic.
- Interviewee 3’s opening remark was that financial sustainability without city, regional and national government support is impossible. He maintained that NLDTF support remains “touch and go” and unreliable, because it generally takes three years for the first tranche to be paid out.
- Elite Interviewee 5 confirmed that DAC funding allocation and Lotto payouts are dysfunctional: “Lotto and government funding does not flow and is not reliable.” He also lamented the lack of policies: “The big trouble is that the

¹⁵⁵ His exact words in Afrikaans were: “Die DAC kan nie esteties spel nie”. When translated directly, this means that “the DAC cannot spell aesthetics”.

DAC has no real policies... There is no infrastructure for support and no funding for music education”.¹⁵⁶

- Narrator 2 agreed that NLDTF payments are received late and added that there is general politicking and a lack of political will: “The DAC play[s] political games”.

5.8.3 Actions needed to overcome obstacles to sustainability

Table 5-4: Actions needed to overcome obstacles to sustainability

Programme capacity and service provision	Human resources	Organisational voice and visibility	Financial management	Fundraising	Infrastructure and asset management	Monitoring and evaluation	Government support
Improved and well-implemented organisational and administrative structures (3)	Supportive leadership and leadership training (3)	More corporate awareness and support (2)	Timeous payment of student fees, with lessons suspended for non-payment (3)	Funding applications submitted to many different sources such as embassies, trusts and foundations (6)	Affordable transport or transport sponsorship (2)	Sponsors must provide auditing assistance to meet complicated compliance criteria (1)	More national and provincial government support and funding (8)
Regular site visits by community engagement coordinators (1)	Community engagement training for teachers and team members from the community (2)	Public awareness and lobbying to influence policy-making (2)	A strong financial base with consistent long-term funding (3)	Use of full-time dedicated fundraisers (2)	Buildings with more teaching space (2)	Music education impact assessments (1)	The workings of the NLDTF must be investigated to ensure timeous Lotto payments (2)
The development of a community music engagement curriculum (1)	Improved teamwork between teaching, administration and finance staff (1)	Networking (1)	Better internal financial control to monitor running costs (2)	Better relationships with existing funders and potential sponsors (1)	Remodeling of programmes to reduce security risks (1)		A change in education policy with a complete overhaul of the education system (2)
	Language barriers must be overcome (1)		Annual revision and planning of fees and salary structures (1)	Stronger board support and involvement (1)	More instruments so each pupil can have his/her own instrument (1)		Investment in local music schools, teachers, ensembles and the inclusion of music during school hours (2)
	Higher salaries secured for teachers of specialised instruments (1)		A reserve fund for times of need (1)				More arts and culture tax incentives (1)
Totals: 5	8	5	10	10	6	2	8

¹⁵⁶ The importance of a holistic approach to CCI policy to avoid policy inertia was stressed in the conclusion of chapter three, section 3.12.

Table 5-4 revealed that the questionnaire respondents again considered financial management and fundraising remedial action (each reported by 27% of the respondents), closely followed by more government support and the efficient management of human resources (21.6% support respectively), as the most urgent remedies needed. Infrastructure and assets (16%), organisational voice and visibility (13.5%) and M&E (5%) were considered less serious obstacles.

5.8.4 The vision and mission statement

Figure 5-5 displays the responses to the question as to whether CMDPs have a written vision and mission statement.

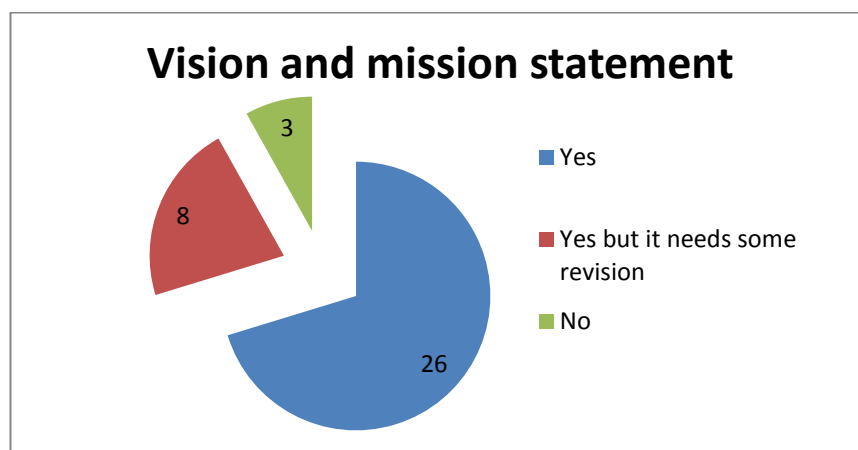


Figure 5-5: The existence of a written vision and mission statement

Twenty-six (73%, N=37) of the respondents answered affirmatively, whereas another eight (22%) replied that their vision and mission need to be revised. This majority of positive responses (92%) shows that CMDPs are vision and mission-focused. The three CMDPs (8%) that do not have a vision and mission statement are older umbrella-affiliated programmes; hence one could infer that these CMDPs lack the autonomy to set their own future direction. Conversely, they are complacent because of their reduced risk.

5.8.5 Management and planning

To learn more about the leadership approaches of CMDPs, the respondents were questioned about the person(s) responsible for management and planning.

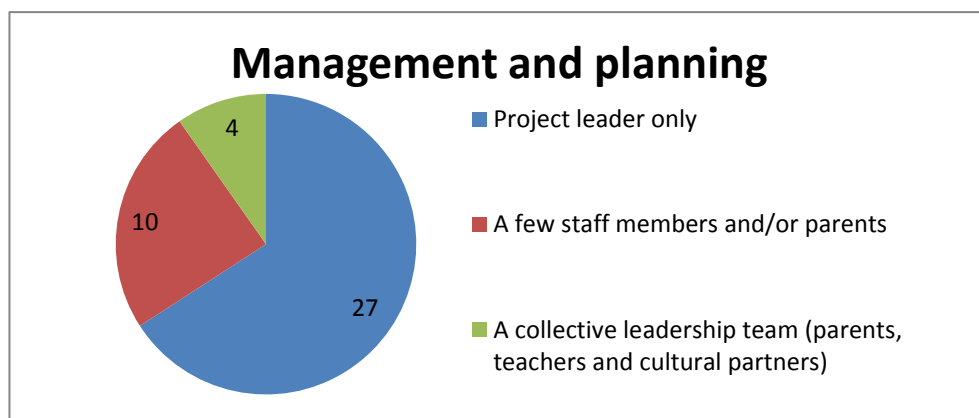


Figure 5-6: The person(s) responsible for management and planning

Figure 5-6 shows that 27 (73%) of the respondents – the project leaders – are responsible for most of the management and planning aspects of their programmes. Only four CMDP leaders indicated that they make use of a collective leadership team. Thus a disconcerting and disproportionate high number of CMDPs appears to be “one-man shows”. Although closer analysis revealed that five respondents marked two categories each (thereby implying that the project leader collaborates with other staff members, parents and/or cultural partners) the high level of autocracy is a cause of concern, and points to the time challenges mentioned in section 5.8.1.

Autocracy could contribute to the lack of parental involvement and community support identified in Table 5-2 as the second most severe challenge experienced by CMDPs. In section 1.4.2 community engagement was referred to as being “people-centred” – it should never result in a forced “top-down” approach. The community must be directly involved with decision-making. Thus Elite Interviewee 7 responded that despite a lack of succession planning, extensive community support and

involvement enabled their rural music programme to keep going after the death of their first project leader.

As was reported in sections 5.3.2.3 and 5.3.3, leadership turnover has caused the decline of several CMDPs.¹⁵⁷ Respondent 10 also expressed concern about her succession and the sustainability of her CMDP when she retires. Elite Interviewees 4 and 6 each detailed how a MOPSA project closed down after the sudden death of its project leader, despite interventions by other people. Elite Interviewee 6 added that a project leader cannot be replaced at short notice, because staff members are already overburdened with work. It follows that autocracy hinders sustainability; therefore collective leadership and succession planning should become critical considerations for CMDPs, as was also concluded in chapter four (section 4.21).

5.8.6 Leadership attributes that enhance CMDP longevity

Table 5-5 contains a summary of CMDP project leaders' positive attributes. The multi-tasking responsibilities of CMDP project leaders were highlighted again: professional skills scored low in comparison with personal attributes, organisational and management skills, interpersonal relations and the ability to harness team support. Personal attributes such as passion, commitment, perseverance and a willingness to walk the extra mile seem to be decisive factors. Elite Interviewee 6 emphasised that being well-organised is key, and Elite Interviewee 4 echoed that passion is mandatory. As Respondent 20 replied: "[You have to] be on the job 24 hours of the day 7 days a week".

¹⁵⁷ Sixty-two percent of the MOPSA representatives (N=13) indicated that their projects had closed down because of leadership changes due to staff retirement and/or relocation.

Table 5-5: Project leader attributes that enhance programme longevity

Personal attributes	Professional skills	Organisational and management skills	Interpersonal relations and the ability to harness team support	Community engagement skills
Passion and love for the profession (7)	High professional skills, knowledge and standard (5)	Good administrative, organisational and record-keeping skills (6)	Maintaining good cooperation and relationships with staff and students (5)	Strong belief in the value of music education in uplifting marginalised children and changing lives (7)
Hardworking, putting in extra effort and energy (6)	Progress through regular performance opportunities (3)	Working towards a set vision, goals and strategy (5)	Good networking, social and communication skills (3)	Strong love for and meeting the needs of the community (6)
Perseverance and determination (5)	International experience (2)	Creativity and good problem-solving skills (4)	Empowering, inspiring, believing and investing in the team (3)	Motivating children to achieve top results (2)
Dedication and commitment (5)	Scope of the curriculum was expanded to include theory and aural training (1)	Good fundraising skills (2)	Enthusiastic and loyal students and teachers (3)	Giving second chances (1)
Honesty, integrity, trust (4)		Open and transparent planning (1)	A collaborative leadership style, delegating responsibility to staff and parents (2)	
Flexibility, adaptability (3)		Achieving a good return on investment (1)	Good systemised staff reporting and follow up procedures (2)	
Obstinacy and tenacity (3)		Achieving balance between artistic, educational and administrative elements (1)	Investing in quality staff training programmes (1)	
Good at working under pressure (1)		Good crisis management (1)	Recruiting well qualified, committed and loyal staff (1)	
Patience (1)		Building good relationships with donors(1)		
		Building institutional partnerships (1)		
Total:	35	11	23	16

On the other hand, insufficient professional skills will certainly impact *Tuition quality control*. Similarly a lack of community engagement skills would hamper attempts to improve *Parental involvement and community support*. The importance of these attributes should not be underestimated.

5.8.7 Success in securing parental involvement

Respondents were subsequently probed for information about the extent to which they have managed to secure parental involvement (see Appendix A, page 423).

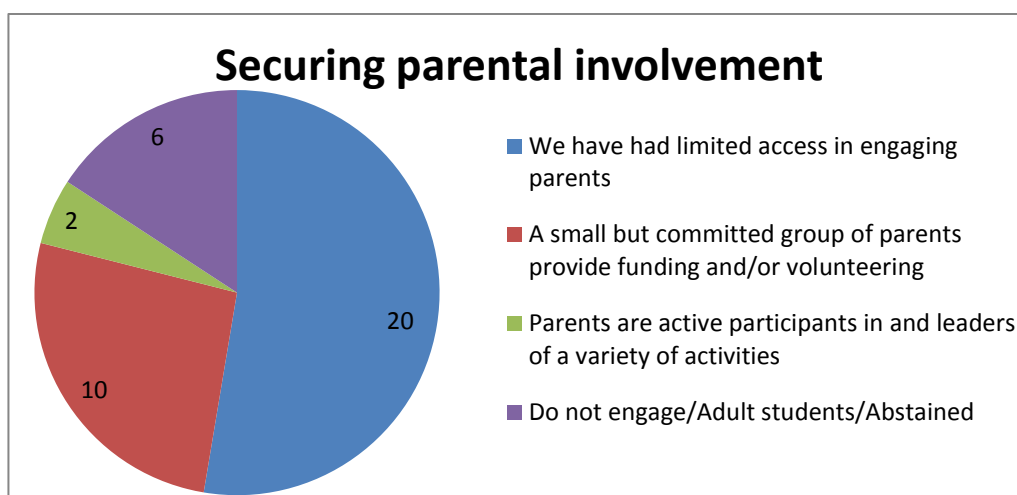


Figure 5-7: Success in securing parental involvement

The results in Figure 5-7 show that the majority, namely twenty respondents (54%), have had limited access in engaging parents. Only two respondents (5%) indicated that their CMDP parents are active programme participants. Ten (27%) replied that a small group of parents are involved, and six respondents either abstained or indicated that they do not engage with parents because they teach mostly adult students.¹⁵⁸

Although the lack of parental involvement and community support could be attributed to an autocratic management style or poor community engagement skills, it is also impacted by parental absence and neglect that result from adverse life circumstances.¹⁵⁹ In contrast, Elite Interviewee 1 maintained that the parents of CMDP learners are often less committed because they have to serve a second

¹⁵⁸ One respondent marked two categories, hence n=38.

¹⁵⁹ Refer to section 1.8.5 for more information.

institution: their first and foremost commitment abides with the school where their child receives his/her mainstream education. Respondent 37, however, provided a divergent viewpoint: she does not nurture parental and community support because she works with the project participants directly and relies on them to influence others:

My leadership style is that of engaging with the members of the community music project directly and empowering them to make life and musical choices. Without being critical of the parents, I believed that under supervision and guidance in the community music project, these members could make an impact in their homes and community, bringing about a change in mindset to the current mindset of 'just being' to one of opportunity and creativity. When I see the mature adults these community kids have developed into, I believe that part of the seed was planted while involved in a community music project (Respondent 37).

5.8.8 CMDP self-sufficiency measures

Table 5-6 contains a summary of the measures employed to foster CMDP self-sufficiency.

Table 5-6: Self-sufficiency measures

Doing nothing	Fundraising	Enhancing own income generation	Collaboration	Strategic management	Human resources
Sustainability is not feasible or possible (4)	Doing own fundraising to secure medium to long-term funding from the private sector, individual donors, and even international funders (9)	Charging performance fees (4)	Collaborate with schools and parents within the community (4)	Adopting a new or for-profit business model (3)	Using and creating more posts for own and peer-teaching students (3)
No intention to become self-sufficient (4)	Securing strong provincial government support (5)	Cross-subsidisation (1)	Collaborate with a sustainability support organisation to secure donor, legal and fund management assistance (2)	Excellence in standard, etiquette and time management (1)	Mentoring teachers as part of leadership succession planning (2)
It is the responsibility of the umbrella organisation (3)	Becoming less reliant on government funding (1)	Created an endowment (1)	Collaborate with universities to secure professional qualifications for peer-teaching students (1)	Maintaining a clean financial record (1)	Nurturing enthusiasm and proper planning (2)
Relying on philanthropy (1)		Selling goods such as compact discs (1)	Nurturing partnerships (1)		
Total:	12	15	7	8	5

Alarming, twelve CMDPs (32%) indicated that they do not drive self-sufficiency because they rely solely on funding, or their umbrella bodies take care of them. Conversely, fifteen respondents (40.5%) have been improving their fundraising efficiency. A few are enhancing own income generation and collaboration efforts, and improving human resources management. Elite Interviewee 3 stressed the importance of own income generation and added that jazz, light music and church performances also nurture credibility and contributes to developing an informal music industry and building audiences for the future.

The following verbatim quotes illuminate the attitudes of CMDP project leaders towards programme self-sufficiency:

In 2001 I put aside some unexpected funding towards an Endowment. This has bailed us out on many occasions when eg lottery has paid late etc. We sell CDs, DVDs, do corporate gigs; but in my opinion unless we received a windfall which we could invest, this sort of organisation cannot become entirely self- sufficient (Respondent 21).

We are hoping to “grow” more teachers that will ultimately become teachers within the project ... or [professional orchestral] players ... Our programs have to come full circle to create job opportunities for students/learners that previously had no or little access (Respondent 10).

Our first year that we implement the programme, we work with the teachers regularly. Slowly we let go and let them run the programme themselves but with them knowing that we are always there for advice, additional training and support. We never leave a programme completely as we take pride in the development of the programme and the development of the teachers and pupils (Respondent 38).

5.9 HUMAN RESOURCES

Because job creation is often cited as a positive spin-off of the CCI and CMDPs, soliciting information about human resources was included in the questionnaire as Section C (see Appendix A, page 423) to determine to what extent CMDPs do create meaningful work. Because taking good care of human capital is considered a key sustainability factor for NPOs, respondents were also questioned about staff training offered and the use of volunteers.

5.9.1 Staff

CMDPs make use of a variety of different full-time and part-time music teachers as well administration, cleaning and ground staff, summarised below in Figure 5-8.

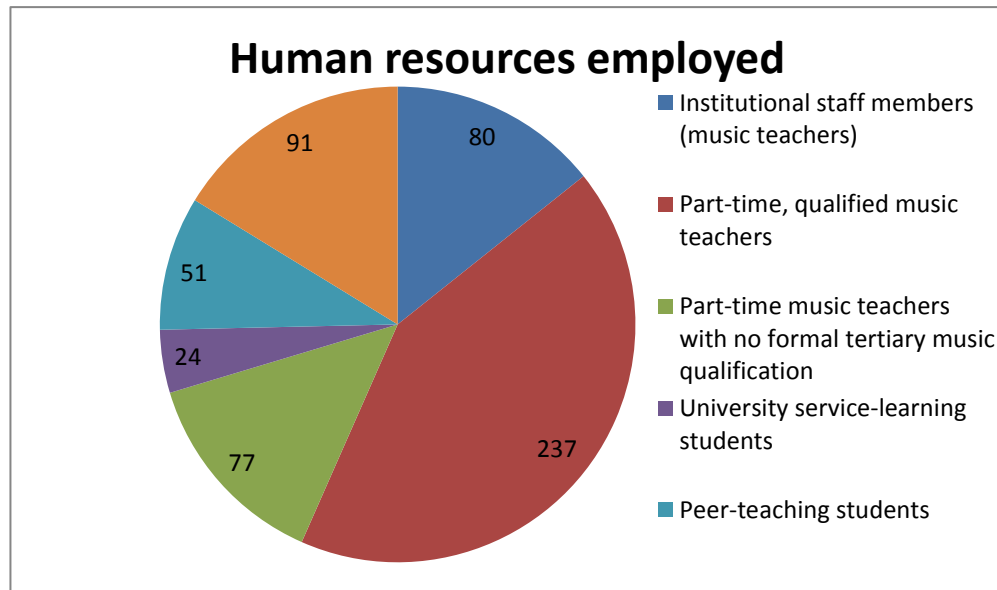


Figure 5-8: Full-time and part-time staff employed

A total of 560 full-time and part-time employees are employed by the 37 CMDPs included in the investigation. The 237 part-time, qualified music teachers constitute the biggest component of staff, namely 42% (n=560). Ironically CMDPs employ 2% more full-time administrative, cleaning and ground staff (16.2%) than full-time music teaching staff (14.2%). And they employ almost just as many part-time music teaching staff with no formal music qualification (77). It is also interesting to note that CMDPs employ more than double the number of peer-teaching students (51) than university service-learning students (24), showing that collaborative relationships with tertiary institutions could improve.

Job insecurity is a root cause of problems associated with *Teacher remuneration, turnover and morale*. Although one could infer that professionally qualified music teachers might not be interested in working for CMDPs in a full-time capacity, the

overuse of part-time staff (symptomatic of the general trend in the CCI)¹⁶⁰ aggravates the job insecurity of professionally qualified music teachers. This was singled out by the elite interviewees and one narrator as a great concern:

- Elite Interviewee 1 said that part-time staff members often find themselves in precarious positions as far as job security is concerned.
- Elite Interviewee 2 detailed the urgent need for full-time workers to build excellence within the music sector. He commented that our professionally trained young musicians are compelled to seek work elsewhere because ad hoc work does not constitute real employment. More full-time employment must be created to complete the circle.¹⁶¹
- Elite Interviewee 3 concurred, adding that an “ad hoc pick-up” orchestra does not work; there needs to be consistency in staffing.
- Interviewee 4 also expressed concern for young musicians that have nowhere to go after their initial training. Although they are encouraged to start their own CMDPs, the availability of venues and facilities in the townships is limited.
- Narrator 2 added that part-time staff members are always tired because they are overcommitted.

On the positive side, part-time work nurtures entrepreneurship. Similarly, the frequent use of unqualified music teachers and peer-teaching students contributes to informal job creation. However, this could discourage and even dissuade young musicians from pursuing formal qualifications if they get entrapped in such a comfort zone.¹⁶²

Young unqualified teachers must continue their professional training and

¹⁶⁰ Refer to section 3.7.7 for more information.

¹⁶¹ Stated in Afrikaans, the verbatim quote was: “*Jy lei hulle op, maar wat dan? Daar moet werk geskep word anders gaan hulle land-uit. Maar waarheen? Ad hoc werk is nie werk nie. lewers moet die sirkel voltooi word.*”

¹⁶² Refer to section 2.10 for more information.

development and receive mentoring with the aim of obtaining professional music teaching qualifications.

Service-learning students are under-used. Elite Interviewee 1 confirmed that CMDPs have poor collaborative relationships with universities, even though service-learning students could contribute significant support for learners who receive group tuition. Elite Interviewee 6 observed that this poor collaborative relationship could be attributed to the fact that tertiary music students do not always consider community engagement as important. Although service-learning is part of their training as it teaches them how to teach and work within the community, they often do not have the personality to do this kind of development work.¹⁶³

5.9.2 Staff training and development

The staff training and professional development opportunities provided by CMDPs enhance human capital and capacity. Ostensibly the majority of CMDPs (59%) do not offer any staff training.

Table 5-7: Professional development opportunities provided for staff members

Training offered	None	Short training courses, workshops	International training opportunities	In-house theory and instrumental tuition and mentoring	External graded music examinations
Frequency	22	8	3	3	2
Training offered	Local training opportunities	Training varies according to the budget and sponsorship	Individualised training opportunities	Attending and performing in master classes and concerts	Other
Frequency	2	2	2	2	3

The results in Table 5-7 indicate that short courses and training workshops, the most popular form of training, are offered by 21.6% of the respondents only. Considering

¹⁶³ Stated in Afrikaans, the verbatim quote was: "Di[sj] deel van ... service learning studente se opleiding om te leer om klas te gee en binne die gemeenskap te werk. Hulle dink wel nie altyd dis belangrik nie. Hulle het ook nie altyd die geaardheid om die tipe werk te doen nie".

that many part-time music teaching staff and peer-teaching students do not have formal music qualifications, the lack of training and professional development opportunities create barriers to the vocational growth of these young teachers.

5.9.3 The use of volunteers

Although volunteerism is generally viewed as a pillar of the non-profit sector, it is regarded as an under-utilised source of NPO support in South Africa.

Table 5-8: The use of volunteers in CMDPs

Type of volunteerism	None	Assistance at concerts, fundraising events and with specific projects	Cooking and catering	Teaching, especially beginners	Designing, marketing and general administration	General oversight and escorting of children to concerts	Cleaning and building maintenance	Other
Frequency	20	6	5	3	3	2	2	3

The use of volunteers in CMDPs, displayed in Table 5-8, indicates that CMDPs are not using volunteers effectively. Twenty respondents (54%) said they do not use volunteers at all. Those that do employ volunteers, use parents or past pupils to assist at concerts or special functions, help with catering and administration, and to teach beginners. The other types of volunteerism include assistance with “securing”¹⁶⁴ instruments during beginners’ lessons, providing transport, and relationship-building with parents and the community.

¹⁶⁴ This would involve assisting young children with assembling, handling and disassembling instruments.

5.10 INFRASTRUCTURE

Section D of the survey (Appendix A, page 423) dealt with the availability, maintenance, safety and security issues of asset-building infrastructure such as facilities, musical instruments, transport and technology.

5.10.1 Own venues

The respondents were asked whether they have their own venues with facilities to provide music teaching and learning. Their responses are summarised in Figure 5-9.

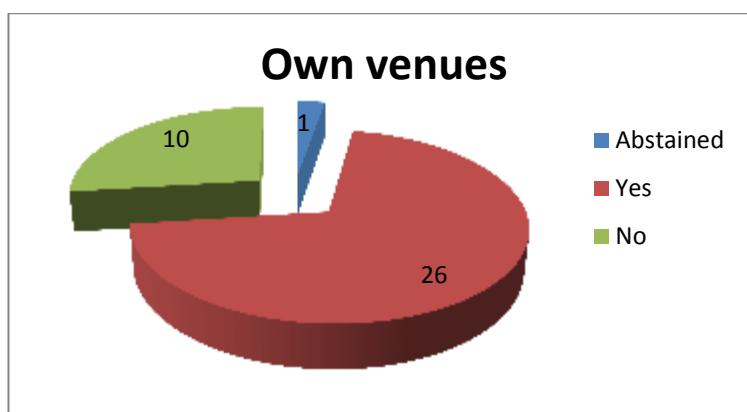


Figure 5-9: Programmes with their own venue with teaching and learning facilities

Although two respondents highlighted a lack of teaching and practising space as an obstacle in section 5.8.1, 26 CMDPs (70%) indicated here that they do have their own music venues. However, because this access could be related to affiliation with umbrella bodies, it necessitated deeper investigation.

Closer analysis showed that of the CMDPs with their own music facilities, fifteen (58%, n=26) are affiliated with umbrella organisations. Figure 5-3 illustrated that altogether 22 CMDPs are umbrella-affiliated, thus 68% (n=22) of CMDPs affiliated with umbrella-bodies do have their own venues, which is lower than the 70% of

CMDPs overall (N=37). In contrast independent CMDPs are doing well as far as owning their venues is concerned. Eleven independent CMDPs (73%, n=15) have their own facilities, from which one could infer that independent CMDP management generally do invest in infrastructure to enhance asset-building.

This was confirmed by Elite Interviewee 3 who emphasised the importance of investing in infrastructure and having access to your own facilities to see new projects through. Otherwise you will find, as Elite Interviewee 7 reported, that a significant part of your budget is allocated to venue rental. Elite Interviewee 4 added that collaboration with primary schools, especially in townships, is essential because venues and facilities in these areas are limited.

Because the respondents could have interpreted the concept of “own venue” differently, it was necessary to investigate the types of venues.

Table 5-9: Types of venues

Type of venue	Own building	University buildings	Facilities at local schools	Performing arts' centres	A venue within a community development centre	An old town hall	Abstained
Frequency	11	4	3	3	1	1	3

The results in Table 5-9 show that only eleven CMDPs (42% if n=26; 30% if N=37) own their (sometimes custom-built) buildings. The other 46% partner with educational institutions and municipalities, or use buildings provided by their umbrella bodies, demonstrating the value of collaborative partnerships highlighted throughout the previous chapters as essential for development and sustainability.¹⁶⁵ These facilities include a variety of class rooms, teaching studios, practice rooms, rehearsal rooms, libraries, storerooms and even common rooms for students.

¹⁶⁵ Refer to sections 2.12 (chapter two), 3.5.5 (chapter three) and 4.14 (chapter four).

5.10.2 Availability of music instruments

If a CMDP does not have its own instruments, learners have to procure their own, at great expense. Figure 5-10 shows that 34 CMDPs (92%) possess their own musical instruments.¹⁶⁶ These instruments include the full spectrum of orchestral instruments as well as recorders, pianos, guitars and keyboards, summarised in Table 5-10.

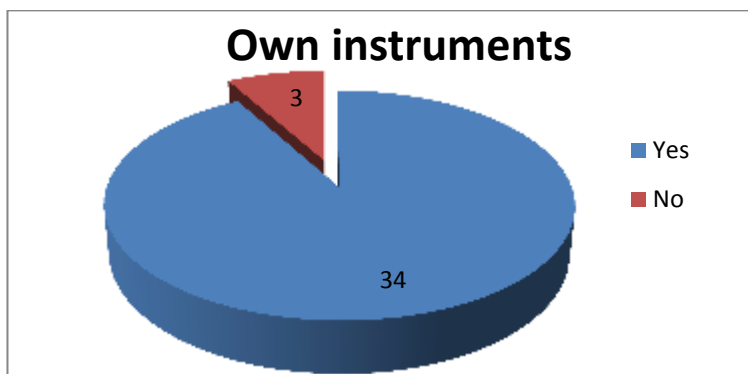


Figure 5-10: Programmes with their own musical instruments for learners' use

Table 5-10: Types of instruments

Types of instruments	All instruments	Piano and keyboard	Strings	Percussion	Woodwinds	Recorders	Brass	Guitars
Frequency	11	9	9	9	8	5	5	3

String instruments appear to be very popular. All string instruments are included (even double basses) and available in every size from the smallest to full-size instruments. Woodwind instruments are underrepresented; flutes seem to be most prevalent. Percussion consists of African and Caribbean instruments such as marimbas, steel pans and djembe drums; although one respondent mentioned that they do have a full professional percussion range. Keyboard instruments include dummy keyboards used for practising at home and pianos made available for practising at schools. Two piano/keyboard CMDPs teach in keyboard laboratories.

¹⁶⁶ Closer analysis of the data showed that the three CMDPs without their own instruments have access to instruments through associate organisations that they partner with.

Ostensibly CMDPs do not invest much in recorders and guitars, instruments considered effective in group music tuition and cheap to procure.

Respondents were asked whether these instruments are made available for use free of charge or rented out for a fee. The results are shown in Figure 5-11.

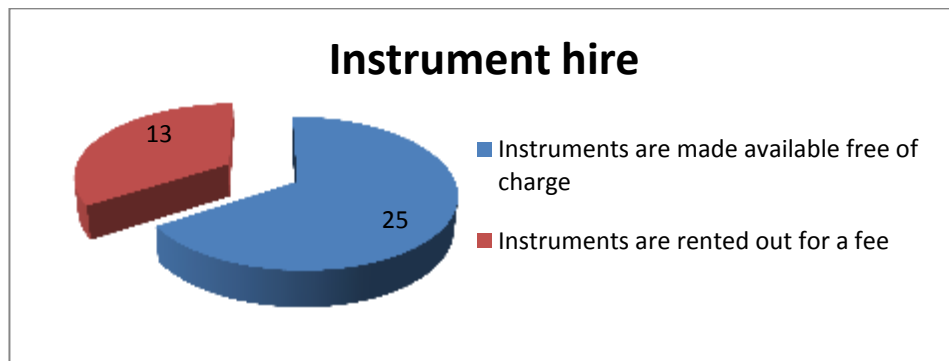


Figure 5-11: Instruments made available free of charge or rented out

Twenty-five CMDPs (68%) confirmed their instruments are available free of charge. Four respondents replied they rent out some instruments and provide some for free, whereas three programmes (specialising in opera and keyboard tuition) indicated that they do not provide instruments to students (hence the discrepancy in the total). Some respondents elaborated that their hiring fee is included in the tuition fee or in the small registration fee charged up-front.

5.10.3 An in-house instrument service and repair technician

As a strategy to enhance CMDP financial sustainability, Brand (2011) recommended training a student or employee to service musical instruments in order to save on maintenance costs. The data in Figure 5-12 revealed that the majority of CMDPs (73%, N=37) have not yet done so. Only eight CMDPs (21.6%) have their own instrument technicians; their profiles are displayed in Table 5-11.

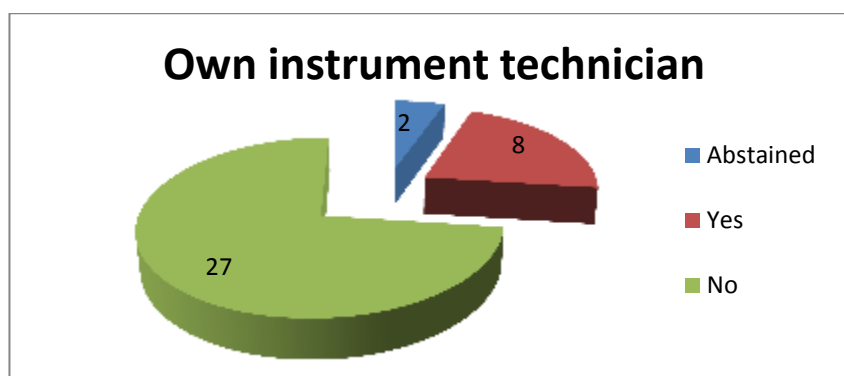


Figure 5-12: Access to an in-house instrument technician

Table 5-11: Profiles of instrument technicians

Profile	In-house staff member trained overseas	Staff member trained at an in-house instrument repair training programme	Self-taught in-house staff member
Frequency	4	3	1

The lack of local training opportunities for instrument technicians is a general sector weakness that escalates costs associated with instrument maintenance. Fifty percent (n=8) of the in-house instrument technicians were trained overseas. Respondent 10 put this need for more locally-trained technicians into perspective when she commented: “We sent her to the UK to train. But she is overwhelmed with work as many donated instruments require attention before they are useable.”

5.10.4 Safety and security measures

Although *Safety and security* was only rated the tenth most severe challenge (out of twelve) there remains a high prevalence of crime in our country. Per example Respondents 10 and 23 reported that they had already experienced burglaries at their premises, although no instruments were taken. The general safety and security measures put in place to safeguard the physical assets, staff and learners of CMDPs are summarised in Table 5-12.

Table 5-12: Safety and security measures

Safety and security measures	Private security guard(s)	Insurance	Secure storeroom for instruments	Security gates	Burglar bars	Alarm system	Contracts ¹⁶⁷	Other ¹⁶⁸	None
Frequency	7	6	5	4	3	3	3	3	4

The use of private security guards and insurance coverage are the most prominent security measures implemented. Elite Interviewee 1 also highlighted fire protection and informing parents individually of the value and security risk associated with musical instruments as critical. Four respondents replied that they have no special safety and security measures in place.

5.10.5 Transport

Elite Interviewee 4 summarised the problematic issues surrounding transport when he stated that it is “a big headache”.¹⁶⁹ In the preceding chapters transport was identified as a major challenge for CMDPs, the CCI and South Africa in general.¹⁷⁰ Respondents were therefore requested to indicate how their learners are transported to music lessons, rehearsals and concerts, summarised in Table 5-13.

Table 5-13: CMDP transport

Type of transport	Parents or relatives	Bus	Taxis	Own CMDP transport	Walking	Teachers and staff
Frequency	17	12	12	8	8	5

Although Elite Interviewee 1 affirmed that transport should remain the parents’ responsibility, it was surprising to see that so many learners are brought to their lessons by parents or relatives. Even staff members assist with transporting children. Buses and taxis are the most widely used public transport mode,¹⁷¹ with CMDPs

¹⁶⁷ Contracts include contracts for instrument hire, staff employment and student bursaries.

¹⁶⁸ This included access control, roadworthy vehicles and drivers with public driving permits, and time-tabling involving not scheduling lessons after 16:00.

¹⁶⁹ In Afrikaans the verbatim quote was: “Vervoer is ‘n groot kopseer”.

¹⁷⁰ Refer to sections 1.8.3 (chapter one), 3.7.9 and 3.10.1 (chapter three).

¹⁷¹ Not one respondent reported that learners travel by train.

often paying bus and taxi fares so learners can attend lessons. Bigger groups are transported by rented busses, and one respondent mentioned that they receive free bus transport through a bus service sponsorship. When students lodge within walking distance of their music school, they walk to their lessons; hence lessons and rehearsals are sometimes held at local schools in communities where CMDPs are housed to eliminate the need for public transport.

Some programmes do have their own small and medium-sized buses used for concerts, and they hire extra vehicles if more are needed. Alternatively transport for concert performances is provided or paid for by the hirer.¹⁷² One respondent specified that every child is delivered to his/her home at night after concerts to ensure his/her safety.

5.10.6 Technology

Technology is a major driver of the CCI.¹⁷³ It has tremendous potential as a tool to enhance teaching efficiency and is thus considered a panacea for South Africa's education crisis. The information and communications technology (ICT) used by CMDPs are indicated in Table 5-14.

Table 5-14: Use of technology

Technology type	Internet	Social media	Bulk SMS	Traditional audio-visual material	Cell phone	Emails
Frequency	9	9	9	9	8	6
Technology type	Website	Microsoft products	Electronic fliers, newsletters, circulars	WhatsApp groups	Other ¹⁷⁴	None
Frequency	6	6	5	5	3	2

¹⁷² Elite Interviewee 7 observed that unfortunately, when transport is provided for free, performers do not always pitch up for the planned rendezvous.

¹⁷³ Refer to sections 3.2.3 for more information.

¹⁷⁴ This category included the use of wireless networking and video streaming.

These results show that mobile telephone applications such as the internet, social media, SMS, emails and WhatsApp are widely used for external communication with students and parents, and teachers use their cell phones for instant access to information via the internet. Facebook and Twitter are the most popular social media platforms. However, ICT seems under-utilised, especially as far as the use of wireless technology is concerned.¹⁷⁵

Elite Interviewee 7 remarked that there is a slow rate of acceptance and use of ICT within the sector because people are “technologically disabled”. CMDPs still rely heavily on traditional audio-visual material such as recordings, posters, manuals, text books, newspapers, school intercoms, letters, faxes and radio to distribute information. Only six respondents (16%) indicated that they use websites and Microsoft products, and respondent 38 specified that they record music onto compact discs and use specific “memory joggers” to aid teaching. No one mentioned using the popular YouTube platform and International Music Score Library Project (IMSLP) for free access to teaching aids and resources.

Elite Interviewee 4 pointed out that cell phones, the internet and Skype¹⁷⁶ will contribute to music education in future, even though it could never replace good teachers. Elite Interviewee 5 noted that technology enables the hosting of virtual conferencing and teaching, combats isolation and provides assistance with fundraising. He added that his organisation is aiming to transmit live concerts and rehearsals between their township-based venue and partner institutions in Europe, because “companies will be more supportive if technology is employed ... it enhances world-wide visibility.” In contrast, Elite Interviewee 3 commented that the

¹⁷⁵ Refer to sections 3.2.3 and 4.19.4 for more information about the mobile revolution.

¹⁷⁶ A sister and a brother each individually caused a stir here in South Africa when they won national music competitions in 2013 and 2014 respectively, whilst receiving tuition through Skype from specialised teachers in Australia.

live streaming of music concerts (as is done overseas)¹⁷⁷ is expensive and not economically feasible in South Africa. Using the example of recent “magical” concerts presented by the violinist extraordinaire Joshua Bell, he postulated that people still prefer the excitement and creative action associated with a live music experience. The “heavy” use of social media, on the other hand, creates an “electronically digitated presence” that attracts young children.

5.11 COLLABORATION, PARTNERSHIPS AND NETWORKING

As per the Eighth Goal of the Millennium Development Goals (MDGs),¹⁷⁸ which considers partnerships an important vehicle of global sustainability and development,¹⁷⁹ Section E of the questionnaire (see Appendix A, page 423) dealt with collaboration, partnerships and networking. Staff collaboration and networking, and the benefits thereof, illuminate the issues of apathy and fragmentation that frequently surfaced in the preceding chapters.¹⁸⁰

5.11.1 Programmes involved in collaborative partnerships

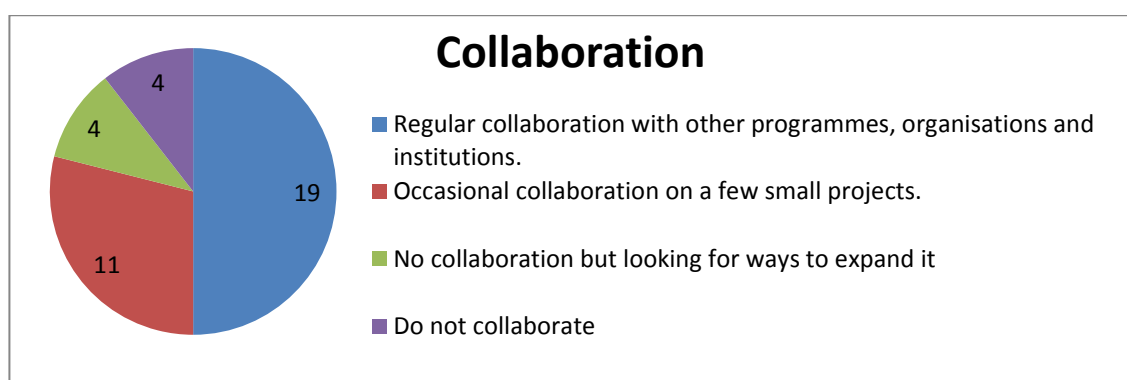


Figure 5-13: Programmes currently involved in collaborative partnerships

¹⁷⁷ Refer to section 4.19.3 for information about simulcasting.

¹⁷⁸ In 2016 the MDGs were replaced by the Sustainable Development Goals (SDGs).

¹⁷⁹ Refer to sections 1.4.5 (chapter one), 3.5.5 (chapter three) and 4.17.1 (chapter four) for more information.

¹⁸⁰ Refer to sections 1.3.2 (chapter one), 3.7.10 and 3.9.1 (chapter three) and 4.3.1 (chapter four).

As seen in Figure 5-13, only nineteen CMDPs (51%) indicated that they collaborated regularly, whereas eleven (30%) said that they collaborated occasionally. Four (11%) do not collaborate at all and another four acknowledged that they are not yet involved in collaboration, but would like to expand their efforts.¹⁸¹ The elite interviewees also acknowledged that collaborative partnering is essential. Elite Interviewee 7 emphasised the importance of smaller CMDPs working together because a competitive attitude is counterproductive. Elite Interviewee 3 remarked that collaboration attracts more supporters, but it requires innovative thinking to do so.

The 30 CMDPs involved in collaborative partnerships were asked whether they have signed agreements in place to formalise these relationships. Their responses are summarised in Figure 5-14.

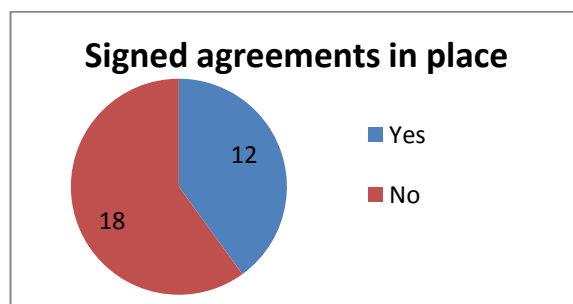


Figure 5-14: Partnerships with signed agreements in place

Only twelve respondents (40%, n=30) confirmed that they have formal contractual agreements in place to ensure the achievement of goals and outcomes, whereas eighteen (60%) said that they do not. These results indicate that there is a high level of trust and informal collaboration present in the CMDP environment. Alternatively, CMDPs managers are ignorant about the necessity of entering into formal agreements to safeguard their interests and ensure partnership delivery.

¹⁸¹ One respondent marked two categories.

5.11.2 The advantages and disadvantages derived from partnerships

5.11.2.1 Advantages

The main advantages in terms of human, financial and programmatic assets derived from CMDP partnerships are tabulated in Table 5-15.

Table 5-15: The advantages derived from partnerships

Human advantages		Programmatic advantages	Financial advantages
Networking for students and teachers (8)		Concerts and performing opportunities (5)	Funding (9)
Greater artistic awareness and creativity (6)		Marketing opportunities (4)	Better infrastructure such as transport and venues (5) Pooled resources (2)
Access to master classes and advanced tuition (6)		Work opportunities and stability (2)	
Recruitment (1)		Music examinations (1)	
Total:	21	12	16

Clearly the human advantages outweigh the financial and programmatic benefits by far. The exposure that staff and students get through interaction with other CMDPs and visiting artists contributes to knowledge exchange and an expanded education that nurtures a broader experience, different perspectives and insight, resulting in a higher consciousness. These advantages were described as follows:

- “[We have a]rtistically more conscious individuals” (Respondent 4);
- “[O]ur students enjoy the interaction – and come away realising how privileged they are” (Respondent 10);
- “The students get exposure to other students with the same backgrounds and interests from other areas” (Respondent 24);
- “[W]e are good for each other” (Respondent 35).

The programmes benefit from wider public awareness and support garnered through concerts and performing opportunities. Financial benefits include enhanced access to funding and pooled resources such as infrastructure and venues. Per example

Respondent 21 observed: “We work with ‘barterers’ mostly so that both organizations can benefit mutually”.

5.11.2.2 Disadvantages

The main organisational costs in terms of human, financial and programmatic expenses associated with CMDP partnerships are summarised below in Table 5-16.

Table 5-16: The costs associated with partnerships

Human costs		Programmatic costs	Financial costs	None
Time (6)		Logistics and operations (4)	Transport and travel (14)	(5)
Stress (1)		Extra rehearsals (1)	Catering and accommodation (5)	
		Teaching material (1)	Finances (5)	
			Tutoring and teaching fees (4)	
			Instruments, repairs and examination entry fees (4)	
Total	7	6	32	5

Besides the financial benefit, it is clear from Table 5-16 that there are also significant financial costs. Again transport and travel costs feature as the heaviest burden: transporting learners safely at night appears to be particularly expensive. The issue of time also reappeared: the planning, scheduling and setting up required by collaborative initiatives are costly in human terms because many CMDPs are under-resourced; hosting visitors generally increases stress levels. The following quotes below provide further insight:

- “There is not really enough money or time to collaborate regularly with organizations and institutions” (Respondent 7);
- “If we host a large number of visitors to our school it costs us in valuable teaching time, and as the school is very small it can be a stressful experience” (Respondent 11);

- “Travelling is always very expensive and often complicated as the children live in various townships” (Respondent 14);
- “[We experience t]ime constraints managing relationships whilst being under-resourced” (Respondent 27).

5.11.3 Staff networking

Networking is beneficial for staff and students because it combats isolation and fragmentation and builds a civic reach which is essential in arts advocacy. Off-site staff networking activities nurture collaboration and encourages working with visiting artists.

As shown in Figure 5-15 below, fifteen CMDPs (41%) indicated that they engage in off-site networking activities by frequently collaborating across classrooms and working with visiting artists. Thirteen CMDPs (35%) said that only a few staff members are engaged in off-site learning and networking activities, whereas six project leaders (16%) admitted that their staff generally preferred working alone.¹⁸²

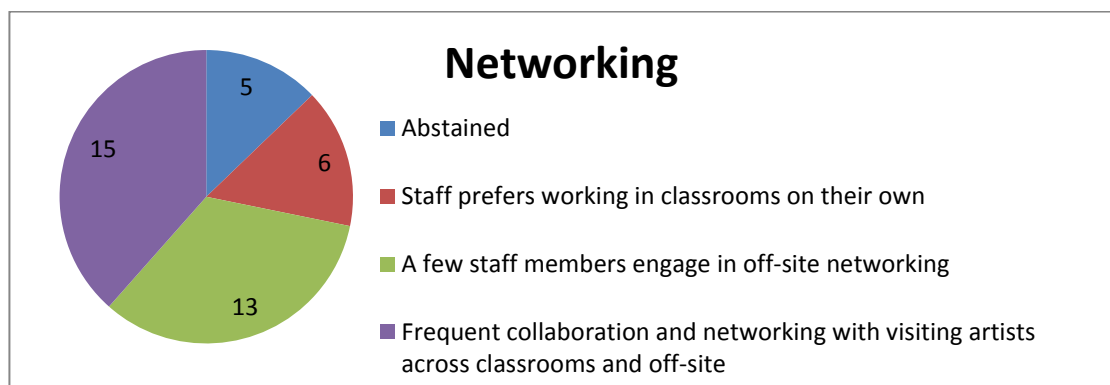


Figure 5-15: Staff networking activity

¹⁸² Two respondents indicated two categories and five abstained.

5.12 FINANCIAL MANAGEMENT

Section F of the questionnaire (Appendix A, pages 424 to 426) comprised an investigation into the financial health and financial management practices of CMDPs through analysis of information about their income, expenses, income sources, reserve funds, bookkeeping and accounting activities.

5.12.1 Financial health

Figure 5-16 summarises the respondents' views regarding the financial health of their CMDPs, chosen from a selection of four modes briefly defined as:

- *In survival mode*: Struggling, but continuing to exist despite financial difficulty;
- *Stable*: Steady and not likely to change or deteriorate;
- *Secure*: Confident, safe and likely to continue for a long time;
- *Very sustainable*: Can continue for a very long time (Wehmeier 2005:1320, 1433, 1491, 1492).

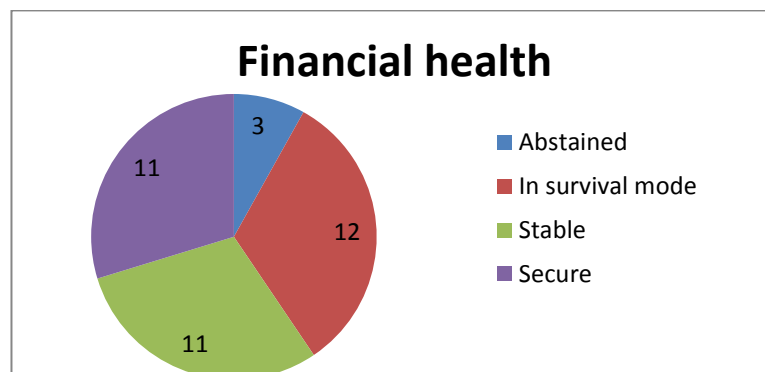


Figure 5-16: The financial health of CMDPs

Twelve respondents (32%) confirmed that their programmes were in survival mode. Although none of the respondents considered their CMDPs very sustainable, eleven indicated that they were in a stable position and another eleven replied that they

were secure, totaling 59%. Given the volatility of the current economic climate, these figures indicate some faith and confidence in the future of our CMDPs. Three respondents (of whom two are affiliated with umbrella bodies) abstained, implying that they were not very familiar with the financial position of their organisations.

Because Brand (2011) had postulated that umbrella-affiliated CMDPs were more financially secure than independent CMDPs, a closer analysis of the results from Figure 5-16 was executed to assess whether this is indeed so. The results are displayed in Table 5-17.

Table 5-17: The financial health of CMDPs in relation to their autonomy

Independent (n=15)				Affiliated with an umbrella organisation (n=22)			
In survival mode	Stable	Secure	Abstained	In survival mode	Stable	Secure	Abstained
5	5	4	1	7	6	7	2
33.3%	33.3%	26.6%	7%	31.8%	27.2%	31.8%	9%

Although there are fewer umbrella-affiliated CMDPs (1.5%) in survival mode and 5.2% more in a financially secure position, there are 6.1% more independent CMDPs in a stable financial mode. These results put the umbrella-affiliated CMDPs in a slightly healthier financial position, concurring with Brand (2011). However, the financial advantages appear to be rather marginal if one considers the organisational support mechanisms at their disposal. The expectation was that they would be in a much more secure and sustainable financial position than independent CMDPs – indicating that institutional investment in the arts is still perceived as a risky endeavour.

Elite Interviewee 1 illuminated the ambiguity associated with the fiduciary role of umbrella bodies. He confirmed that they pay salaries and general overheads, but stated that additional sponsorship is required for musical instruments and overall

programme survival. Elite Interviewee 6 added that umbrella-affiliated programmes lack manpower. They would benefit from having more staff who could assist with the flow of students from primary through to high school and then on to university.

5.12.2 Financial planning

The project leaders were questioned about their approaches to financial planning to ascertain to what extent they were able to plan ahead to ensure financial sustainability. Their responses are summarised in Figure 5-17.

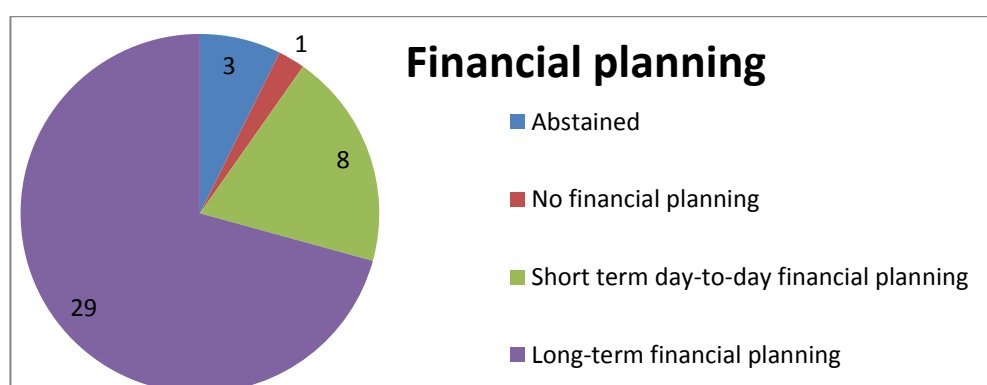


Figure 5-17: Long-term versus short-term financial planning

The data showed that 29 programme leaders (78%) focused on long-term financial planning, even though nine had indicated that their programmes were in survival mode.¹⁸³ Eight respondents (22%) replied that they focused on short term day-to-day financial planning, indicating financial duress¹⁸⁴ that complicates their long-term planning. Four respondents (of programmes in survival mode) indicated that they focused on both short and long-term planning. One respondent, who singlehandedly runs a small, financially secure programme, does not do any financial planning at all.

¹⁸³ The remaining twenty responses were split equally between ten financially secure and ten financially stable CMDPs.

¹⁸⁴ Seven of them admitted to being in survival mode; only one CMDP considered itself financially stable.

5.12.3 Income mix and growth

Figure 5-18 illustrates the income mix of CMDPs. It shows that CMDPs have not yet adopted social and cultural entrepreneurship models. Only two respondents (5%) confirmed that they had solid diversified income streams that included earned income and the leveraging of assets, and six (16%) remarked that they complemented funding with diversified income streams. In contrast, eighteen respondents (49%) admitted that their programmes were totally dependent on funding and another eight (22%) acknowledged that earned income was increasing even though funding still dominated.

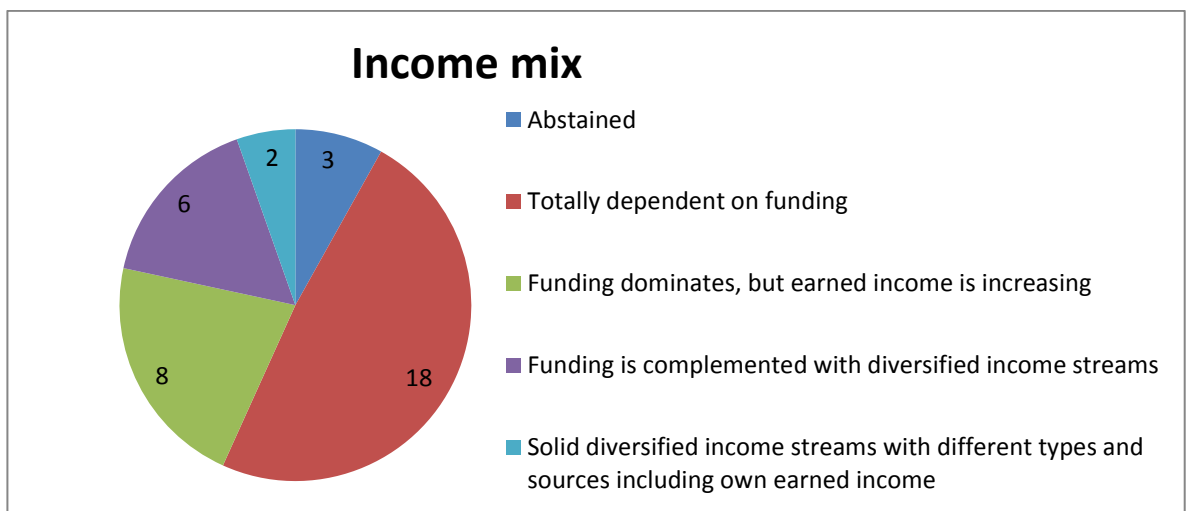


Figure 5-18: The income mix of CMDPs

Reflecting on the growth in annual income and income sources over the two-year period from 2013 to 2014, seventeen project leaders (46%) responded that the income of their CMDPs had grown; nine (24%) replied that it had stayed the same, and seven (19%) indicated that their income had shrunk. These results are summarised below in Figure 5-19.

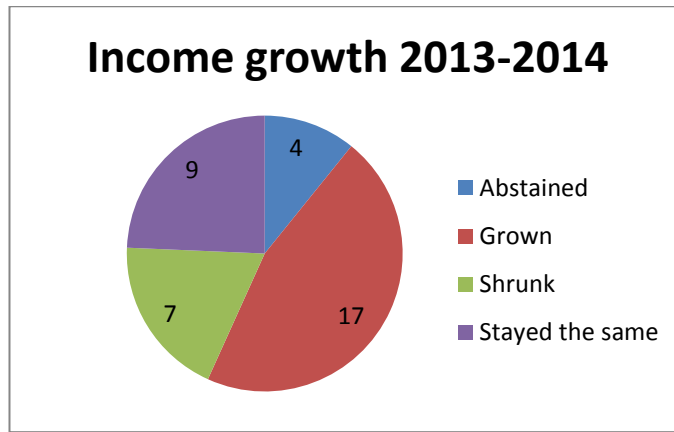


Figure 5-19: Income growth from 2013 to 2014

Figure 5-20 illustrates the growth in income sources. Again seventeen (46%) responded positively that their income sources had diversified, whereas twelve (32%) indicated that theirs had stayed the same. Only five (14%) replied that their sources of income had narrowed during this period.

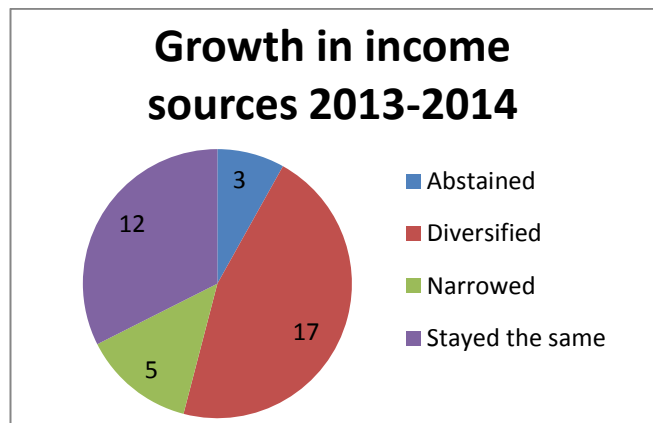


Figure 5-20: Growth in income sources from 2013 to 2014

The results in Figures 5-19 and 5-20 show a positive correlation between an increase in income and income diversification, as evidenced by fourteen (82%, n=17) respondents who replied that their income had grown whilst it simultaneously diversified. Only three responded that their income had grown without diversifying, and another three indicated that their overall income had stayed the same despite diversification.

Closer analysis of the funding-reliant CMDPs in Figure 5-18 revealed that only eight (44%, n=18) had efficient fundraisers, because they experienced income growth and income diversification from 2013 to 2014. The other ten (56%, n=18) had not experienced income growth and diversification. They need to adopt a more sophisticated social entrepreneurship model that includes own earned income, and they must improve fundraising efficiency to enhance income diversification.

5.12.4 Funding

5.12.4.1 Funding sources

According to Tuckman and Chang (1991),¹⁸⁵ access to multiple funding sources enhances an organisation's chances of survival because it lowers the risk of dependency on a single donor. Thus respondents were asked to indicate the percentage of income derived from key income sources specified in a predetermined list. Although not all the respondents replied in detail as requested¹⁸⁶ (indicating a lack of insight into the financial management processes of their CMDPs) the available information was sufficient to create a general overview of current CMDP funding trends. The data was collated and each income source totaled and calculated as a percentage of the overall reported income to determine to what extent CMDPs are funded by entities such as government, business and private philanthropists. The results in Figure 5-21 revealed that a surprisingly and substantial 20.1% of financial support comes from local governments such as provincial Departments of Education and Arts and Culture.¹⁸⁷

¹⁸⁵ The four Tuckman-Chang financial vulnerability criteria were introduced in section 4.4.

¹⁸⁶ Only 29 of the 37 respondents indicated the breakdown of their funding sources percentage-wise.

¹⁸⁷ This finding could be attributed to the many umbrella-affiliated CMDPs that participated in this research. A different sample might have produced a different result.

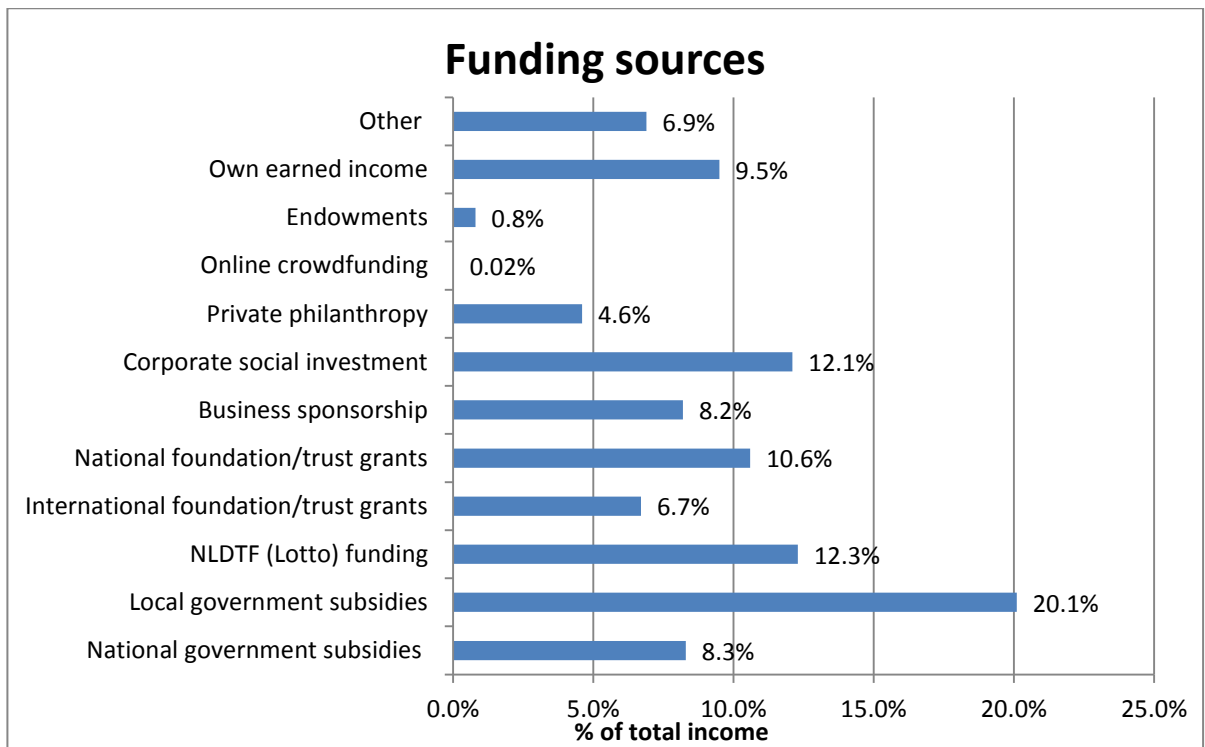


Figure 5-21: Funding sources

NLDTF (Lotto) funding and corporate social investment (CSI) achieved a close second and third position, respectively providing 12.3% and 12.1% of key funding support, followed by national foundations and trust grants which provide 10.6% of overall CMDP funding. Own earned income constitutes 9.5%, whereas funding through national government subsidies (8.3%) and business sponsorship (8.2%) is rather slim. International foundations and trusts and private philanthropists provide even less, namely 6.7% and 4.6% respectively. The sources of income with significant growth potential are endowments and online crowdfunding. Funding secured through the latter (at 0.02%) is still so negligible that the bar line hardly showed up on the graph.

Income from other sources was estimated at 6.9%. Closer analysis showed that this constituted mostly own earned income such as interest, venue hire and registration and performance fees, as well as provincial government subsidies in the form of

teachers' salaries. The results for these two categories should therefore be higher than what is shown in Figure 5-21. One respondent added that she receives sponsorship provided by an embassy, raising the support received from international entities.

Because South Africa is now considered a middle-income country, international funding has been reduced significantly. MOPSA 12 reported that three MOPSA projects closed down because they all had the same international funding source that withdrew its support to South African universities. Elite Interviewee 3 observed that despite the success they have had, securing funding from overseas' donors remains hard. Elite Interviewee 5 concurred and added that international support would improve if there were proper government policies in place.

Adding up the funding received from national and provincial governments and the NLDTF, the contribution by the state amounts to an astounding 40.7%.¹⁸⁸ This figure is higher than what was anticipated at the outset because there is a general perception that the South African government does not really support music education. However, it must be borne in mind that the biggest contribution comes from local governments, not national government departments such as the DAC. The 8.3% CMDPs receive from the national government is notably less than the 20% Cohen (2015:47-48) reported as the national average for NPOs (see section 4.6.1), confirming that at national level Arts and Culture remains an underfunded Cinderella.

When the funding sources of South African CMDPs are compared with those of the American EI Sistema inspired programmes, a different picture emerges. According to

¹⁸⁸ This result could be attributed to the limited data received: if all 37 respondents (instead of 29) had provided detailed information as requested, the findings might have been slightly different.

Hamm (2014) the largest share of funding for the American programmes comes from foundations (48%), followed by individual donors (28%), with corporate support (8%) and public funding (7.6%) far behind. These results are almost an inversion of the South African results shown in Figure 5-21. South African CMDPs should therefore increase advocacy efforts to obtain more support from private individual and national trusts/foundations.

If one views government funding support from the perspective of the elite interviewees, the picture changes again. Recalling their comments quoted in paragraph 5.8.2, they considered the lack of government support and commitment, general politicking and NLDTF inefficiency as serious sustainability obstacles that need to be addressed urgently. Problems associated with late payouts and repeated requests to submit the same documentation point to gross inefficiency associated with an inflated bureaucracy. Hence, for the current 40.7% funding support provided by the state to be more widely acknowledged, there needs to be an obvious political will, visible commitment and a concerted effort to support music education on a larger scale, especially in primary schools where it is most needed.

5.12.4.2 The frequency of funding

Figure 5-22 indicates whether CMDP funding denotes once off donations or recurring funding. The results revealed that most of the key funding sources do constitute recurring funding, with local government subsidies again surfacing as the most reliable source,¹⁸⁹ joined by own earned income with nine responses each. The other funding sources were split fairly evenly between recurring and once-off funding. NLDTF funding and crowdfunding, however, are the only funding sources with a propensity for once-off funding.

¹⁸⁹ This could be attributed to the many umbrella-affiliated CMDPs that participated in the survey.

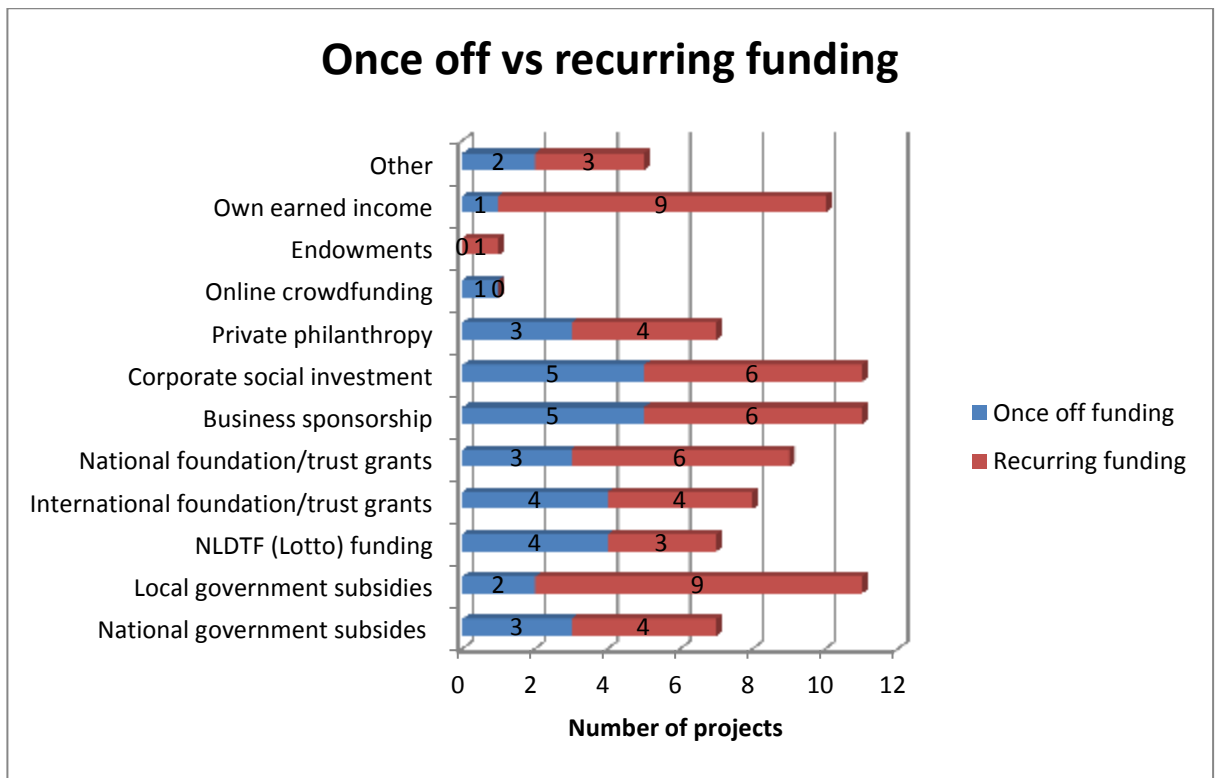


Figure 5-22: The frequency of funding

In general these questions were also answered rather poorly, pointing towards a basic lack of knowledge about funding and financial management. Some respondents did not seem to understand the different categories of funding and listed savings, registration fees and ticket sales as other income instead of as own earned income. A few umbrella-affiliated respondents neglected to indicate the recurring funding they receive for staff salaries – literally taking it for granted – exposing their lack of insight into the complexities of managing overheads as part of efficient financial management.

Figure 5-22 also revealed that South African CMDPs are not yet harvesting the benefits of crowdfunding, as is done elsewhere in the world.¹⁹⁰ This was confirmed by Elite Interviewee 7, who has made extensive use of crowdfunding and experienced many growing pains and stumbling blocks along the way. Although she

¹⁹⁰ The benefits of crowdfunding were discussed extensively in section 4.16.4.8.

has achieved some success in getting individuals to sponsor specific artists or concerts, she reiterated that online crowdfunding was difficult, because South Africans did not understand the concept correctly. They do not trust the system, even though it works and reduces administration significantly. They do not read their emails because they are technologically “disabled”. She affirmed that Facebook is a powerful tool if you have your own page and remain active by using everyone’s private social network.¹⁹¹

5.12.4.3 Sources of own earned income

Chapter four highlighted the general consensus in the literature that an increase in own earned income enhances financial sustainability. Hence respondents were asked to indicate their specific sources of own earned income on a predetermined list. These results are shown below in Figure 5-23.

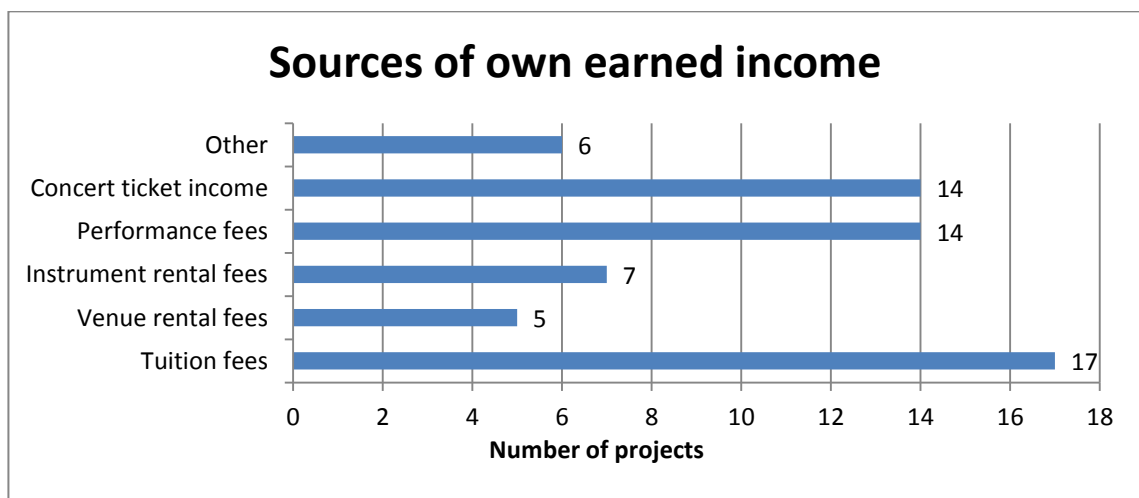


Figure 5-23: Sources of own earned income

These tick-box options provided greater clarity as to what constitutes own earned income, because altogether seventeen respondents who had not previously replied

¹⁹¹ Stated in Afrikaans, the verbatim quote was: “Crowdfunding is moeilik. In Suid-Afrika verstaan mense nog nie die konsep nie, en hulle vertrou nie die sisteem nie. (Ons) het baie groeipyne en struikelblokke oorleef. Crowdfunding werk ... want dit vat baie administrasie weg. Maar mense lees nie eposse nie. Mense is tegnologies gestremd. Facebook is kragtig. Ons het ons eie blad, en gebruik dan elkeen se privaat sosiale netwerk om te help. Jy moet net heeltyd aktief bly.”

that they generate own earned income, now indicated that they do. Tuition fees, with seventeen positive responses (46%), featured strongly as the biggest source.¹⁹² This is most probably associated with the cross-subsidisation that occurs in umbrella-affiliated CMDPs, where more affluent paying students cross-subsidise non-paying students from marginalised communities. Predictably concert ticket income and performance fees, recommended by Brand (2011) as potentially good sources of own earned income, also scored well with fourteen positive responses (38%) each. Instrument and venue rental fees featured less prominently, and surprisingly nobody indicated that they receive advertising income from billboards, newsletters and concert programmes – potentially lucrative sources of own earned income.

Other sources included the hosting of special fundraising events such as a “Musathon” (a sponsored music marathon). Again some income sources were allocated incorrectly: admission and registration fees are essentially tuition fees, and busking should be included in performance fees. These two categories should therefore feature stronger in Figure 5-23.

From the elite interviewees’ points of view, managing own earned income is an essential part of a diversification strategy applied to enhance sustainability. Elite Interviewee 4 stressed that own earned income requires strict financial control because it contributes to salaries and the balancing of the books. Elite Interviewee 7 maintained that own earned income generated through concert ticket sales should cover basic overheads, whereas advertising income and in-kind sponsorship such as accommodation, volunteerism, and catering should cover the extras.

¹⁹² In section 4.6.4 I cautioned against the setting of high user fees that present barriers to low-income participants. This was essentially the driving force behind the violent 2015/2016 #Fees Must Fall campaign mentioned in chapter one. Similarly Table 5-3 showed that unpaid fees and bad debt were singled out by four respondents as obstacles to the continuity of CMDPs.

5.12.4.4 In-kind donations and pro bono services

Making use of in-kind donations and pro bono services are considered good measures to enhance financial sustainability during times of financial austerity. However, as Elite Interviewee 7 observed, conflict of interest and different personalities amongst volunteers and pro bono workers can become problematic; hence maintaining good working relationships and diplomacy are essential. Nonetheless, it was somewhat disappointing when Figure 5-24 revealed that only a few programmes are making use of in-kind and pro bono support mechanisms.

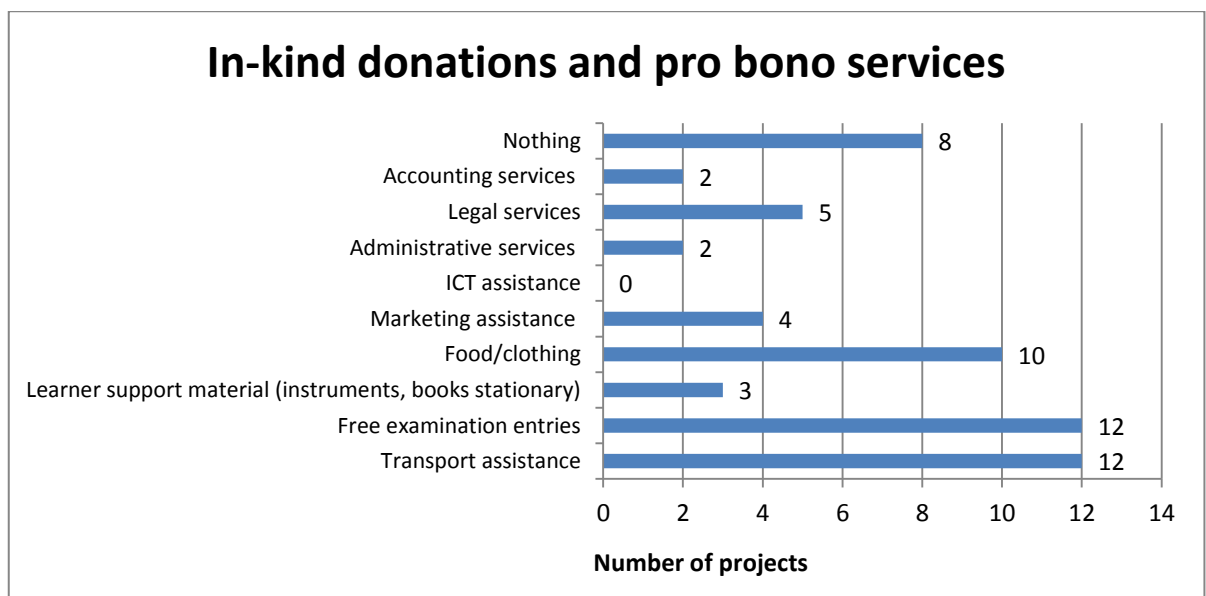


Figure 5-24: The frequency of use of in-kind donations and pro bono services

Eight CMDPs (22%) replied that they receive no pro bono support whatsoever. ICT support – so essential in a sector driven by technology – is completely non-existent, whereas pro bono administrative and accounting services are received by a few only. The provision of learner support material (musical instruments, books and stationary), marketing assistance and legal services feature slightly stronger. Food and clothing donations are used to nurture the physical wellbeing of CMDP learners: 27% of CMDPs make use of such in-kind donations. Twelve respondents (32%) respectively confirmed that they receive pro bono music examination entries and

transport assistance. Elite Interviewee 1 elaborated that British examining bodies such as Trinity Guildhall and the Associated Board of the Royal Schools of Music donate learner support material, especially for percussion.

5.12.5 Growth in net worth

Project leaders were requested to reflect on the growth in net worth (described as total assets minus total liabilities) their programmes had shown over the past two years. The results are displayed in Figure 5-25.

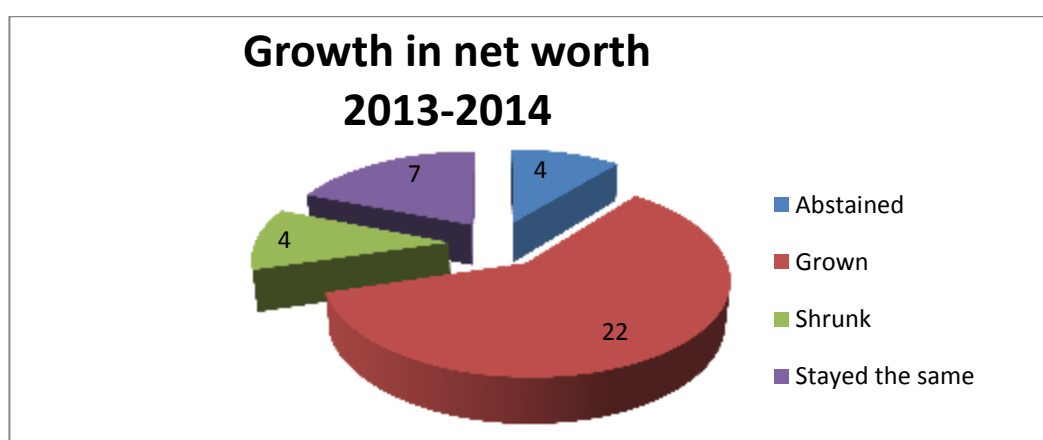


Figure 5-25: Growth in CMDP net worth from 2013 to 2014

Twenty-two respondents (59%) replied that the net worth of their organisations had grown, whereas seven (19%) responded that theirs had stayed the same. Only four respondents¹⁹³ (11%) indicated that their net worth has shrunk, implying that they had either reduced their programme offerings or they were dipping into their reserves to survive.

What has to be factored into these findings is the impact of inflation, sitting at about 5.2%¹⁹⁴ per year. Although the overall financial position of 59% of the CMDPs has improved in recent years, these financial gains will be eroded if their net worth growth

¹⁹³ Two of them are from independent CMDPs, and two affiliated with umbrella organisations.

¹⁹⁴ This was the December 2015 year-on-year inflation rate.

rate is less than inflation. Similarly, the net worth of CMDPs that have stagnated financially has in fact shrunk by more than 5% per annum. Compounded by the recent plummeting of the Rand (which lost more than 25% of its value against the American Dollar during 2015) and a threatening recession, CMDPs are facing difficult times ahead with significant increases in expenses related to imported musical instruments, accessories and sheet music which will erode their financial gains further.

5.12.6 Programme expenses

5.12.6.1 Growth in expenses

Respondents were requested to indicate whether their programme expenses have grown and diversified over the past two years. These results are summarised in Figure 5-26.

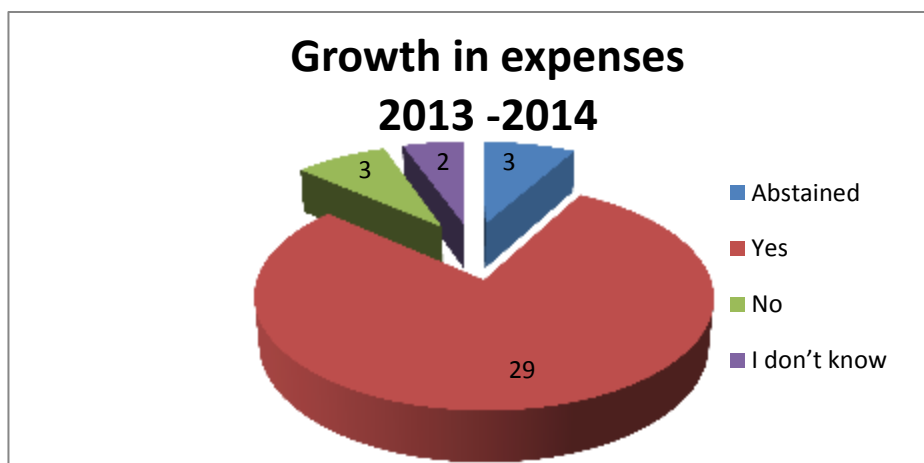


Figure 5-26: Growth in programme expenses during 2013 and 2014

The majority of the respondents (78%) confirmed that their expenses had grown and diversified. Three respondents (8%) replied that their expenses had stayed the same, implying that they had scaled down their activities slightly considering the impact of inflation and the exchange rate. The two respondents, who replied that they did not

know whether their programme expenses had grown, are linked with umbrella-affiliated CMDPs. Again it can be inferred that project leaders of umbrella-affiliated CMDPs are not always *au fait* with the financial management and health of their programmes.

5.12.6.2 The highest monthly expenses

In Table 5-2 *Teacher remuneration, turnover and moral* featured as the fourth most severe challenge threatening sustainability. An analysis of the highest monthly expenses of CMDPs confirmed that teacher remuneration was indeed a huge financial burden. Twenty-nine respondents (73%) replied that their teachers' salaries (full-time and part-time) were the highest monthly expenses by far, constituting up to 70% of the annual budget. Synonyms for salaries such as remuneration, wages and stipends were used to calculate these results, tabulated below in Table 5-18.

Table 5-18: The highest monthly CMDP expenses

Expenses	Staff salaries	Transport	Project administration	Music related expenses	Abstained
Frequency	27	5	4	3	2

Elite Interviewee 5 linked financial sustainability directly with teachers' salaries, describing it as having a "household budget big enough to pay immediate workers". Full-time staff is needed to build excellence, but, as Elite Interviewee 2 maintained, financial pressure to pay monthly staff salaries has been mounting since 1997. Narrator 1 confirmed that long-term planning becomes problematic without committed funding to pay teachers. She reported that prior to the closure of her project, a lack of sponsorship necessitated a reduction in the number of teachers, which inevitably increased the workload on the remaining staff.

Elite Interviewee 6, conversely, did not consider staff salaries an issue, because their CMDP was linked with an umbrella institution and community engagement was entrenched in the task agreements of the staff members. He did maintain though that transport costs were by far their biggest and most regular expense; it had contributed to the downscaling of their MOPSA project.

Transport (including transport to social community events and eisteddfodau) indeed surfaced as the second highest monthly expense of CMDPs. Other expenses are split between project administration and music related costs. Project administration expenses include venue rental, bank charges, auditors' fees, photocopies; refilling of cartridges and photocopy machine services, whereas music tuition-related expenditure comprise mostly music books, piano tuners, and instrument repairs.

5.12.6.3 Administrative expenses

Although project administration costs emerged in Table 5-18 as a high monthly burden, Tuckman and Chang (1991) considered high administrative costs relative to operating costs a financial safety buffer.¹⁹⁵ The reason being, administrative expenses can be cut in times of need without making cutbacks in programme delivery. Conversely, Tuckman and Chang (1991) postulated that low administrative costs were an indicator of financial vulnerability: an organisation could be considered at-risk if this ratio dropped below 20%. On the other hand, funders are reluctant to fund administrative costs because they want to see their donations go towards direct service provision; hence there is a tendency amongst South African NPOs to underreport their administrative expenses. The questionnaire respondents were therefore requested to indicate what percentage of overall expenses constituted the

¹⁹⁵ Refer to section 4.4 for more information.

administrative expenses of their programmes to see where they fitted in between these two poles.

The results in Figure 5-27 show that CMDPs are attempting to keep administrative expenses low in order to secure funding. Fourteen respondents (38%) estimated that their administrative expenses were below 10%. When the Tuckman-Chang financial vulnerability criterion is applied, nineteen CMDPs (51%) would be considered at-risk because their ratio of administrative costs relative to operating costs is reportedly below 20%. In contrast, the five respondents (14%) who confirmed that their administrative costs were higher than 40% (generally considered the threshold for funding applications) could struggle to secure funding.¹⁹⁶

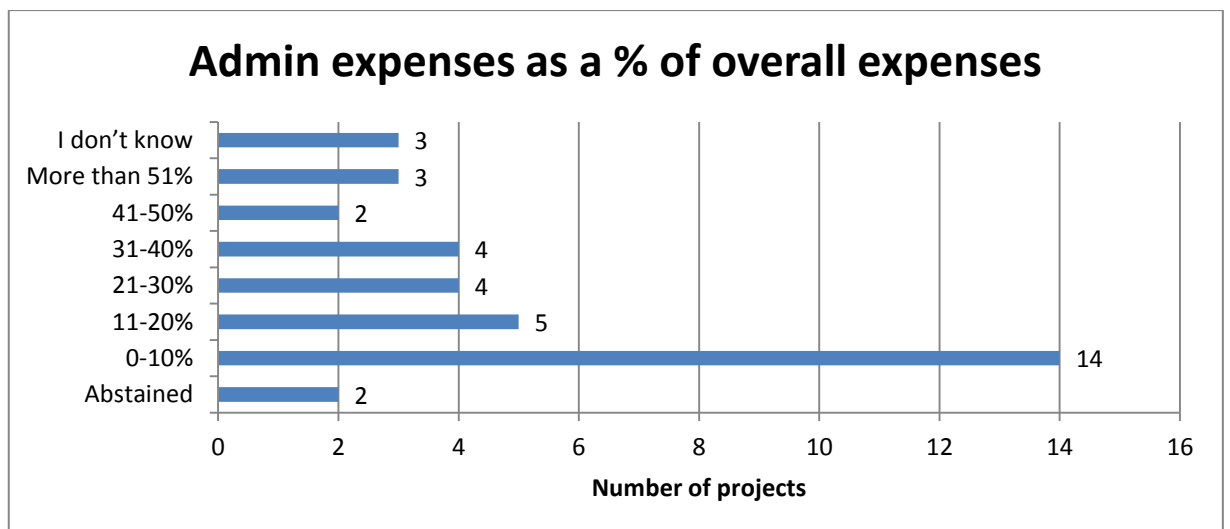


Figure 5-27: Administrative expenses relative to operating costs

5.12.7 Accounting practices

The questionnaire included several questions about accounting practices employed at CMDPs, collated into one stacked bar chart, Figure 5-28, for ease of reference.

¹⁹⁶ Refer to Figure 5-35 and Table 5-19 respectively for a closer analysis of the association between the ratio of administrative expenses to overall expenses, and the recovery of these administrative expenses from funders.

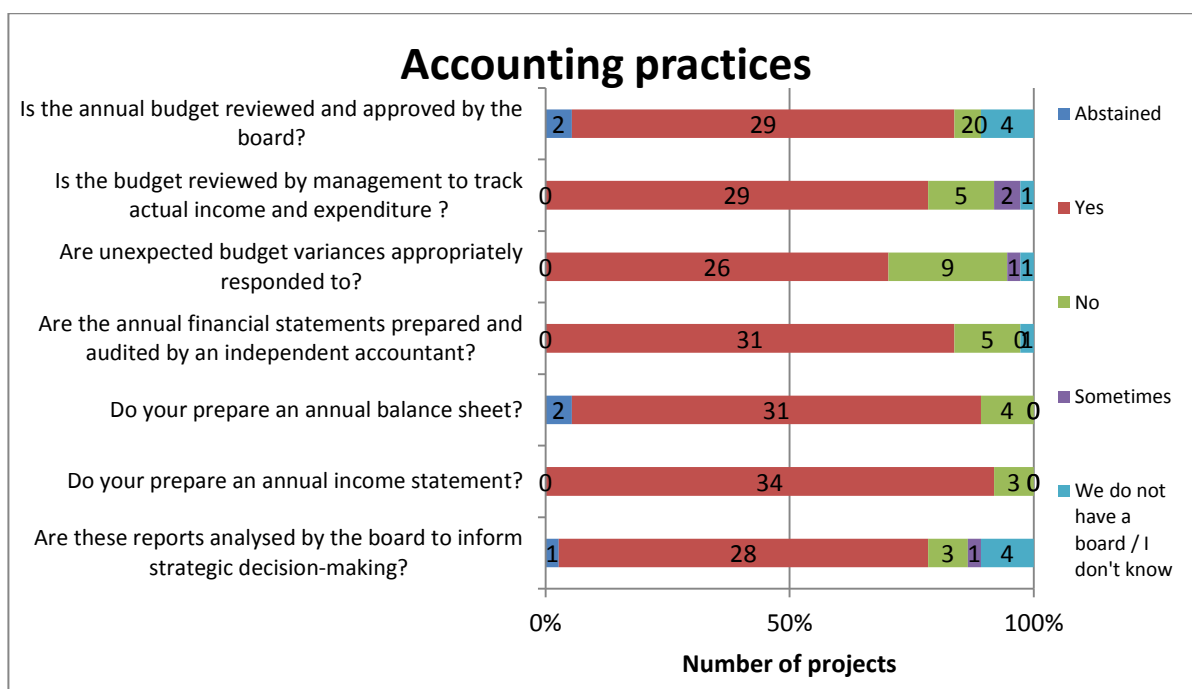


Figure 5-28: The accounting practices of CMDPs

The findings in Figure 5-28 show that the majority of CMDPs apply good accounting practices:

- Twenty-nine respondents (78%) confirmed that their annual budget was reviewed and approved by the board, and reviewed by management to track income and expenditure;
- In contrast, only 26 respondents (70%) indicated that management actively responded to unexpected budget variances. Altogether 30% of the respondents replied that budget variances are not attended to appropriately, or they did not know whether it was done;
- Thirty-one respondents (84%) confirmed that the annual financial statements were audited by independent accountants;¹⁹⁷
- With the exception of a few umbrella-affiliated CMDPs, almost the same 31 respondents (84%) confirmed that they prepare an annual balance sheet;

¹⁹⁷ They are most likely registered as non-profit entities that must submit annual financial statements to the government as part of their reporting cycle.

- Altogether 34 respondents (92%) indicated that they prepared an annual income statement;
- Twenty-eight respondents (76%) said that financial performance reports were used by the board to inform strategic decision-making.

Generally the respondents who abstained/indicated that they did not have a board or did not know whether the financial reports were scrutinised, were mostly affiliated with umbrella organisations. Another two were individual operators with small music academies who managed their own finances single-handedly. One can thus deduce that the financial management and reporting mechanisms of an umbrella-affiliated CMDP is sometimes absorbed by a board at a higher hierarchical level within the umbrella institution.

5.12.8 Cash flow

Respondents had the option of choosing between four predetermined categories to describe the cash flow of their CMDPs. These results are displayed below as Figure 5-29.

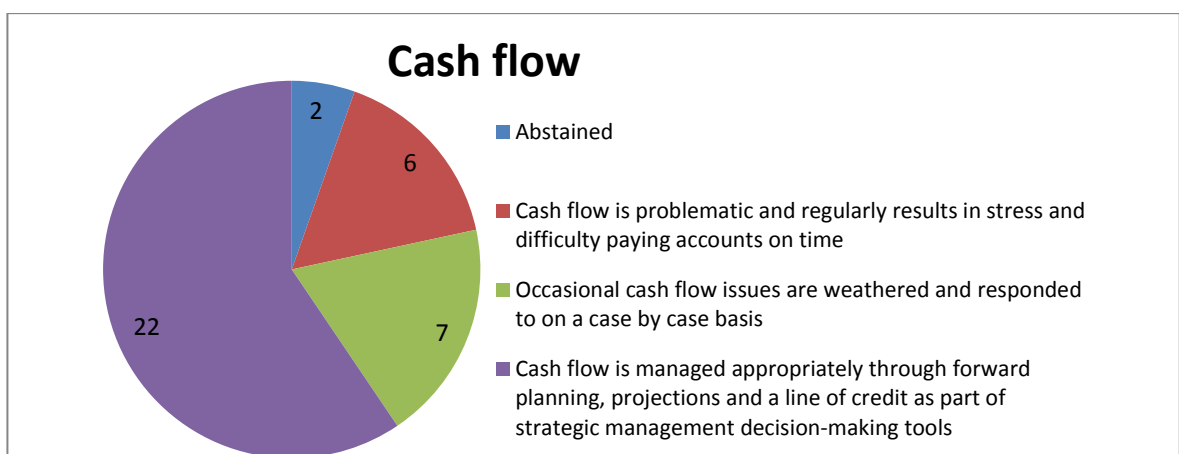


Figure 5-29: Cash flow

Only 22 respondents (59%) replied that cash flow was managed appropriately as part of strategic management decision-making tools. Seven respondents (19%) said that they weathered occasional cash flow issues and responded to each on a case by case basis, and six respondents (16%) admitted that cash flow problems resulted in difficulty paying accounts on time.

5.12.9 Bookkeeping practices

The day-to-day bookkeeping practices collated into in Figure 5-30 showed a similar trend to Figure 5-28. Respondents who abstained or answered in the negative generally represent CMDPs affiliated with bigger educational institutions or small one-man operations.

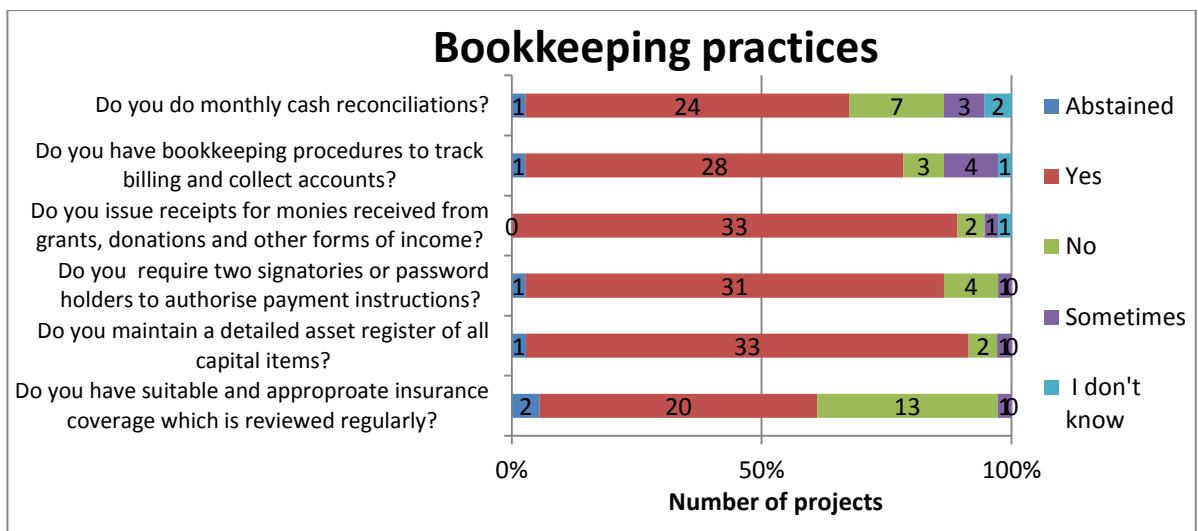


Figure 5-30: Bookkeeping practices

Notable findings from Figure 5-30 are the following:

- Resonating with the cash flow information in Figure 5-29, only 24 respondents (65%) said that they did monthly cash reconciliations;
- With 28 (76%) positive responses, four more respondents confirmed that they did have bookkeeping procedures in place to track periodic billing;

- Thirty-three respondents (89%) indicated that they issued receipts for money received;
- Although 31 respondents (84%) replied that they required two signatories to authorise payment instructions, five said that they did not or only required so occasionally, indicating that altogether 14% of CMDPs are potentially creating opportunities for fraud;
- Thirty-three respondents (89%) confirmed that they maintained detailed asset registers;
- Only twenty respondents (54%) replied that they had suitable insurance coverage, whereas thirteen (35%) responded that they did not.

Cross-reference with Figure 5-10 indicated that the respondents, who abstained from indicating whether they had insurance, represented CMDPs that did not own musical instruments. Similarly cross-tabulation with Table 5-12 (where it was reported that six CMDPs relied on insurance as a general safety and security measure to safeguard asset) revealed that five of them had suitable coverage, whereas the sixth did not. Again this CMDP does not have any instruments; hence one could infer that insurance coverage is linked to ownership of musical instruments. Of concern though is that 35% of CMDPs owning valuable musical instruments are at risk because they do not have sufficient insurance to replace these assets should they be stolen.¹⁹⁸

5.12.10 Reserves

Access to adequate reserves ensures a continuation of service delivery during times of need. As theorised by Tuckman and Chang (1991), investment returns could be used to assist with asset building and programme innovation to ensure relevance.

¹⁹⁸ These CMDPs are most likely trying to avoid the financial burden that results from high monthly insurance premiums, especially if CMDPs are located in high-risk areas.

Equity can also be used as collateral to secure a loan, or assets can be sold to reduce a financial shock.

5.12.10.1 Access

As shown in Figure 5-31, only nineteen respondents (51%) confirmed that their CMDPs did have accessible reserve funds to deal with an immediate funding crisis. This is far below the 72% average for South African non-profits reported by Cohen (2015:48-49). Conversely, only 23% of South African NPOs do not have reserves (Cohen 2015:49), whereas 41% of CMDPs do not have reserve funds.

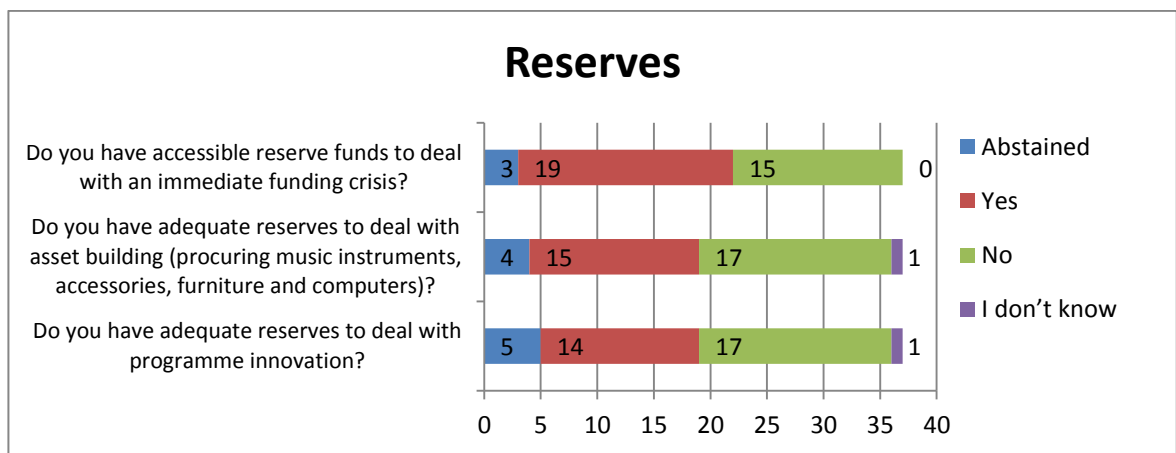


Figure 5-31: Access to reserve funds

When asked if they have reserves to deal with asset building, the number of CMDPs with adequate reserves dropped to fifteen (41%), whereas the number without increased to seventeen (46%). When questioned whether their reserves were adequate to deal with programme innovation, the affirmative responses dropped even further: only 38% of CMDPs have sufficient reserves to innovate their programmes. It appears that the remaining 62% lack insight into the relevance and importance of programme innovation.

5.12.10.2 Adequacy

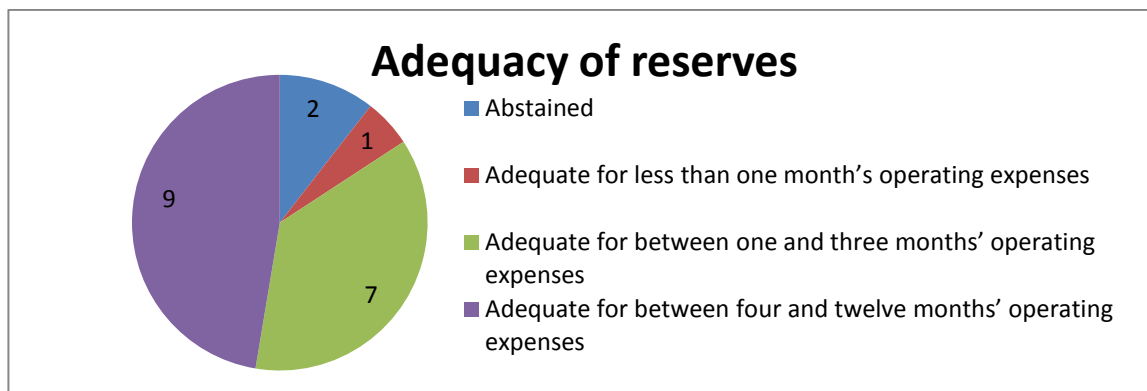


Figure 5-32: Adequacy of reserves

Figure 5-32 shows that nine of the CMDPs with reserves (47%, n=19) have reserves sufficient for between four and twelve months' operating expenses. Seven respondents (37%) said that their reserves would only cover operating expenses for one to three months, and one respondent (5%) replied that it would not even last a month. If these numbers are recalculated as a percentage of the entire sample, only 24% (N=37) of CMDPs have adequate reserves to cover operating expenses for four to twelve months. In comparison, 45% of South African NPOs have reserves adequate for three to twelve months (Cohen 2015:49). Thus, if a major funding crisis were to strike the CMDP sector, 76% of the learners currently receiving music tuition in CMDPs would be left destitute within three months.

5.13 FUNDRAISING

The aim of Section G of the questionnaire (see pages 426 to 427, Appendix A), which dealt with fundraising strategies and the nurturing of relationships with donors, was to determine to what extent CMDPs were committed to efficient fundraising to secure funding.

5.13.1 Fundraising strategies

5.13.1.1 Persons responsible for fundraising

Figure 5-33 shows that project leaders are the main fundraisers in CMDPs, as confirmed by 22 respondents (59%). Umbrella organisations (21.6%), board members (21.6%) and other staff members (16%) also assist, while seven CMDPs (19%) make use of a dedicated in-house fundraiser. Parents (8%) do not assist actively and only one CMDP (3%) utilises the services of an external professional fundraiser. Four respondents (11%) indicated that they make use of other options, such as a small multi-functional team or they rely on voluntary gifts only.

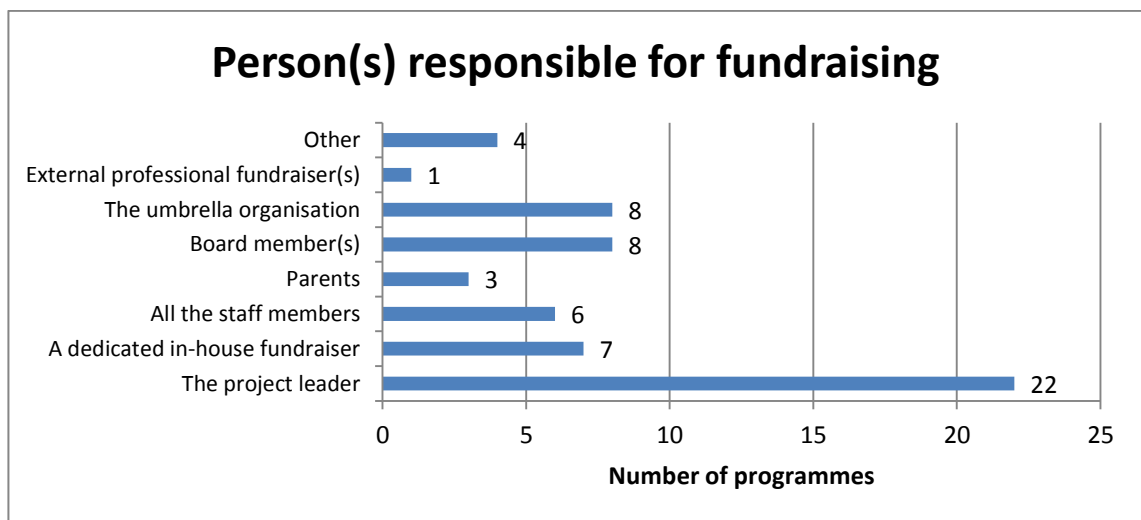


Figure 5-33: Persons responsible for fundraising

These findings confirm that CMDP project leaders have time-consuming multi-tasking responsibilities to attend to. Taking sole responsibility for fundraising on top of project planning, general management and teaching activities will certainly aggravate the lack of available time alluded to in section 5.8.1. Fundraising efforts should harness the collective efforts of parents and the local community more efficiently, seeing that their own children stand to benefit substantially.

Elite Interviewee 1 confirmed that fundraising always ends up on the desk of the CMDP leader. He said that board members should play a more active fundraising role as part of their fiduciary duties. Only board members with the relevant experience and background should be appointed and some continuity be retained from term to term to boost fundraising efforts. Elite Interviewee 4 concurred and elaborated that their sponsors often became board members (even board members of their umbrella institution) because they were so actively involved with the music programme. However, the post-1994 transformation necessitated political board appointments which resulted in a drop in funding that threatened their long-term sustainability. Elite Interviewee 5 affirmed that politicking has interfered with board appointments. He added that having a celebrity figure as a board member does not help: “They do not really support the industry”.

5.13.1.2 Funding base

Elite Interviewee 6 attributed the scaling-down of his MOPSA project to the lack of recurring funding which made long-term planning impossible. He observed that sponsorship should be awarded for at least three years to build programme stability.

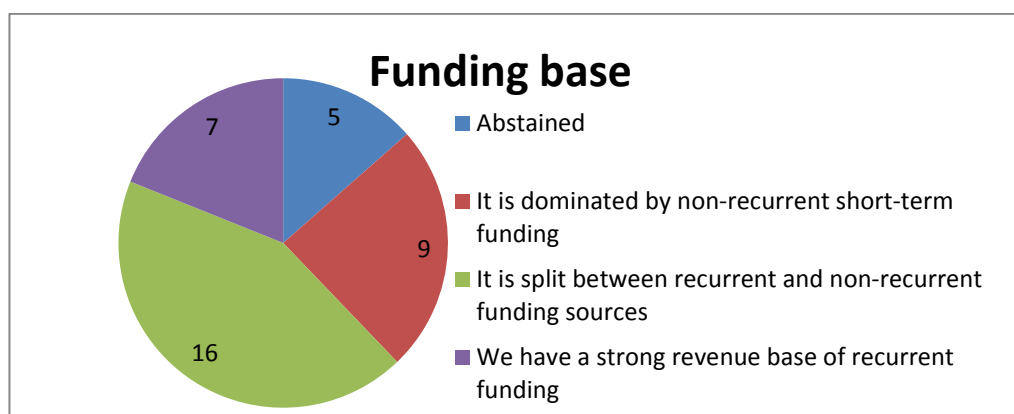


Figure 5-34: The funding base of CMDPs

The results in Figure 5-34 summarise the funding base of CMDPs. Although the majority of CMDPs (43%) have a funding base split between recurrent and non-recurrent funding, non-recurrent short-term funding (24%) dominates long-term recurring funding (19%). This data contradict the results from Figure 5-22, which showed that recurring funding was more prominent.¹⁹⁹

5.13.2 Fundraising actions

5.13.2.1 Formulated fundraising action plans

Fundraising should be a well-planned, coordinated effort involving multiple role-players. However, Figure 5-35 shows that most CMDPs apply a rather haphazard approach to fundraising.

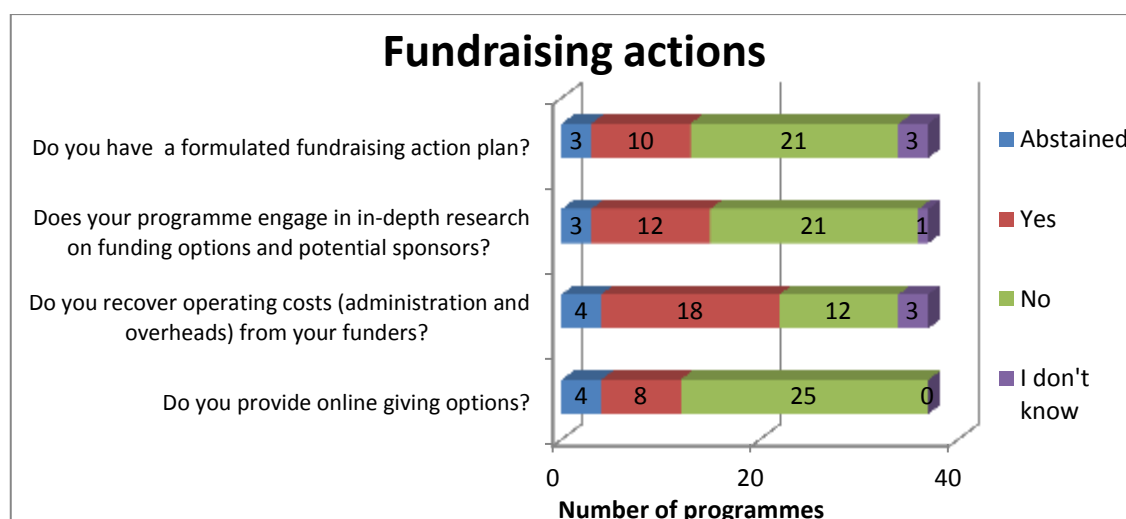


Figure 5-35: Fundraising actions of CMDPs

Only ten respondents (27%) confirmed that they had a fundraising plan in place, and they elaborated on its effectivity as follows:

- “[It is] not yielding results due to economic/political factors” (Respondent 4);
- “[We are] busy handing over fundraising to a board member” (Respondent 6);

¹⁹⁹ The lack of detailed responses from all 37 respondents could have skewed the results slightly.

- “[We have] an active networking campaign [involving] the Board; ... [we] are implementing a long term financial sustainability campaign ... [and] investigating crowd funding options” (Respondent 12);
- “[We have a]ready applied to Lotto ... Waiting” (Respondent 25);
- “[We have a] 5-year plan ... in consultation with the donor relations department” (Respondent 37);
- “[We] are constantly fundraising for ... various projects” (Respondent 38).

Significant too was the remark by Elite Interviewee 2, who stressed the importance of building a solid financial base for new projects through partnerships, the use of naming rights and matched funding. These quotes and comments have illuminated several critical fundraising issues raised in chapter four:

- The current economic and political environment is impacting negatively on funding for music education, and will continue to do so as long as the economic downturn continues;
- All the board members have an essential part to play in fundraising, and they should collaborate with management and the staff to make it an all-round collective effort;
- Networking and crowdfunding are essential, but under-explored tools of contemporary fundraising;
- The long delays in the approval and pay-out of NLDTF funding are problematic;
- Raising awareness of good fundraising principles will boost and grow the CMDP sub-sector;
- Although fundraising takes place continuously, CMDPs should fundraise separately for different projects – matching potential sponsors with each

specific cause – and include a portion of administrative overheads in each funding application to cover all costs.

5.13.2.2 Fundraising research

Finding sponsors that fit a specific cause requires intensive fundraising research. However, according to Figure 5-35 the majority of respondents (57%) said that they did not engage in fundraising research. Only twelve respondents (32%) indicated that they researched funding options and potential sponsors in depth, and they elaborated spontaneously as follows:

- “[We are] researching endowment funds ... with a view of implementing” (Respondent 4);
- “[We] explore options that seem to have criteria [we] meet” (Respondent 6);
- “[We s]egment the donor market and gather intelligence on each” (Respondent 21);
- “[We do o]nline research [about] funding and networking [and] maintaining relationships with existing donors” (Respondent 27);
- “[We are] constantly trying to match fundraising with donor/sponsor profiles” (Respondent 38);
- “[We] have [a]ppplied to many [funders] over years” (Respondent 25);
- “[We have t]wo fulltime dedicated fundraisers; national and international; with a base in the UK” (Respondent 29);
- “[We] only fundraise ... when the need arises” (Respondent 35);
- Fundraising is the “[r]esponsibility of [the] Donor Relations Office” (Respondent 37);

- “Our centre is on the premises of [a] High School ... it is imperative [to] have a good relationship with the Gauteng Department of Education ... [to] get them on board to finance teachers’ posts” (Respondent 36);
- “[We] are ... constantly exploring other possibilities to link up with foundations that support culture and especially music ... Because [t]he corporate sector is not very involved within this field ... [we] are also constantly seeking to identify companies that would invest through their CSR²⁰⁰ programme ... [and] hope to have success to achieve private donations through a yearly fundraising event” (Respondent 36).

Elite Interviewee 1 concurred with Respondent 36 that it is very difficult to secure sponsorship from local businesses. Elite Interviewee 3 resonated with Respondent 29 and put forth a strong argument for the use of professional fundraisers. He remarked that their recent appointment of an internal fundraiser had secured a steady influx of donations. Again these quotes illuminated fundraising essentials introduced in chapter four:

- Endowments provide a buffer against future financial shocks because the return on the initial investment grows own earned income;
- To eliminate a “hit-and-miss” approach and ensure that organisations meet the prescribed criteria of individual philanthropists and funding organisations, the donor market must be segmented carefully to match the profiles of potential donors with specific projects;
- Hosting fundraising events boosts individual giving, and applying to a variety of funders enhances income diversification which reduces the risk associated with relying on a single source of funding;

²⁰⁰ CSR stands for Corporate Social Responsibility, the forerunner of Corporate Social Investment (CSI) which is now a legal requirement for companies.

- Technology is a marvelous fundraising research tool because the internet provides easy access to global information and opens up worldwide funding and networking options;
- Awareness-raising and advocacy prepares the way for efficient fundraising;
- The services of professional fundraisers are generally underutilised;
- It takes time to develop trust and good relationships with potential funders; waiting until the need for extra funding arises before fundraising relationship-building commences, is counter-productive;
- Fundraising should be the coordinated, collective responsibility of all staff members, (and where possible) streamlined and driven by a professional fundraiser;
- Partnering with local schools pools resources, enhances sustainability, raises awareness and promotes pro bono giving;
- Provincial governments support CMDPs prominently, therefore sustained advocacy becomes critical to harness greater cooperation with and commitment from them should a change in policy and strategy occur;
- CMDPs should source more support from local businesses, regardless of whether it is CSI or sponsorship.

5.13.2.3 Recovering administrative overhead expenses

The results in Figure 5-35 showed that eighteen CMDPs (49%) recover operating costs from their funders, whereas twelve (32%) do not. Seeing that funders are reluctant to fund administrative costs because they want to see their donations go towards direct service provision, closer analysis of the data was necessary to investigate whether there could be an association between the successful recovery

of administrative costs from funders and a generally low ratio of administrative costs to overall expenses, displayed earlier in Figure 5-27.

Table 5-19: Administrative expenses recovered from funders

Ratio of administrative costs to overall expenses	0-10%	11-20%	21-30%	31-40+%
Number of CMDPs recovering administrative costs from funders (n=18)	7	4	2	5

Table 5-19 revealed that eleven respondents (61%, n=18) reported a ratio of administrative costs to overall expenses that is below 20%, with seven of them (39%) reporting a ratio below 10%. Compared to the five CMDPs (28%, n=18) which reported a ratio of 31% or higher (with one reporting a ratio even higher than 50%), it appears that a low ratio of administrative costs to overall expenses is more attractive to funders. On the other hand, some funders do not shy away from covering high administration costs if it is evident that a programme delivers excellent community service with meaningful impact.

5.13.2.4 Providing online giving options

Contrary to the current worldwide trend that hails online crowdfunding as the new fundraising super tool, Figure 5-21 showed that CMDP online crowdfunding has produced negligible results (0.02%) when compared to other fundraising sources. Figure 5-35 clarifies why: only eight respondents (22%) confirmed that they provide online giving options; the majority (68%) does not. It seems as though CMDPs do not really grasp the essence of an online crowdfunding campaign, and how it differs from online fundraising. As described in section 4.16.4.8, an effective online crowdfunding initiative has a profound call to action, with a start date and a closure date, to catch the attention of potential donors worldwide. CMDPs appear to rely on online donate buttons only: one respondent commented that their online giving is “not fully

functional”, and four replied that online giving is facilitated through their own website (with the provision of opportunities to donate once off or recurring funding, as well as to sponsor individual students). Only two respondents specified that they use the GivenGain dedicated online crowdfunding platform referred to in Table 4-2.

5.13.3 Relationships with donors

Nurturing good relationships with current and potential funders through compliance and regular communication is key to successful fundraising. Relationship-building develops trust and encourages donors to become more actively involved with the programmes they support. As Elite Interviewee 3 commented, to raise significant amounts of funding you need to be “well-connected”.

5.13.3.1 Grant agreements and terms

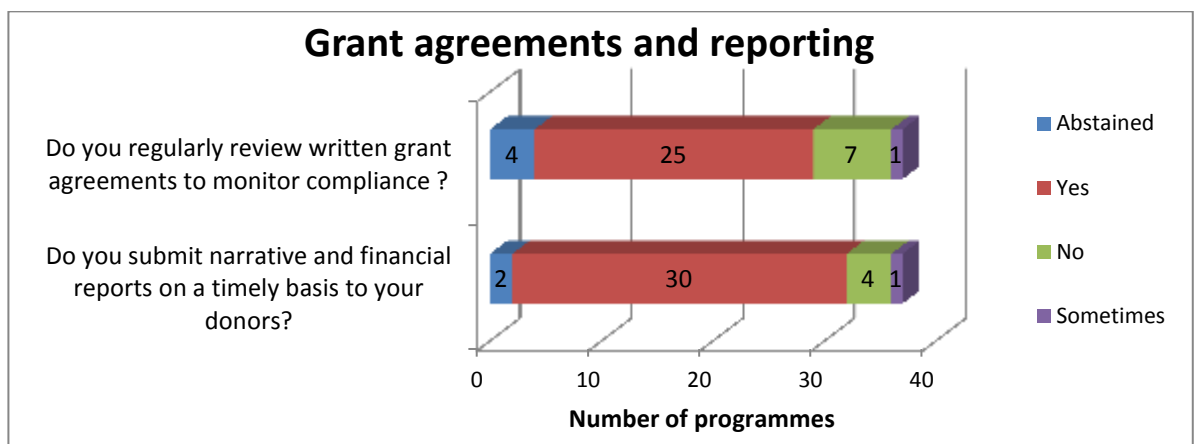


Figure 5-36: Grant agreement reviewing and reporting

Figure 5-36 shows to what extent CMDP project leaders attend to relationship-building tasks such as monitoring grant agreements and submitting timeous reports to ensure compliance. Only 25 respondents (68%) confirmed that they regularly reviewed written grant agreements to monitor compliance with the stated conditions and 30 (81%) said they submitted narrative and financial reports timeously. Seven

respondents (19%) replied that they did not review grant agreements, and four (11%) admitted that they did not submit reports on time.

Table 5-20 below shows that the average donor term varies between one and three years, with one year as the norm by far.

Table 5-20: The average donor term of CMDPs

Term	Once-off	1-6 months	1 Year	1-2 years	1-3 years	3+ years	Varies/Uncertain	Abstained
Frequency	2	3	15	1	4	1	6	5

When compared to Figure 5-22 (The frequency of funding) and Figure 5-34 (The funding base of CMDPs), one can deduce that although funding is awarded for one year only, it is renewable and sometimes awarded again.

5.13.3.2 The involvement of donors

In section 4.16.4.1 I referred briefly to activist philanthropists who support social causes actively through passionate involvement. The results in Table 5-21 below show that the majority of CMDP donors (46%) are not involved in other ways but giving money. Only sixteen respondents (43%) replied that their donors were involved – even if only occasionally.

Table 5-21: The involvement of donors

Involvement of donors	Yes, donors are involved	Donors are involved occasionally	No, donors are not involved	Abstained
Frequency	15	1	17	4

The different ways donors engage with their grant recipients are tabulated below in Table 5-22.

Table 5-22: The different ways donors are involved

Activity	Serving on the board	Attending concerts and special functions	Sponsoring music examination fees	Providing guidelines/ advice on strategic programme management	Providing transport	Doing site visits to monitor progress	Providing social support programmes	Other ²⁰¹
Frequency	4	4	3	3	3	2	2	3
If n=16	25%	25%	19%	19%	19%	9%	9%	19%
If N=37	11%	11%	8%	8%	8%	5%	5%	8%

The results in Table 5-22 indicate that donors' involvement remain at arm's length. A few (11%) attend meetings, concerts and special functions. Only two respondents (5%, N=37) indicated that their donors had visited the programmes they supported to monitor progress. CMDPs should therefore be more proactive in nurturing active relationships with their donors through communication and advocacy to raise more awareness of the positive long-term impact and outcomes of their programmes.

5.13.3.3 Nurturing donor relationships

Table 5-23 below contains a summary of the activities CMDPs employ to nurture relationship-building with their donors:

Table 5-23: Nurturing donors

Nurturing activity	Submitting regular written reports	Building relationships through regular communication and meetings	Sending invitations to concerts and special events	Attending, participating in and performing at special events requested by the donor	Acknowledging donors in programmes, newsletters through publicity and on the website	Abstained
Frequency	16	15	11	5	4	3

Relationship-building with donors depends mostly on reporting (43%) and personal interaction through communication, meetings (40.5%), and invitations to attend events (29.7%). Performing at their request (13.5%) and acknowledging them in print and on websites (10.8%), happen less frequently.

²⁰¹ The other donor activities are paying for the tuning of instruments, presenting fundraising events at their homes and involving their own children in taking lessons.

Nurturing “personal relationships” (Respondent 8) with donors requires “regular communication”, good “financial and narrative reporting” (Respondent 37), as well as “regular individual contact” at meetings and events (Respondent 29). Though emails and phone calls you show “personal interest” (Respondent 29) and keep them abreast of the latest happenings and developments. Respondent 36 added that they were continuously trying to find ways to show donors a better return on investment, and Respondent 25 remarked that they sponsored tutor training so that their donors could see that these tutors were “upgrad[ing] themselves” through external music examinations.

Thanking donors appropriately and timeously is an essential part of the relationship-building process. The results in Table 5-24 show how project leaders thank their donors.

Table 5-24: Thanking donors

How donors are thanked	Written letters	Presentation of special thank-you concerts, events and receptions	Presentation of small tokens of appreciation	By email	Written reports, newsletters, and documents	Acknowledged in concert programmes, brochures and on letterheads
Frequency	21	7	6	6	6	5
How donors are thanked	In person	On the website	Performances at corporate events as requested by donors	Other forms of communication ²⁰²	Special requests	Abstained
Frequency	4	3	3	2	2	3

Donors are thanked in various ways, “depending on the donor and his/her proximity” (Respondent 2). Although letters are by far the most popular communication medium (used by 56.7% of the respondents), they are often sent via email (Respondent 38). Respondent 32 provided a contrasting viewpoint: he said that they did not thank their

²⁰² This category included social media and phone conversations, digital versatile discs (DVDs) and video documentaries of project activities, naming rights and involvement with other social projects sponsored by the same donor.

donors because the “[d]onor is the State”; the CMDP constitutes “part of their performance requirements”.

Table 5-25 contains a summary of the actions project leaders have taken to rekindle relationships with lapsed donors. A high number of respondents (35%) abstained or responded “not applicable”: it was not clear whether this indicated they did not have any lapsed donors, or whether they did not pursue rekindling these relationships. Five respondents (14%) specified that they did not have lapsed donors.

Table 5-25: Rekindling lapsed donor relations

Action	Actively correspond with lapsed donors to keep them updated of programme news and progress	No lapsed donors	Little or no action taken	Abstained	Not applicable
Frequency	16	5	3	9	4

Only sixteen respondents (43%) replied that they pursue regular communication with lapsed donors to keep them updated – best described by Respondent 21 who stated bluntly: “[We] write, write and write again”. Other actions include the following:

- Maintaining regular contact through letters and newsletters to keep lapsed donors informed of what is happening in the CMDP (Respondent 38);
- Thanking lapsed donors for previous funding to state what great influence it has had on the immediate community, and requesting them to re-consider their decision not to support the project in future (Respondent 3);
- Sending regular progress reports about events and achievements by students (Respondent 5);
- Sending special invitations to concerts and events that had interested them in the past (Respondent 29);
- Making telephone calls, arranging personal visits and organising meetings to address the problem in “an honest way” (Respondent 36);

- Sending news through mutual friends and acquaintances (Respondent 29).

The three respondents (8%) who have taken little action cited the following reasons:

- They are relying on a new fundraiser to do so (Respondent 6);
- The lapsed donor's corporate funding strategy has changed (Respondent 12);
- Relationship-building is the responsibility of the umbrella organisation (Respondent 9).

Speaking from experience, Elite Interviewee 7 relayed how their attempt to rekindle relationships with lapsed donors was aggravated by the former project leader's omission to introduce the donors to her board and successor. Consequently funding support stalled when she passed away and new leadership took over. Efforts to track the lost donors were fruitless; they eventually resorted to other funding mechanisms.

5.14 MONITORING AND EVALUATION

The last section of the questionnaire, Section H (see page 427, Appendix A) dealt with M&E, impact statistics and reporting.

5.14.1 Maintaining impact statistics

The results in Figure 5-37 show that only 23 respondents (62%) confirmed that they maintained accurate statistical records, whereas nine (24%) said that they did so sometimes and five (14%) indicated that they did not keep impact statistics at all.

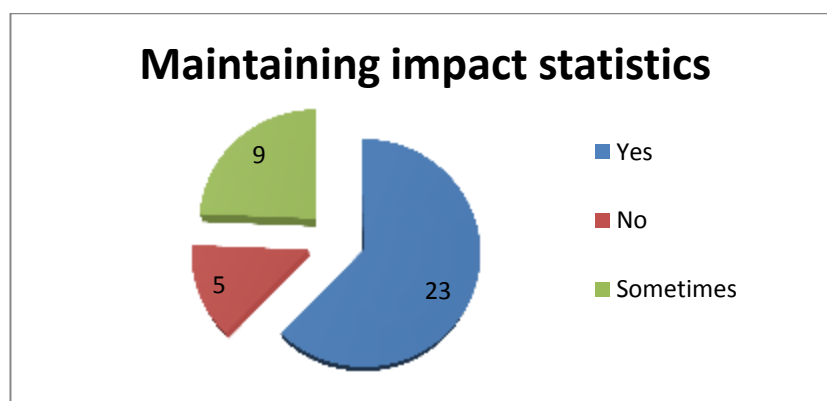


Figure 5-37: The number of CMDPs that maintain impact statistics

Table 5-26 contains a summary of the type of impact statistics maintained by CMDPs. Learners' progress records and music examination results (21.6%) are the most popular, followed by student information and attendance registers (16.2%). Only 10.8% of the respondents indicated that they collected impact statistics specified by funders and the board, and one respondent indicated that academic impact studies were conducted and the research published.

Table 5-26: The type of impact statistics kept by CMDPs

Type of statistics	Maintaining records of learners' progress, internal and external theoretical and practical assessments, and accredited examination results	Maintaining a database with general statistics, demographics, student information, repertoire, attendance registers and performances	Building an archive containing concert programmes, written reports, recordings, photographs and brochures to assemble a history of success stories	Collecting specific statistics requested by funders and the board for monthly, quarterly and annual reporting as part of the M&E process	Relying on regular feedback from parents and schools	Published research studies in accredited journals.	Ab-stained
Frequency	8	6	5	4	1	1	1

Elite Interviewee 1 added that they use the Integrated Quality Management System of the Department of Basic Education (DBE) to evaluate staff (full-time staff and part-time) to measure whole-school development.

5.14.2 Evaluating social impact and financial sustainability

Project leaders were asked to describe the evaluation mechanisms used by staff to design improved programme activities aligned with the social impact goals of their CMDPs.

Table 5-27: Evaluation mechanisms used to measure and improve social impact

Evaluation mechanism	Targeted questionnaires and forms to collect impact assessment data from teachers and participants	Monthly, mid-year and/or annual progress reports submitted to parents, management and/or the board	Progress evaluations conducted by teachers and regular internal and external practical and theoretical examinations undertaken by learners	Regular meetings and discussions of best practice held amongst staff	Regular interaction with parents regarding the performance and attendance of their children
Frequency	6	5	3	3	2
Evaluation mechanism	Regular site visits by staff, parents and/or coordinators	Monitoring through a strategic plan or M&E plan	Other ²⁰³	No specific evaluation mechanism used regularly	Abstained, or responded “none” or “not applicable”
Frequency	2	2	2	5	11

Although Table 5-27 shows that a variety of mechanisms are used to measure programme output and the progress of learners, only six (16%) respondents indicated that they had targeted social impact assessment procedures in place. Eleven respondents (30%) abstained, had no M&E mechanisms in place, or considered M&E not applicable – thereby illustrating ignorance of its importance.

Similarly, project leaders were asked to describe the evaluation mechanisms used by their staff to design improved programme activities aligned with the financial sustainability measures of their CMDPs. The results, summarised in Table 5-28, were even more disappointing. Although essentially the same six respondents (16%) indicated that they tracked long-term financial sustainability measures, the number of respondents who abstained, indicated “none” or considered the question “not applicable” increased to eighteen (49%). Thus, with a focus on day-to-day

²⁰³ The mechanisms included under “other” are invitations to parents and school principals to attend concerts and gala events, and the use of official study guides and workbooks.

management and reporting requirements – instead of on long-term planning to enhance social outcomes and income diversification – the vital role of M&E in financial sustainability planning seems to be undervalued, misunderstood and under-utilised.

Table 5-28: Evaluation mechanisms used to measure and improve financial sustainability

Evaluation mechanisms	Set targets, devise action plans, monitor budgets, document financial transactions carefully, provide M&E reporting and review budgets annually	Allocate more available hours to deserving talented students who would benefit from extra attention to assist them with developing music performance, social and organisational skills to secure their own gigs in future	Record lesson attendance and progress, and use prescribed learner support material to conduct assessments true to the evaluation requirements demanded by funders	Conduct regular management meetings and team sessions to find sustainable solutions and address relevant issues	Conduct market research, have regular meetings with donors and other organisations, and invite potential donors to events
Frequency	6	2	2	2	2
Evaluation mechanisms	Present regular gala fundraising events involving more parents and teachers	Obtain regular feedback from students and use custom-designed M&E forms to extrapolate impact statistics about specific communities	Recruit more learners from school choirs to boost student numbers	None, non-existent or not applicable	Abstained
Frequency	2	2	1	9	9

As indicated earlier in Table 5-4, only 5% of the questionnaire respondents considered M&E a serious obstacle, and Table 5-26 showed that only one respondent maintains impact statistics for academic research purposes. Thus it is evident from these results that CMDPs are not yet truly engaged with impact assessment research to measure social return on investment (SROI) – a conclusion also shared by Brand (2011) and Elite Interviewee 5 who observed that “there is a lack of research behind initiatives”. Elite Interviewee 6 also concurred and emphasised that more academic impact assessment research outputs would aid CMDPs, universities and the community, because it would contribute to funding. His

observation resonated with O'Connor's view reported in section 4.19.1 of chapter four: the ability to use research effectively will enable a CMDP to survive.

5.14.3 Reporting mediums

In conclusion, the respondents were asked to indicate which mediums they use to share their success stories with stakeholders. Their responses, summarised in Figure 5-38, indicate that annual reports, used by 68% of the respondents, are the most widely-used reporting medium (most probably because of legal and contractual compliance requirements). Electronic communication such as websites (used by 59%) and emails (57%) is also very popular, closely followed by newsletters (54%) which are most likely distributed electronically. Social media, with an application rate of 46%, has had a slower acceptance rate than other electronic communication methods, whereas traditional letters (also 46%) seem to be on a downward trend.

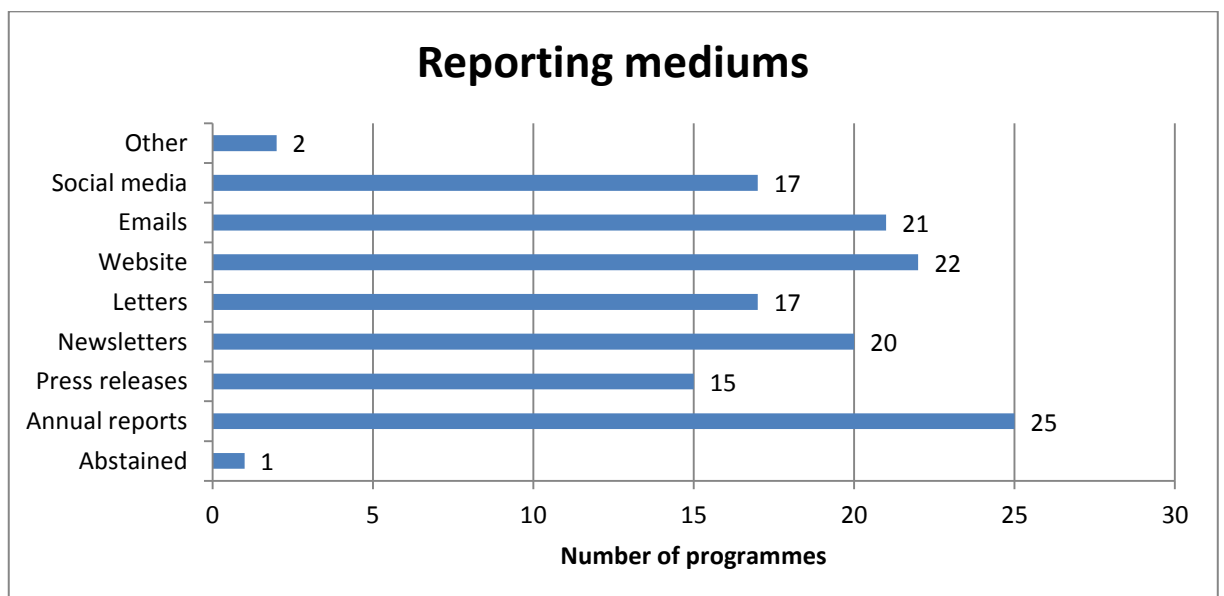


Figure 5-38: Reporting mediums

Press releases (distributed by 41% of the CMDPs included in the sample) are an under-utilised communication tool which should be used more widely as part of

communication efforts to improve organisational voice and visibility to build advocacy and a broader civic reach.

5.15 CONCLUSION

This chapter dealt with the methodology applied to find answers to the main research question: *What are the critical success factors that have enabled some South African CMDPs to survive for more than five years?* In conclusion, the most salient issues revealed through the data will be highlighted.

5.15.1 The autonomy of CMDPs

Figure 5-3 disclosed that the majority of CMDPs (59%) are run under the auspices of umbrella organisations. CMDPs are indicative of attempts by these umbrella institutions to secure their own future by creating access and feeder systems; thus these CMDPs benefit from cross-subsidisation. Umbrella bodies also enhance their own arts and culture fundraising capabilities through outreach and education initiatives because CSI funding can be secured.

According to Brand (2011:3), CMDPs affiliated with umbrella institutions are financially less vulnerable. My data findings showed that this is marginally true. However, there were also signs that umbrella-affiliation could be a disadvantage. Umbrella organisations do not always have the will to continue with community engagement and development initiatives when structural or strategic changes occur. Moreover, the poor responses received from some umbrella-affiliated CMDP project leaders regarding funding and financial reporting matters point to a lack of

understanding and insight into the financial planning, management and governance oversight of these programmes.

5.15.2 Programme capacity and service provision

The results from Figure 5-4 and Table 5-2 concurred with the findings of Brand (2011) and other South African researchers (Cloete 2006; Le Roux 2009) who had previously indicated that funding, parental support and transport are the most critical factors impacting CMDP sustainability (even though their research was conducted on a local scale).

In the ranking of the predetermined CMDP challenges in Table 5-2, *Securing funding* (predictably) emerged as the most severe sustainability obstacle. However, it must be borne in mind that all these challenges are closely interlinked and inextricably intertwined with South Africa's socio-economic challenges and apartheid legacy,²⁰⁴ and they therefore need to be addressed holistically rather than individually. If more money was made available for music education overall, these challenges could be addressed simultaneously because they all essentially stem from the lack of funding.

It is evident that financial management and funding issues surfaced during the analysis process as the Achilles' heel of many CMDPs. In Table 5-3 access to funding and financial resources (reported by 67.5% of the respondents) emerged as the greatest need. Financial management and fundraising (reported by 27% of the respondents in Table 5-4) were also considered the obstacles requiring immediate remedial action. However, self-sufficiency measures have only been employed by only 40.5% of the CMDP respondents so far, mostly in the form of improving fundraising efficiency.

²⁰⁴ Refer to section 1.5 of chapter one for more information about South Africa's unemployment and inequality ills.

In Table 5-3 financial management was jointly followed by more government support and the efficient management of human resources (21.6% respectively) as critical needs. These issues were also clearly highlighted by the elite interviewees and narrators, who emphasised the need for more government support and commitment and greater NLDTF efficiency, and commented on the shortage of teachers and full-time employment opportunities.

Project leaders are responsible for the management and planning aspects of 73% of CMDPs, illuminating the multi-tasking and time-related issues that emerged throughout. Quite a few CMDPs appear to be “one-man shows” – with a high level of autocracy – that could be a contributing factor to the lack of parental involvement and community support reported as the second most severe sustainability threat. It is, however, the personal attributes of these CMDP leaders (such as passion, perseverance, determination, commitment, honesty and integrity), combined with a love for the profession and a willingness to work extra hard, that nurture programme success and sustainability.

5.15.3 Human resources

Staff remuneration surfaced as the greatest monthly expense. The effective and efficient management of human resources requires urgent attention, because more full-time posts are needed to build excellence in the sector. Data analysis showed that only 14.2% of CMDP staff members are full-time music teaching staff, whereas part-time, qualified music teachers constitute 42%. Volunteerism should also be encouraged to balance the books, because only 54% make use of volunteer services.

Training opportunities are scarce: 59% of CMDPs do not offer any staff training. This is indeed worrying, seeing that so many unqualified staff members are appointed – they should be assisted with obtaining professional qualifications. Concurring with Brand (2011), it also emerged that there is a need for more trained in-house instrument technicians to reduce the cost associated with instrument maintenance.

5.15.4 Infrastructure and assets

Although 70% of CMDPs have their own music venues, safety and security measures are not efficiently attended to – despite the high prevalence of crime in our country. CMDPs mostly rely on security guard's to safeguard property, staff and learners.

Most CMDPs (92%) own their musical instruments and 68% confirmed that their instruments are made available free of charge. Although the full spectrum of orchestral instruments is covered, recorders and guitars (instruments considered effective in group music tuition and cheap to procure) could be utilised more efficiently to grant more learners access to basic music tuition.

Transport is a “big headache” and a major challenge because learners often reside in remote townships and have to travel great distances. However, transport is not only problematic for CMDPs, but also for South Africa and the world-wide CCI sector; it should indeed be addressed on a national scale.

Technology is greatly underutilised, even though it has great potential as a tool to enhance communication, service-delivery and tuition in the music classroom – especially through the use of mobile technology growing exponentially in Africa.

5.15.5 Collaboration, partnerships and networking

Collaboration builds a higher consciousness amongst staff and pupils, but it is costly in financial terms. Although 81% of the respondents replied that they collaborate regularly or occasionally, the lack of formal agreements could be jeopardising the timeous, planned outcomes of collaborative partnerships.

5.15.6 Financial health

Although 59% of the respondents considered their CMDPs to be in a stable or secure position, 32% confirmed they are in survival mode. Although there were a number of abstentions and incomplete answers regarding financial health and funding matters that could have influenced these figures, the following insightful financial indicators emerged:

- 78% of CMDPs focus on long-term financial planning;
- 49% admitted that their programmes were totally dependent on funding;
- 46% confirmed that their income sources had grown and diversified;
- 59% replied that the net worth of their organisations had grown;
- 78% confirmed that their expenses had grown and diversified;
- 51% of CMDPs could be considered at-risk according to the Tuckman-Chang measures, because, their ratio of administrative costs relative to operating costs is below 20%;
- 20.1% of financial support comes from local governments.

Other key funding sources are the NLDTF (12.3%) and CSI (12.1%). Funding through national government subsidies (8.3%) and business sponsorship (8.2%) remains slim. The data findings in Figure 5-21 showed that altogether the national and provincial governments and the NLDTF provide a commendable 40.7% of CMDP

funding. However, as the elite interviewees and one narrator asserted, much more national government support and commitment are needed to nurture sustainability.

Although recurring funding, especially from provincial governments, seems to dominate, a discrepancy in the reporting of recurring vs once-off funding identified through cross-tabulation could be attributed to incomplete information received from respondents that pointed to a perceived lack of financial management insight into the financial health of their organisations.

A reliance on tuition fees (most probably attributed to cross-subsidisation applied by umbrella-affiliated CMDPs) emerged as the biggest source of own earned income, followed by performance fees and concert ticket income to a lesser extent. However, the different sources of own earned income were initially misunderstood; only when predetermined categories were provided, was more substantial information received.

In-kind donations and pro bono services are under-utilised, undermining the garnering of volunteerism and community support.

Teacher remuneration is indeed the biggest monthly financial burden, followed by transport costs.

5.15.7 Accounting and bookkeeping practices

Good accounting and bookkeeping practices are adhered to by the majority of CMDPs, with the exceptions of few umbrella-affiliated CMDPs and small one-man operations. However, the following governance and performance reporting concerns should be noted:

- 30% of the respondents replied that budget variances are not attended to;
- Only 65% indicated that they do monthly cash reconciliations;
- 16% admitted that cash flow problems result in difficulty paying accounts on time;
- 14% said that they do not require two signatories or password holders to authorise payment instructions, potentially creating opportunities for fraud;
- 36% of CMDPs are at risk because they do not have sufficient insurance to replace valuable musical instruments should these be stolen.

Only 51% of CMDPs have accessible reserve funds to deal with an immediate funding crisis, far below the 72% average for South African non-profits. Only 24% have adequate reserves to cover operating expenses for four to twelve months, compared to the national average of 45%.

5.15.8 Fundraising

The data findings pointed to the need for a more scientific, coordinated approach to fundraising. Project leaders are generally the main fundraisers in CMDPs. Although 43% of them have managed to secure a funding base split between recurrent and non-recurrent funding, they generally apply a rather haphazard approach to fundraising:

- Only 27% have a fundraising plan in place;
- 57% do not engage in fundraising research;
- Only 49% recover operating costs from their funders;
- Only 22% provide online giving options.

5.15.9 Relationships with donors

The haphazard fundraising approach is also impacting donor-relationships. Although donor terms vary between one and three years (with one year as the norm), only 68% of the respondents confirmed that they regularly review written grant agreements to monitor compliance with the stated conditions.

The majority of CMDP donors (46%) are not actively involved with the programmes they support. Their involvement remains at arm's length, and consists mostly of attending meetings, concerts and events. Relationship-building with donors is fostered through reporting (43%), personal interaction (40.5%), and invitations to attend events (29.7%). Written thank-you letters are by far the most popular communication medium, used by 56.7% of the respondents. Only sixteen respondents (43%) indicated that they pursue regular communication with lapsed donors to keep them updated.

5.15.10 Monitoring and evaluation

The results in Figure 5-37 showed that only 62% of CMDPs maintain accurate statistical records. Learners' progress records and music examination results (21.6%) are the most popular, followed by student information and attendance registers (16.2%). Annual reports, used by 68% of the respondents, are the most widely-used reporting medium.

The majority of CMDPs are not yet truly engaged with impact research to measure SROI. Only 16% of the respondents indicated that they had targeted social impact assessment procedures in place and tracked long-term financial sustainability

measures; and only one respondent maintained these impact statistics for academic research purposes.

5.15.11 Concluding words of wisdom

In conclusion, I would like to end this chapter by quoting some powerful statements to illuminate the past, present and future of our CMDPs:

The arts, originally considered white elitist, have remained elitist even after 1994 because so many doors have been closed. Only those who can afford to pay get access. The talent is there, but not developed (Elite Interviewee 2).

People are scared to invest. There is no long-term thinking. There is too much fear between whites and blacks, linked to crime. The extent of fear is destructive. It is a society thing. We must invest in a long-term plan to teach music on a social scale. But it remains difficult to make inroads into different communities (Elite Interviewee 5).

One needs special dedication and time to allow a project to flourish. You must give your soul for the project (Narrator 2).²⁰⁵

Make peace with the fact that you will not be successful with sponsorships; find other ways to cover costs. We want to compile a cookbook next year (Elite Interviewee 7).²⁰⁶

It is so tragic to see how money is being wasted on other things – such as cars and KFC (Elite Interviewee 6, referring to media reports about excessive expenditure by provincial legislature on luxury cars and junk food).

[Music] is considered a luxury. In the past demographics, tension and the identity crisis contributed to its elitist identity. The solution is to know the power and strength of music in existence and to capitalise on its value and impact... Sustainability will depend on cooperation on a long-term cause. We must develop a uniform language in advocacy. Sectors of the civil society need to pull together (Elite Interviewee 5).

We should not talk of outreach and development anymore, but should rather strive towards developing the music education of the entire country. Every child in the new South Africa – black or white – should be included. Everybody is the same... [Our centre] is for everybody. The children jell in the orchestras and interact at orchestra camps. In future we should talk about reaching out to any school (Elite Interviewee 1).²⁰⁷

The post 1994 transformation impacted music. But music does not maintain any system; music exists in any system: Communism, Nazism. Look at what had happened in China during and after the Cultural Revolution. [Here] commitment perished after 1994. It got harder... Why should Mozart be kept away from the community? Community engagement has revealed how people lap up music... Music is strong and will survive... Passion makes music exciting... In China music was also

²⁰⁵ The full quote in Afrikaans was: “’n Mens het spesiale toewyding en tyd nodig om ’n projek te laat blom. Jy moet jou siel gee vir die projek”. The narrator became very emotional as she said this, and started to cry.

²⁰⁶ The full quote in Afrikaans was: “Maak vrede daarmee dat jy nie suksesvol gaan wees met borgskappe nie, vind dus ander maniere om kostes te dek. Ons wil o.a. met ’n kookboek begin volgende jaar.”

²⁰⁷ The full quote in Afrikaans was: “Ons moet strewre om uiteindelik ons musiekopvoeding en ontwikkeling van ons hele land te bevorder. Moenie praat van uitreik/ontwikkeling nie. Strewre daarna om te sê dat elke kind – wit of swart – in die nuwe Suid-Afrika ingesluit word. Almal is dieselfde. Daar was gerugte aanvanklik dat ons [sentrum] net vir bruin/swart kinders is. Dis vir ALMAL. Die kinders jell in die orkeste en meng by orkeskampe. In die toekoms moet ons praat van uitreik na enige skool”.

persecuted, but it eventually recovered. If the seeds have been sown, they will germinate (Elite Interviewee 4).²⁰⁸

²⁰⁸ The full quote in Afrikaans was: "Post 1994 se transformasie het musiek beïnvloed. Maar musiek hou nie enige stelsel aan die gang nie; musiek bestaan in enige stelsel: Kommunisme, Nazisme. Kyk wat het gebeur in China tydens en na die Kulturele Revolusie. [By ons het] betrokkenheid gesnuwel na 1994. Dit het moeiliker geword... Hoekom moet Mozart weggehou word van die gemeenskap? Gemeenskapsbetrokkenheid was 'n openbaring om te sien hoe mense musiek opslurp... Musiek is sterk en sal oorleef... Passie maak musiek opwindend... In China is musiek net so vervolgd, maar dit het later herstel... As die saadjies gesaai is, sal dit posvat."

CHAPTER 6

CONCLUSION

6.1 INTRODUCTION

Music has an infinite propensity for building bridges with regard to cultural, racial and political divides since music education facilitates intercultural instruction and cross-cultural engagement. In this thesis it has been argued that music education also enhances intellectual development, with specific reference to mathematical, language and literacy skills, as well as academic achievement. It fosters creativity and innovation – essential skills required in the contemporary workplace. Thus South African community music development programmes (CMDPs) have the potential to nurture the employability, self-esteem and general wellbeing of marginalised youth that have been beleaguered by decades of severe poverty, inequality and poor education.

CMDPs complement the compulsory Creative Arts curriculum offered at primary and secondary school level. They act as feeder-systems that contribute to the sustainability of our performing arts organisations by developing the creative arts professionals as well as the audiences of the future, thus enhancing the growth and development of the creative economy. CMDPs combat inequality and unemployment, simultaneously nurturing social cohesion and nation-building. Hence they set the stage for fostering a new generation of creative youth that can become a growing asset in this new knowledge economy. South African donor-funded CMDPs, however, have become underfunded, understaffed and unsustainable. Continued political pressure to transform the performing arts since classical music is perceived

as elitist, aggravated by fragmentation and a lack of financial management and fundraising expertise within this subsector, have marginalised music education, perpetuating the imbalances of an apartheid legacy.

The primary objective of this research study was embodied in the main research question: *What are the critical success factors that have enabled some South African CMDPs to survive for more than five years?* The sub-questions that flowed from this main research question were aimed at meeting the secondary objectives to show how CMDPs empower marginalised youth and enable them to participate in an integrated, innovative knowledge economy:

- 1 *What is the significance of South African CMDPs? What are the benefits of these programmes on marginalised youth?*
- 2 *As a CCI subsector, how can CMDPs contribute to economic growth, job creation, nation-building and social cohesion in South Africa?*
- 3 *What is financial sustainability and how is it achieved? What does a CMDP project leader need to do to ensure financial sustainability?*
- 4 *How does one source funding from new and existing funders?*

In this final chapter the key themes identified through the literature review and empirical investigation will be highlighted, followed by a discussion of the shortcomings in South African cultural policy. Subsequently the thesis culminates in a framework with recommendations for fostering the financial sustainability and fundraising capacity of CMDPs. After a brief discussion of the limitations of this research study and suggestions for further research, the chapter ends with some final observations.

6.2 SUMMARY: LITERATURE REVIEW

The literature review aimed to answer the sub-questions that flowed from the main research question. It commenced with an in-depth investigation into the socio-economic benefits of music education and concluded with an exploration into the financial sustainability of non-profit entities.

6.2.1 Hope through music

Chapter two explored the first sub-question, focusing on how music education benefits the individual, the community and society as a whole, with special reference to the impact of CMDPs on marginalised youth.

Music has been used extensively to uplift marginalised communities by affording youth access to better citizenship. As steppingstones CMDPs create upward mobility, broadening the horizons of beneficiaries, their families and communities culturally, artistically and even economically. Intellectual, emotional and social skills are imparted; thus group music-making and the playing of a musical instrument nurture creativity, employability and general well-being. The unique one-on-one relationship between the teacher and learner builds self-esteem. The associated benefits last well into old age, but they are most effective if instrumental tuition is maintained between the ages of eight and seventeen. CMDPs also present unique opportunities for lifelong learning and intercultural education by using special tools such as peer-teaching, service learning and partnerships to build capacity. However, music advocacy should not solely be based on “selling” music through non-musical

concepts only: its infinite value is encapsulated in aesthetic enjoyment which enhances our humanity.

6.2.2 The CCI: Economic growth through music and the arts

Chapter three addressed the second sub-question, describing how the CCI have been used to regenerate the global economy.

The evolution of the knowledge economy and the creative economy, with its noted key drivers, has contributed to the explosive growth of the CCI worldwide. Although several CCI growth theories have emerged (mainly fueled by Florida's *Creative Class* theory), international statistical comparisons have remained near impossible due to the different classifications used in mapping studies. The global CCI proved to be particularly resilient during the recession that followed the 2008 economic crisis. However, emerging obstacles related to CCI volatility, education, transport and new workplace hazards continue to constrain growth, especially in African countries.

South African CCI reports and strategies were investigated, focusing on the new draft CCI policy, the 2013 *Revised White Paper on Arts, Culture and Heritage*, with its emphasis on job creation, social cohesion, rural development and nation-building. The chapter concluded with an alert about the alleged commodification and commercialisation of the arts.

6.2.3 Exploring financial sustainability

Chapter four, in response to sub-questions three and four, explored the financial sustainability of non-profit entities to illuminate management and funding issues within the arts and culture environment. The world-wide funding crisis was examined and specific problems experienced by South African non-profit organisations (NPOs) were discussed, focusing on the lack of government support. The financial sustainability measures pioneered in the seminal work by Chang and Tuckman (1991) were introduced to highlight the importance of revenue diversification. Because financial sustainability cannot be addressed in isolation, Inyathelo's *Advancement* model was introduced as a theoretical framework that approaches financial sustainability and fundraising from a holistic point of view so that NPOs can position themselves better to attract support. Challenges associated with arts funding and management were examined, highlighting several innovative measures employed to boost funding for the arts. In conclusion another caution was expressed to guard against the corporatisation, commercialisation and commodification of the arts.

6.3 SUMMARY: EMPIRICAL INVESTIGATION

The literature review created a theoretical framework with predetermined categories against which the financial sustainability measures, management actions and governance procedures of CMDP could be compared for evaluation. Thus the following key observations, findings and conclusions were drawn from the empirical investigation in chapter five.

6.3.1 Securing funding

Through the ranking of the predetermined financial sustainability challenges displayed in Table 5-2 it was possible to show that *Securing funding* is considered the CSF that impact CMDP sustainability the most. Hierarchically followed by *Parental involvement* and *Transport*, these results concurred with the findings of Brand (2011), Cloete (2006) and Le Roux (2009), confirming that there has been no improvement over the past decade.

Although the majority of CMDPs indicated that their programmes were in a stable or secure financial position (often related to their affiliation with umbrella bodies), almost half of the survey respondents (49%) admitted that their programmes were totally dependent on funding, even though many were not efficient fundraisers. A focus on long-term financial planning has enabled the growth and diversification of their income sources, resulting in a growth in net worth reported by 59% of the CMDPs. A positive correlation between an increase in income and income diversification was observed, but 78% of the respondents reported a simultaneous growth in and diversification of expenses. Moreover, only 51% of CMDPs have access to reserve funds (far below the national average of 72% for South African NPOs), and only 24% have reserves adequate for four to twelve months (compared to the national average of 45%).

Good accounting and bookkeeping practices are adhered to by the majority (except for a few umbrella-affiliated CMDPs and small one-man operations), but budget variances and monthly cash reconciliations are not attended to appropriately – resulting in the cash flow problems reported by 16% of the respondents.

Infrastructure and asset management (transport, venues, instruments and technology) is not always efficient: due to insufficient insurance coverage, 36% of CMDPs are at risk of not being able to replace valuable musical instruments should these be stolen or vandalised.

There is a clear need for a more scientific, coordinated approach to fundraising planning, research and solicitation. Project leaders, the main fundraisers in CMDPs, generally apply a haphazard approach: only 27% have a fundraising plan in place, and 57% do not engage in fundraising research. Recurring funding (as a result of affiliation with umbrella institutions) dominates, because CMDPs have managed to secure 20.1% of their financial support from local/provincial governments. Other key funding sources are the National Lotteries Distribution Trust Fund (NLDTF) and corporate social investment (CSI), respectively providing 12.3% and 12.1% of CMDP income. Funding through national government subsidies (8.3%), business sponsorship (8.2%) and online crowdfunding (negligible) remains slim. Own earned income (mostly tuition fees attributed to cross-subsidisation applied by umbrella bodies) constitutes 9.5% only. In-kind donations, pro bono services are also under-utilised, undermining the garnering of volunteerism necessary to build a broad base of community support.

Thus *Securing funding* emerged as the Achilles' heel of CMDPs all-round: not only through the responses, but also in the abstentions. The number of incomplete answers regarding funding matters indicated a perceived lack of knowledge about the financial health, management and governance oversight of CMDPs.²⁰⁹ Many

²⁰⁹ Refer to section 5.12.4.

CMDP project leaders apparently do not fully comprehend what constitutes own earned income, and the important role it plays in enhancing self-sufficiency. Aggravated by fundraising inefficiency, high staff salaries, transport costs and bad debt, the lack of insight into financial management best practices must be exacerbating the current financial hardship experienced by some CMDPs. Considering that almost half of the CMDPs lack monitoring and evaluation (M&E) mechanisms to measure and improve financial sustainability, the role of financial sustainability and self-sufficiency seem to be undervalued, misunderstood and misinterpreted.

6.3.2 Other CSFs, rank-ordered

The other predetermined CSFs were rank-ordered by the respondents as follows, and in addition, several salient features emerged:

- ii. *Parental involvement and community support* provide the foundation for volunteerism in CMDPs. However, as shown in Figure 5-7, the majority of CMDPs have had limited access in engaging support from parents and the broader community.
- iii. *Transport* is costly and unreliable; daily transport hurdles interrupt tuition and the progress of learners. The majority of pupils are transported by their parents or relatives, or they use buses and taxis (Table 5-13), and pro bono transport services (Table 5-24). Transport problems are, however, endemic to the world-wide CCI sector.
- iv. *Teacher remuneration, turnover and morale* are inextricably linked with the lack of funding for staff salaries and the characteristic volatility of the CCI.

Figure 5-8 indicated that there is a general overuse of “overworked” part-time teachers, unqualified music teachers and peer-teaching students in CMDPs.

- v. *Instrument procurement, maintenance and logistics*: String instruments are used abundantly, whereas recorders and guitars (instruments considered effective in group music tuition and cheap to procure) are under-utilised (Table 5-10). Instrument maintenance is critical, hence appointing, training and investing in an in-house technician will produce long-term dividends in terms of financial and human capital.
- vi. *Tuition quality control* is negatively impacted by inefficient teacher training, staff turnover and the attitudes of learners. However, the deterioration in the quality of music tuition is not only visible in CMDPs; it is also prevalent in mainstream music education – even at more affluent schools.
- vii. *Securing and maintaining partnerships*: As shown in Figures 5-13 and 5-14, collaborative partnering – especially informal collaboration – is alive and well, but there is a lack of formalised agreements. Collaboration has significant human advantages because it builds a higher consciousness amongst staff and pupils, but it is costly in financial terms (Tables 5-15 and 5-16).
- viii. *Participation in festivals, eisteddfodau and external examinations* is considered a high priority, as seen in the data findings about M&E (Table 5-26). Free examination entries are also the most frequent pro bono service received by CMDPs.
- ix. *Measuring impact for reporting purposes*: CMDPs do not employ M&E mechanisms effectively to measure impact and social return on investment (SROI) to enhance innovation and financial security (Tables 5-27 and 5-28). Statistical data is mostly restricted to student information and examination results (Table 5-26). There is a clear lack of academic engagement and

scholarship to support CMDP advocacy and fundraising efforts, whereas the literature review and several elite interviewees and MOPSA representatives highlighted it as critical for sustainability.

- x. *Safety and security*: Although Brand (2011) and Florida (2005) expressed safety concerns in their research, the data findings showed that CMDPs consider safety and security a marginal threat. Notwithstanding, some basic security measures have been taken as a precaution (Table 5-12). Additional security risks emerge when CMDPs are located in faraway townships to save transport costs.
- xi. Although *Access to piano accompaniment* could impact tuition quality control issues, this was considered a lesser challenge.
- xii. *The provision of additional feeding and/or clothing schemes* emerged as the least problematic, ostensibly because many CMDPs receive in-kind donations in the form of food and clothing (Table 5-24).

In addition to these predetermined challenges, the need for more government support and the efficient management of human resources to build capacity emerged through Table 5-4 as financial sustainability CSFs.

6.3.3 More government support needed

More government support and commitment, and greater NLDTF efficiency and reliability emerged throughout the data collection process as pressing financial sustainability needs because of complications with changing funding strategies, grant applications and pay-outs. Constantly comparing our CMDPs with the government-funded El Sistema programme in Venezuela, the elite interviewees and MOPSA

representatives expressed the need for the South African national government to do the same. Figure 5-21 revealed that altogether the national and provincial governments and the NLDTF already provide a commendable 40.7% of CMDP funding support, of which provincial governments contribute 20.1%. These results indicate that the perceived lack of support must stem from bureaucratic inefficiency and lack of support, notable at national government level. In comparison, American EI Sistema-inspired programmes receive 7.6% of their overall funding from government, less than the 8.3% South African CMDPs receive from the national government alone.

6.3.4 The efficient management of human resources

The efficient management of human resources to build capacity emerged through Table 5-4 as a critical measure needed to overcome financial sustainability obstacles, echoing the main global CCI growth constraint. Also exemplified in challenges such as *Teacher remuneration, turnover and morale* as well as *Tuition quality control*, it ranked fourth and fifth respectively in Table 5-2. Several key human resources management issues surfaced.

CMDPs are driven and sustained by the passion and love their project leaders have for the profession, supported by their good organisational and management skills (Table 5-5). Consequently many CMDPs appear to be “one-man shows”, with a high level of autocracy that illuminates the multi-tasking and time-related issues that emerged throughout the research. Considering that eight of the thirteen MOPSA projects closed down because the project leader had left (and seven of them were

affiliated with tertiary institutions), succession planning is critical for longevity – especially as far as umbrella-affiliated CMDPs are concerned.

Financial constraints complicate the paying of staff salaries and the appointment of full-time teachers, paralysing the growth of CMDPs.²¹⁰ Symptomatic of the general education crisis in this country, Table 5-3 showed that CMDPs are in need of more full-time, qualified music teachers to build excellence within the CMDP subsector. There appears to be a specific need for specialist instrumental teachers willing to teach string, woodwind and brass instruments in rural areas.

Non-conventional music teachers (unqualified teachers and peer-teaching students) seem to be more efficient teachers in CMDPs. As shown in Figure 5-8, they constitute almost a quarter of CMDP staff; their appointment has the added benefit of enhancing job creation and self-sufficiency (Table 5-6). However, their professional growth and development is not sufficiently attended to. Apart from opportunities to attend master classes and workshops, the majority of CMDPs do not offer any staff training and development (Table 5-7). More teachers should also be trained as in-house instrument technicians.

These data findings resonated very strongly with *The Creative Industries in South Africa* report results published by the Department of Labour in 2008. This report stipulated that inadequate government support, poor teacher training and a shortage of arts managers limited the growth of the CCI sector in South Africa. It is therefore

²¹⁰ Refer to section 5.8.1.

necessary to revisit South Africa's cultural policy framework introduced in chapter three, to examine the pitfalls and shortcomings that continue to undermine the growth of our creative economy and the music industry subsector.

6.4 SOUTH AFRICA'S CCI POLICY SHORTCOMINGS

6.4.1 Lack of effective implementation

Although several CCI growth constraints were identified in the South African sector reports dating back to 1998, recommendations to remedy these weaknesses were not implemented due to a constant lack of political will, coordination and action. The data findings in chapter five showed that these problems persist today.

The *National Development Plan* (NDP) (National Planning Commission 2011), the *Mzansi Golden Economy Strategy* (MGE) (Dept of Arts, Culture and Heritage 2013) and the *Revised White Paper on Arts, Culture and Heritage* (Dept of Arts, Culture and Heritage 2013) all echo similar goals and outcomes. However, this indiscriminate, populist approach to the CCI in South Africa has resulted in policy inertia. Slow economic growth compounded by a lack of resources and constant politicking has stalled the implementation of these policies and development strategies. Plagued by internal control deficiencies, procurement problems and irregular expenditure, the DAC remains dysfunctional (Mthetwa 2015).

The DAC portfolio includes – and clearly favours – heritage and national identity because the department has a clear mandate to counteract colonial apartheid bias. Consequently there is an apparent lack of care and concern for the performing arts. Although the goal of forming two CCI support structures, namely the Cultural and

Creative Industries Federation of South Africa and the National Cultural Observatory, has recently been achieved, fragmentation is aggravated by polarisation caused by the preferential support for indigenous arts and crafts: “Art for art’s sake” is undervalued and undermined in our emerging cultural policy.

6.4.2 Funding issues

The CCI funding and regulation environment has remained complicated, vague and inefficient because of poor cooperative governance between the Departments of Arts, Culture and Heritage (DAC), Trade and Industry (DTI), Basic Education (DBE), Higher Education (DHET), International Relations and Cooperation (DIRCO), the NLDTF and provincial and local government structures. The lack of proper implementation and inter-ministerial oversight has put the achievement of goals such as solidarity, moral regeneration, national consciousness and better citizenship through the CCI out of reach.

Efficient public funding mechanisms are key to the development of the CCI, because public investment in the arts and culture manifests commitment and attracts further investment from the private sector. South Africa’s CCI development strategies do not sufficiently address effective measures to counteract the shortage of public and private funding for arts and culture. Government funding application processes remain notoriously cumbersome, with long turnaround times and excessive reporting demands. The fiscus should grant industry-specific assistance such as investment incentives, tax concessions and credits for donations to the arts.

6.4.3 Arts education, training support and skills development

Although essential skills such as Science, Technology, Engineering and Mathematics (known as the STEM subjects) are critical in general education, the development of new creative talent requires a holistic approach to education, known as STEAM (Science, Technology, Engineering Art and Mathematics). Despite being an official learning outcome, the implementation of the Creative Arts curriculum continues to be plagued by a lack of skills, resources and funding, with insufficient guidance and support from the DBE. The development of accessible infrastructure, access to the arts in schools, and the training of Creative Arts educators to ensure equitable school-level access to the arts have stagnated.

Developing and implementing an effective Creative Arts curriculum with appropriate educator support, resourcing and training from primary through to tertiary level is imperative to address quality education, skills capabilities and work opportunities within the CCI sector. The DAC aims to stimulate demand and consumption, develop audiences, build human capital and establish new partnerships with tertiary institutions (Dept of Arts and Culture 2014:4, 39).²¹¹ However, the proposed methodologies of how this will be achieved, and measureable outcomes have remained vague. A holistically supported CCI value chain will only create economic growth and decent work if there are enough suitably skilled and qualified practitioners who can promote, protect and preserve the arts through increased access and participation. South Africa, however, has a noted disconnect between the number of performing arts graduates, available work opportunities and the skills performing arts' graduates are equipped with (Riley 2012:83; Dept of Labour 2008:88). Moreover, the 2015/2016 #Fees Must Fall campaign and associated decolonisation demands have

²¹¹ Florida (2005:163) maintained that universities contribute to a creative class presence that stimulates economic growth and associated research and technology networks, because university cities lure businesses venture capitalists and entrepreneurs to create a powerful, creative ecosystem.

recently further jeopardised the future of arts departments at tertiary institutions, threatening to cause a severe shortage of professionally-qualified creative workers in future.

6.4.4 Creating access to creative arts and culture

As the drivers of economic competitiveness, creativity and innovation should be nurtured, encouraged, enhanced and elevated in our CCI policy to assist South Africa with breaking from an apartheid-burdened past. Creativity and innovation need to be fostered in the wider population to nurture a better understanding of the dynamics of the creative process that is so crucial for fostering creativity, innovation and global competitiveness. Access to the arts demand more flexible and creative CCI development approaches that include arts awareness, general support and community participation.

Artistic occupations should be nurtured through artist centres and public education initiatives to raise support for the arts. The connections between the corporate community, economic development agencies and resident artists need to be strengthened through networking and relationship-building, and technical assistance and targeted funding should be made available to increase community engagement. Non-profit arts and cultural organisations, creative businesses and creative individuals should all be engaged in efforts to build visibility of the arts in communities, schools and public venues.

6.4.5 Fostering creativity, innovation and cultural entrepreneurship

Entrepreneurship is continuously on South Africa's economic development and growth agenda because it is considered the solution to South Africa's socio-

economic and unemployment problems. A vibrant and entrepreneurial arts and culture environment nurtures creativity and cultural diversity, vital for the development of our economy at micro and macro levels. The development of creative and cultural entrepreneurship must be prioritised, enhanced and incentivised beyond mere policy-formation through interaction, incubation, cooperation and collaboration to foster creative enterprise development efforts.

Cultural entrepreneurship should be nurtured not only through arts festivals, but also through artist centres, public education initiatives and support to raise visibility of the arts. The connections between the corporate community, economic development agencies and resident artists need to be strengthened through networking and relationship-building, with greater support given to smaller diverse cultural organisations – the breeding ground of new artists. Collaboration between artists and businesses should be fostered through creative activities such as industrial theatre, musical engagement, product design and the writing of marketing and worker/consumer manuals.

The long-term capital value of the creative economy lies in ideas, not physical capital. The realignment and rationalisation of cultural organisations and infrastructure promulgated in the Revised White Paper (Dept of Arts, Culture and Heritage 2013:44-46) inhibit intrapreneurial activities within arts organisations and entrepreneurial opportunities within the CCI. Infrastructure expenditure, advocated in the NDP to create more jobs (National Planning Commission 2011:24), will only enhance the creative economy in the long-term if creative and innovative entrepreneurial ideas emerge from these infrastructure development and investment programmes to be carried forward beyond the 2030 vision.

6.4.6 Nurturing entrepreneurial business skills

The abundance of small and medium-sized CCI businesses has necessitated the nurturing of entrepreneurial business skills to bridge the gap between the arts and business. Cultural entrepreneurship and business management training must receive more focus in Creative Arts curricula, because an over-reliance on subsidies and external funding has long been the Achilles' heel of the performing arts.

Cultural entrepreneurship training must link the arts with technology, network support, incubation, strategic alliances and a fresh approach to marketing to enable cultural entrepreneurs to adapt to the fast-changing CCI environment characterised by a high degree of risk and volatility. The promotion of self-sufficiency associated with financial sustainability is essential to equip cultural entrepreneurs with the knowledge and skills required to foster the sustainable competitiveness of their creative enterprises – regardless of whether these enterprises are for-profit or non-profit entities.

Alternative funding strategies such as the generation of own earned income, venture funding partnerships and innovative contemporary fundraising techniques should be promulgated to address high production and operational costs and dwindling paying audiences. The rapid pace of change in the sector also necessitates continuous professional development involving supply chain management, legal issues, knowledge of global markets and the management of diverse teams.

6.4.7 Access to mobile digital technologies

Access to broadband is always under scrutiny in South Africa because of notoriously high costs and unreliability associated with slow speed and limited capacity. The CCI

are dependent on digital technologies for the creation, production and distribution of creative goods. The NDP has targeted the universal availability of high-speed broadband internet at competitive prices as an enabling milestone to eliminate poverty by 2030 and stipulates the provision of information and communications technology (ICT) support to artists as an important measure to promote the arts (National Planning Commission 2011:24, 26).

In contrast, the MGE and *Revised White Paper* are alarmingly silent about the use of ICT. To grow the CCI and to achieve the targets set out in the NDP, access to affordable and reliable broadband, wireless technology with sufficient bandwidth and borderless and safe web services must be enhanced in synergy with the development of basic and professional ICT technical and literacy skills.

6.4.8 Protection of intellectual property

Creative economy practitioners make a living from trading in ideas. Through digital technology such as the internet and mobile phones, these ideas and products reach global audiences almost instantaneously. Intellectual property protection legislation, notably copyright and licensing systems, is a major CCI policy tool that must be used to protect income generated from these creative ideas. The net deficit of copyright royalty flowing out of the country²¹² has indicated that we are not exploiting the full intellectual property income potential of original works of authorship.

South African CCI policy and strategies should reflect more meaningful mechanisms to police, grow and distribute income secured through intellectual property and copyright protection. The African continent is notorious for the piracy of music and digital technology products, and excessive illegal photocopying of copyright-protected

²¹² Refer to section 3.9.3.

printed resources takes place under the pretext that it is for “educational purposes”. As the legal custodians of their own works, artists should have access to more support structures that assist them with the registration and protection of their works to rightfully benefit from copyright and intellectual property rights. Simultaneously “fair use”, fair dealing”, open-source and open access issues must be addressed to facilitate research.

Local communities should also benefit from the intellectual property associated with protecting their traditional heritage and culture. A valuable treasure trove of indigenous traditional music, art and culture exists in South Africa. Creative products drawing on traditional culture and heritage are symbols that embody and define cultural identity, know-how and expression culture. As economic assets with significant cross-border, niche market export potential, they should be protected against misappropriation and misuse (UNCTAD 2010:181). Although the MGE advocates support for projects that focus on traditional South African heritage (Dept of Arts and Culture 2014:7), such initiatives often capitalise on and exploit indigenous cultural wealth instead of safeguarding them for generations to come.

6.4.9 Rural development or rural neglect?

By viewing rural development, growth and art consumption as its key motivators to focus MGE funding on arts festivals in poorer provinces, the DAC has concentrated its support of art and artists on regional and rural events with a strong focus on commercial entertainment. This preferential funding of short-term cultural projects over long-term arts education initiatives aggravates the volatility and seasonality aspect associated with CCI job creation.

In contrast, a sustainable creative and cultural milieu is nurtured through agglomeration. The *creative buzz* evident in metropolitan areas such as Gauteng and the Western Cape is conducive to the building of personal relationships and inter-firm networks necessary for the CCI to thrive. Per example, in the Western Cape (where the Democratic Alliance is the ruling party) the creative and performing arts are flourishing, as witnessed by the creative clustering evident in the existence of Artscape (a regional performing arts centre), a professional city symphony orchestra, opera company, ballet company, film schools and studios, four universities of which two have big music departments, several auditoriums and concert halls, and many voluntary organisations offering performing opportunities. Three education department music centres (Beau Soleil, Hugo Lambrechts and Frank Pietersen) and several government schools provide dedicated instrumental music tuition to thousands of learners. In addition, CMDPs offering music tuition in classical music, jazz and traditional African music are sprouting all over the province.

In contrast, despite the MGE spending on arts festivals, poor rural provinces such as Mpumalanga and the Northern Cape have retained limited access to arts and culture endeavors and creative arts education.²¹³ A more integrated and coordinated cultural policy approach is therefore required to develop market access and consumption through long-term interventions to grow the sector at national level.

6.4.10 Public transport

Florida (2005:200-201) noted that strong creative economies are dependent on efficient public transport systems. However, the provision of an efficient and affordable public commuter transport system for South Africa – as envisaged in the NDP – has been slow. The growth of the CCI in South Africa will remain retarded by

²¹³ Refer to section 3.11 for more information.

the lack of safe, reliable and affordable public transport that is especially problematic at night and over week-ends.

6.4.11 Industrial relations

Hesmondhalgh and Pratt (2005:9) highlighted the importance of industrial relations and the relationship between employers and labour in the development of new creative enterprises. South Africa's strict labour laws are known to inhibit the appointment of full-time staff by small entrepreneurial enterprises and bigger organisations alike, because it is so difficult to get rid of poor-performing workers. As one of the most unionised countries in the world, we have become notorious for violent strike action that paralyses specific economic sectors from time to time.²¹⁴

In contrast, the CCI sector remains unregulated. Creative workers relying on contract work are at the mercy of unscrupulous agents and managers. Organised labour within the creative sector is fragmented, and no formalised bargaining council exists for artists. Although the Cultural and Creative Industries Federation of South Africa (CCIFSA) was created in 2015, its real impact will only be evident in a few years' time given the current allegations of corruption alluded to in section 3.10.4.

6.4.12 Missing links

Florida's 3-Ts theory, incorporating Talent, Technology and Tolerance (Florida 2005) must be harnessed collectively to foster the synergy essential for CCI growth. Policy should therefore acknowledge the multidisciplinary nature of the CCI with its economic, social, cultural, technological and environmental linkages. To fully benefit from the socio-economic development needs, scope and potential of the CCI, policy

²¹⁴ In August 2012 47 people (miners, policemen and security guards) were killed and 78 injured during the Marikana massacre which took place during an extended strike at the Lonmin Platinum mine in Rustenburg.

needs to reinforce the nexus between creative investment and entrepreneurship, technology, diversity and trade (UNCTAD 2010:225, 254).

To foster creative networks South African CCI policy should reflect more inter-ministerial and inter-departmental cooperation. Collaboration between the DAC, DTI, DBE, DIRCO and the DHET needs to improve to enhance a long-term, holistic CCI development approach. DIRCO needs to play a much more active role in encouraging and facilitating cultural diplomatic relationships, exchange and international touring. Cooperation between the NLDTF and the three main South African arts and culture institutions, namely the Arts and Culture Trust, the National Arts Council, and provincial departments of arts and culture should also be smoothed to nurture this under-resourced Cinderella.

6.5 FRAMEWORK WITH RECOMMENDATIONS FOR CMDPs

The primary aim of this research project was to devise a framework with recommendations for the use of CMDP project managers to guide their CMDPs towards financial sustainability. Although the recommendations that follow seem generic from a business management perspective, within the context of community music education they provide valuable insight. Based on the CSFs identified through the data findings and literature review, this framework provides a holistic approach to financial sustainability and fundraising that will enhance the capacity and foster the longevity of CMDPs, even during times of volatility and insecurity.

6.5.1 Harnessing the CCI

6.5.1.1 Fostering more government support

The national government needs to be lobbied continuously and actively to fast-track the implementation of CCI development measures entrenched in the NDP. To address the looming creative skills shortage, CMDPs should advocate greater NLDTF efficiency, the provision of ICT support to artists, an effective creative arts school curriculum with appropriate educator resourcing, support for new funding models and legislation to protect employees in the arts sector. Investment in social impact bonds (SIBs)²¹⁵ could be pursued as a risk-free way of establishing high-impact CMDPs.

Arts education policy and curriculum need to be revised to nurture the relevance of music and creativity in primary schools. Greater interdepartmental synchronisation should be called for, because CMDPs intersect between the DAC, DBE, DHET, and the DTI.

The development of cultural centres with explicit infrastructure and institutional capacity, similar to the facilities provided in the Western Cape, should be encouraged to engage civic society. By actively supporting the production, consumption and distribution of the arts, civic society creates markets for associated cultural goods and services.

²¹⁵ Refer to section 4.16.4.6 of chapter four for more information.

6.5.1.2 Nurturing cultural and creative entrepreneurship

Nurturing cultural entrepreneurial capacity is no longer a choice, but a requirement because CMDPs operate in a free and open market, even though they have very specific social and societal goals to realise. CMDPs have to nurture their differentiation by building an articulated identity that creates an attractive market value with which they can serve their target communities – beneficiaries and funders – better and more effectively.

Guided by the Broad-based Black Economic Empowerment Codes of Good Practice (BBBEE), CMDPs should be encouraged to embrace economic tools that have been made available to increase the number of black people managing, owning and controlling businesses. The BBBEE codes focus on business ownership and the development of skills, enterprises, suppliers and small businesses. These codes provide pivotal funding solutions linked with new opportunities associated with CSI. Funders can claim BBBEE scorecard points for financial and in-kind support given to CMDPs, if the latter can provide the required documentation that their beneficiaries are from the designated groups. Thus CMDPs and donor companies could form strategic partnerships.

6.5.1.3 Utilising technology

ICT must be integrated in a holistic manner to enhance the tuition, financial and facilities management, internal and external communication, relationship-building and fundraising capabilities of CMDPs. A strong internet and social media presence will raise awareness and enable CMDPs to reach more people quickly and cheaply through online fundraising, ticketing and registration systems. Fast wireless

connectivity in work spaces will encourage the common use of personal devices such as mobile phones and tablets.

CMDPs should maximise the use of available ICT by creating virtual classrooms to improve service-delivery and tuition in the music classroom. The use of online streaming and virtual conferencing should be fast-tracked to facilitate music distance learning. The growth of mobile technology in Africa has facilitated teaching through Skype, sorely needed in marginalised communities and rural areas where access to instrumental music education is scarce because specialist teachers are not available locally. Learners too should become more accountable for their own learning by utilising the plethora of open resource learner support material available on the internet. Platforms such as YouTube, the International Music Score Library Project (IMSLP), and mobile software applications should be used to support the development of theoretical and practical musicianship.

Because technology has also spurred growing corruption, new issues of trust, transparency and accountability must be addressed. Data security should be managed meticulously through privacy policies to protect CMDPs and the personal particulars of its beneficiaries – especially minors – against data theft and cyber-attacks by changing passwords and upgrading software regularly.²¹⁶

6.5.1.4 Nurturing support from universities and colleges

Florida (2005) theorised that universities and colleges were the intellectual hubs of the creative economy because they foster a powerful, creative ecosystem. Affiliation

²¹⁶ Refer to section 4.10.3 for more information about the POPI Act of 2014.

with CMDPs demonstrates the commitment of music departments at higher education institutions to social responsibility, community engagement and the common good. The scholarship of community engagement also enhances academic research. CMDPs should therefore partner with academic institutions to foster the design of longitudinal and interdisciplinary research studies into all areas of community music engagement, because demonstrating SROI and the positive impact of music education on self-esteem, leadership qualities and academic performance is an all-important music advocacy and fundraising tool.

CMDPs should also partner with universities and colleges to facilitate service learning. Service learning partnerships prepare aspiring music teachers for challenging and unfamiliar teaching situations; simultaneously CMDP learners will gain confidence in their own future potential by being exposed to academic life. Activities such as student internships, piano accompaniment, rehearsal and performance opportunities and guest conducting should be included. Composition students could compose original pieces or arrange repertoire for CMDP ensembles, utilising traditional African songs and instruments to nurture a uniquely African sound. Service learning students could also fill the void that exists with the provision of music appreciation activities in early childhood development (ECD) initiatives. The inclusion of concerts, workshops and recreational community interactions will have an all-round positive impact on the wider community. Partnerships should start on a small scale, so as not to require additional external or internal resources.

The philosophy and practice of service-learning must be clearly understood to be truly effective. All community partners and stakeholders should be consulted, because the setting of clearly articulated objectives is critical. Project advisors, music

students, stakeholders and community partners should meet to clarify expectations and obligations and to engage in planning and preparation before the project begins. A liaison officer should be used as a go-between. Students should be allowed to give input and initiate their own projects, and peer-evaluations should be encouraged. Supportive policies and infrastructure should align with the broader institutional mission and goals, therefore university music departments should make use of designated community engagement offices and services on campus.

The Council on Higher Education (2006) has provided extensive service learning practice guidelines. They strongly advise that students must be orientated to the responsibilities, logistics and risks associated with service learning. Scheduling of contact sessions must be coordinated, transportation planned in advance, and attendance and involvement monitored through meticulous documentation and record-keeping. Identified risks must be managed securely through proper planning, control, scheduling and record-keeping of liability documents such as indemnity insurance forms, codes of conduct, contracts, time tables, attendance registers, transport invoices, agendas and minutes of meetings, and evaluation reports. In addition, an institutional risk management policy must be in place to safeguard the institution as well as the student.

6.5.2 Building capacity by maximising the benefits of CMDPs

6.5.2.1 Early childhood development

A child needs to start with instrumental tuition by the age of eight to fully benefit from music education, because sustained music interventions during the early years yield the greatest life-course impact. CMDPs should therefore introduce music education

methodologies derived from the Dalcroze, Kodály and Suzuki methods early on so young children can learn musical skills playfully through games. The use of clapping, body percussion, singing, and the teaching of very basic music notation will lay a solid foundation for and interest in music learning later on.

CMDPs should also assist and train ECD teachers at crèches and primary schools to incorporate music into the general ECD curriculum. The provision of teacher support material, accredited training workshops and assistant teachers through learnerships and service learning initiatives will significantly enhance the impact of CMDPs on the poorly functioning South African education system, especially in rural areas. It will simultaneously open up new channels for securing funding through CSI, government grants and own income generation.

6.5.2.2 Lifelong learning

Because all members of society, from the cradle to the grave, benefit from involvement with music, CMDPs should branch out to provide music services to government organisations, schools, hospitals, retirement centres, religious bodies, neighbourhood centres and non-profit community organisations in low-income areas to nurture and empower people in these communities, especially the elderly and the infirmed. Continuous lifelong learning should be encouraged to motivate CMDP teachers to develop new essential teaching, administrative, fundraising and entrepreneurial skills to realise their own musical and artistic growth.

6.5.2.3 Building intercultural relationships through intercultural learning

A music ensemble is a metaphor for a homogenous society. Because youth from diverse cultures and backgrounds blend in our youth orchestras, a greater awareness of the socio-economic needs of CMDP learners and new innovative teaching methods are required to enhance intercultural education and exchange. Music teachers should therefore develop creative teaching competencies that are more receptive to their students' specific needs.

To develop an awareness of the impact of group teaching strategies and diversity – and resulting pressure such as language barriers – on teaching and learning, intercultural competence training is essential to sensitise music teachers to working with groups containing children from multi-cultural backgrounds. Traditional music should be incorporated to encourage a greater awareness amongst students of their own cultures. Because extreme poverty is a serious barrier to learning, more empathy is needed for children growing up in dire circumstances in informal settlements.

6.5.2.4 Encouraging the use of indigenous music

CMDPs should not trample over indigenous arts practices in an attempt to develop choirs, ensembles and orchestras, but should nurture local cultural identity to accommodate a greater diversity of the musical styles present in South Africa. The use of indigenous repertoire must be advanced – not only because projects that aim to preserve indigenous heritage are favoured in government funding allocations, but to mitigate the loss of our traditional cultures. Nurturing an African identity in music

education creates an own, unique voice that enhances intercultural learning and builds international competitiveness.

The fusion of classical music with indigenous music such as African jazz, traditional music and township kwelas played on Western instruments moulds a fresh, innovative hybrid style. It changes the perception of elitism and captures the essence of our rainbow nation. CMDP students playing indigenous music from different cultures and ethnic groups will develop a better understanding of and respect for the rich cultural traditions of our country. They simultaneously develop musical skills such as improvisation and personally connect with the music of their own ethnic heritage. Thus the use of pennywhistles, African marimbas and percussion, traditional African songs (especially pentatonic songs) and even Afrikaans folk songs could be used to enhance music education at grassroots level. By preserving the tangible and intangible creative capital of our communities for future generations, CMDPs significantly enhance their own sustainability efforts.

6.5.3 Nurturing financial sustainability

To improve their understanding of financial sustainability, CMDP project leaders should pay heed to the four Tuckman-Chang financial vulnerability criteria and the elements of *Advancement*:

6.5.3.1 Applying the Tuckman-Chang financial sustainability criteria

- i. *Net worth*: CMDPs with a small net worth relative to income should strive towards building reserves and assets that can be used as collateral to secure a loan or sold off to reduce a financial shock. Access to reserves will also

assist with acquiring infrastructure and assets such as venues, musical instruments and technology.

- ii. *Income diversification*: Revenue concentration should be counteracted by developing a more sophisticated social entrepreneurship model that includes access to multiple funding sources as well as own earned income to reduce the reliance on external funding.
- iii. *Administrative overheads*: CMDPs should not constantly cut administrative costs, but rather aim at recovering administrative overheads from their funders to develop room to maneuver during times of need.
- iv. *Operating margins*: CMDPs should use social and cultural entrepreneurship models to balance funding with an increase in own earned income to improve low operating margins, aiming to generate a surplus that can be used to build equity for supporting programmes in times of decline.

6.5.3.2 Applying the elements of *Advancement*

- i. *Financial management*: The quality of accounting information and infrastructure/asset management needs attention to improve internal and external business management processes and to reduce risk. Management and the board should use financial performance reports effectively by paying more attention to budget variances, cash reconciliations, as well as investment to counteract inflation.
- ii. *Fundraising*: Fundraising skills and efficiency should improve to enhance income diversification. Closer interaction between management, the board, parents and the community will assist with developing relationships with volunteers and funders. Through targeted marketing and advocacy efforts regional governments, companies and individuals should all be encouraged to

support CMDPs. An integrated fundraising programme requires meticulous prospect research, cultivation, solicitation and stewardship. If necessary, the services of a professional fundraiser could be acquired. The objectives of funders must be aligned with the pressing needs and objectives of CMDPs to ensure that donations can be utilised as specified. Funders must be persuaded to fund staff salaries, project management costs and other administrative overheads. Volunteerism should be encouraged and more in-kind donations sourced. By deliberately setting out to raise large grants through individual bequests and by rendering paid-for services, CMDPs can build endowments consisting of assets and investments such as rented-out property, shares and bonds that could provide valuable investment income if invested wisely to preserve capital and maximise financial return.

- iii. *Governance*: CMDPs should aim to create small, agile companies without cumbersome governance structures. Board members must be committed and actively involved with governance oversight and fundraising. Proper registration as a non-profit entity and a public benefit organisation is essential to secure funding from a variety of sources and to enable individual and corporate donors to take full advantage of available tax benefits and financial incentives, such as those associated with new BBBEE legislation.
- iv. *Leadership*: CMDPs require managerial leadership that demands a unique combination of passion, cultural and business management skills, an innovative entrepreneurial focus, and strategic advocacy to build awareness and trust. Although a CMDP project leader becomes the main messenger, driver and face of the organisation, effective delegation of duties is essential to manage time efficiently and to harness a collective body of support from staff, parents and the local community that will ensure programme longevity.

- v. *Human capacity:* Remuneration issues need to be addressed to counteract employment practices that pressurise music teachers and musicians to work for discounted compensation. More full-time, qualified teaching staff should be appointed, and smooth teamwork facilitated between academic and administrative staff to address time constraints. Through succession-planning staff with leadership qualities should be identified and developed to nurture their mobility, especially in CMDPs affiliated with umbrella bodies. They must be engaged with all relevant aspects of management and granted opportunities to interact with board members, existing and potential donors to commence relationship-building that will enable programme continuity should the leader leave unexpectedly. The vocational training of unqualified teachers and peer-training students must be prioritised to enable their professional graduation, and more instrumental technicians should be trained. Because CMDPs work with children, a vetting system that screens appointees for criminal records and child protection register listings must be in place.
- vi. *Strategy and planning:* Quality and excellence evident in strategic planning, organisational proficiency, programme delivery and general management will capture a high level of professionalism and critical acceptance. However, quality should also speak to enjoyment, fulfillment and confidence. CMDPs should explore new ways of engaging with youthful audiences through relevant, accessible programming. A too narrow focus on artistic excellence alone could result in the neglect of community needs if community partners are not consulted.
- vii. *Organisational voice and visibility:* Advocacy, networking, good communication and public relations, and engagement with the media through regular press releases should be maintained to foster awareness. Speaking

with one voice will contribute to building external relationships. The showcasing of ensembles for performance fees will enhance organisational voice and visibility and increase own income.

- viii. *Relationship building:* Partnerships with schools, arts organisations, higher education institutions and funders will enhance systemic change to improve the effectiveness, visibility and relevance of arts education in South Africa, and engagement with and recognition by government. The pooling of resources (human and financial) will increase access to professional expertise, creating strength, support, sustainability and synergy. CMDPs could partner with schools in the offering of the Creative Arts curriculum, and CMDP learners and ensembles could perform at community events. Student and teacher exchange programmes should be established, and workshops and master classes offered by visiting artists and professors. Thorough planning is required to minimise conflict and address challenges such as scheduling constraints, funding, insufficient human resources and transport-related problems. Collaboration should be based on working with “willing” partners and recognising community needs as well as excellence. Formal agreements should be in place to ensure timeous, planned outcomes.
- ix. *Monitoring and evaluation:* CMDPs must inculcate a culture of performance and cost-effectiveness by investing in efficient M&E mechanisms with an emphasis on sustainability and SROI to measure and track the evolutionary progress of individual learners as well as the social, cultural, economic and technological impact of CMDPs on local communities. M&E plans should be developed prior to programme implementation to align the needs and goals of CMDPs with funders. Specific data such as the number of beneficiaries served and services provided should be collected. Objectives could include improved

lesson and rehearsal attendance, discipline and behaviour, increased participation in performance activities and a decrease in attrition rates. Additional information regarding teacher performance, professional development initiatives and an increase in parental and community support will illustrate accountability. Auditing assistance must be provided to ensure compliance.

6.5.4 Managing the most challenging CSFs

The predetermined CSFs identified in section 1.8 and rank-ordered in Table 5-2 need to be managed strategically and with great care to nurture the financial sustainability of CMDPs, because they are all closely interlinked and will be addressed in synergy if more CMDP funding is secured. The following recommendations should be applied to address each challenge individually:

6.5.4.1 Cultivating parental involvement and community support

Because it is essential to create and support conditions whereby greater parental and societal buy-in, responsibility, engagement and meaningful community support and connection could be secured, the CMDP vision and mission must be shared with parents and the wider community to build civic reach. A monitoring and support system should be in place whereby guidance could be offered through appropriate communication, networking and advocacy channels. All activities should be documented and shared through regular exhibits on the premises and multimedia presentations at parents' meetings. Written notices of participation in activities in the community should be emailed or sent home, and opportunities created for children

and parents to collaborate on specific activities that can be discussed and exercised at home.

Parental involvement could be nurtured by liaising with parents through local schools and through the provision of transport to attend meetings and concerts. When very young children are involved, parental supervision – so strongly recommended by Suzuki (1969) – is critical for daily practice to improve lesson preparation and the overall progress of learners, simultaneously ensuring that fragile instruments are not manhandled, but properly cared for.

Partnering with local primary and secondary schools will support the teaching of the Creative Arts. CMDPs could approach local schools and community centres to procure tuition and rehearsal venues, and local businesses could be solicited for possible sponsorship to provide funding for musical instruments. The establishment of more school and community ensembles that are available to perform at local community events such as church services or funerals will ensure that good live music is heard and entrenched in local community life. Partnerships established between CMDPs and other community organisations, NPOs, hospitals, retirement centres and religious bodies will also provide access to valuable volunteer services.

6.5.4.2 Overcoming transport problems

Proposed solutions to overcome transport problems include procuring own CMDP multi-purpose vehicles and securing transport sponsorships by partnering with private transport companies. The provision of cash for taxi or bus fares requires tight

cash flow management. Alternatively, by partnering with local schools or investing in teaching facilities in townships, transport issues can be overcome if teachers travel to the students rather than the other way around. However, additional security risks emerge when teachers travel into remote townships: respectable and secure teaching infrastructure needs to be created to ensure that a safe haven is maintained.

6.5.4.3 Improving teacher remuneration, turnover and morale

CMDP teachers should equip themselves with the practical and pragmatic pedagogical skills needed to survive in the CMDP environment. CMDPs should ensure that teachers are adequately trained, equipped and prepared to effectively apply group tuition methods such as those promulgated by Suzuki (1969) – especially in a multi-cultural environment. Unqualified teachers and peer-teaching students should be supervised, trained and mentored, and encouraged to pursue professional qualifications to avoid entrapment in the long run.

Access to funding is critical to appoint more full-time teachers and dedicated fundraising and administrative staff. Sufficient funding is also required to pay market-related remuneration, with built-in acknowledgement and recognition mechanisms to enhance staff performance and counteract the job insecurity and low staff morale that arise out of un-regulated ad hoc contractual arrangements. Stressful, difficult work conditions should be avoided because the resultant staff turnover erodes the personal interaction, care and commitment associated with the mentoring relationship that develops between a music teacher and the learner over time.

Although CMDP teachers and project leaders are passionate about their calling, they have to remain motivated because the work they do is very challenging. They need to maintain a balance between life and work. More training in basic business and financial management skills should be provided to enhance project management and fundraising capabilities and efficiency. Because leadership and structural changes could result in a change of mission and business strategy, good relationships and open communication channels between teachers, management and donors must be maintained to develop a mutually understood communal will.

6.5.4.4 Procuring and maintaining instruments

CMDPs need to pool resources with other schools and CMDPs and partner with investors and music shops for access to instruments, accessories and sheet music. Recorders, pennywhistles and guitars are relatively cheap to procure. Investment in these instruments will facilitate group music tuition and increase student numbers. Local music stores can be approached to procure instruments and accessories at discounted prices. The procurement of good quality, affordable orchestral instruments and accessories from countries where the rand still has some bargaining power (such as China, India and Brazil) should be explored.

Networking and collaboration with international organisations can provide access to donated instruments. However, these instruments should be in a good working condition: CMDPs should not be perceived as a dumping ground for old, malfunctioning equipment donated by foreign donors.

Mature students with instruments on loan should be informed timeously about what will happen to those instruments if they were to exit a CMDP. They need to be assisted with obtaining their own instruments – whether self-funded or sponsored – should they wish to pursue further music studies. To improve control over instruments on loan, a detailed asset register must be maintained and maintenance logged meticulously because of the value and fragility of these instruments.

Because precious tuition time is lost when damaged instruments are sent away for costly repairs, self-sufficiency and the building of human resource capacity will be nurtured by the training of in-house instrument technicians to see to instrument maintenance. The introduction of accredited vocational programmes aimed at training local violin makers and artisans who can repair wind, brass and percussion instruments will fill this current void in our music education system.

6.5.4.5 Maintaining quality tuition

Music teachers should constantly aim at raising the performance bar – not only for their pupils, but also for themselves. Excellence and quality, advocated by Abreu and El Sistema, should permeate every aspect of a CMDP. Teachers and learners who perform well and stand out, should receive recognition. Attendance of master classes presented by visiting artists, regular assessments, examinations, performances, competitions and concerts should all be used to review and showcase progress and create repertoire awareness. To encourage quality tuition, repertoire selection should not be aimed at providing short-term gratification and enjoyment, but should encourage the long-term growth and development of young musicians.

Numeracy and language barriers that develop as a result of a poor education system could create obstacles to the effective teaching of music to children in CMDPs. However, because music education contributes to the development of human capacity it will positively impact the attitude, commitment and academic progress of even the poorest performing learners in CMDPs, granted that they persevere with their music education throughout their school career. However, the charging of nominal registration and tuition fees to secure greater commitment from these learners and their parents should not deprive them from the opportunity to receive music tuition. The #Fees Must Fall campaign championed the reduction in tuition fees for university students living in dire circumstances and lacking money to buy food. CMDPs too should consider the impact of extreme poverty on the ability of parents and students to pay nominal tuition fees. The necessary policies and procedures should be in place to assist parents and students suffering financial hardship to ensure their continued access to quality music tuition.

6.5.4.6 Paying entry fees for festivals, eisteddfodau and external examinations
Examinations and evaluations provide structure and yardsticks with which to monitor and measure goal-setting and the improvement of learners, simultaneously assessing the quality and impact of the programme itself. To develop and strengthen the South African music industry, CMDPs should focus on home-grown eisteddfodau, music festivals, competitions and examinations for which local sponsorship and support could be secured. Per example, the Unisa graded music examinations are more affordable because they are paid for in South African Rand, not British

Pounds,²¹⁷ and they were formally accredited as official Short Learning Programmes of the university in 2014 (Unisa 2014).

6.5.5 Affiliating with umbrella bodies

CMDPs affiliated with umbrella bodies have reduced risk because they have better access to resources and support, and save on infrastructure, remuneration and general administrative costs because basic operations are covered by their umbrella organisations. Affiliation with universities and colleges also accommodates service learning. However, as the empirical findings indicated, association with umbrella bodies could be a disadvantage because project leaders are less involved with the financial planning, management and governance oversight of their programmes, seeing that these tasks are often absorbed by the umbrella bodies. Excessive bureaucracy and tedious procurement requirements demanded by an umbrella organisation could sink a CMDP if operations become too clumsy.

Umbrella bodies should not take on a patronising role. To create a competitive advantage, they should become “activist philanthropists” and passionate supporters of their own CMDPs to actively effect change. The buy-in of senior management is critical to prevent sudden shifts in business vision and strategy that could threaten financial security and longevity. By involving CMDP project leaders with all the planning, management and fundraising tasks associated with their programmes and ensuring that succession planning is in place, umbrella bodies and CMDPs stand to benefit from improved financial management and fundraising awareness and accountability. To remain competitive and address future creative skills needs,

²¹⁷ Graded music examinations are strongly associated with Commonwealth countries. Indicative of a colonial influence, they are fairly unknown elsewhere.

colleges and universities affiliated with CMDPs should refocus and re-align their involvement to accommodate the latest developments in ICT and multimedia to attend to the predicted CCI skills shortages.

On the other hand, staff from umbrella-affiliated CMDPs should fight inertia and complacency. They should develop intrapreneurial thinking, skill and action in fundraising, programme innovation and strategic risk-taking. Leadership, business and project management training will equip them with the necessary intrapreneurial business skills required to build flagship programmes. Efficient communication and relationship-building with management are essential to ensure that the vision of the umbrella body is shared and matches the day-to-day realities of the CMDP.

6.5.6 Enhancing CMDP fundraising potential

To access arts and culture funding, CMDPs should align themselves with the proposed outcomes of the *Revised White Paper* and the MGE, such as:

- The transformation of the demographic representation in the creative sector;
- The creation of decent work and economic growth;
- Social cohesion, justice and solidarity;
- Increased levels of moral regeneration and national consciousness;
- The training of suitably skilled and qualified practitioners;
- Active citizenship and citizen responsibility;
- The promotion, protection and preservation of arts, culture and heritage;
- Increased delivery in rural areas;
- Enhanced international competitiveness.

CMDPs should also embrace tactical fundraising tools by showing how they enhance ECD, youth development, small enterprise development and cross-cultural engagement. By partnering with crèches, schools and civic organisations in rural areas, CMDPs can access available infrastructure, especially in the poorer provinces, to enhance their civic reach and fundraising potential. Promotional benefits need to be linked with social agendas such as nation-building. Emphasising the role of music education in the development of life and cognitive skills and the stimulation of artistic excellence and cross-cultural engagement is also important. Touring ventures must support emerging artists, enhance geographical reach and tourism and benefit local communities. More pro bono corporate business expertise, skills and support could be sought. Closer interaction between management, the board, parents and the community will assist with nurturing these relationships with volunteers and funders.

A strong growth in earned income through ticket sales and tuition drove the recovery in the arts sector after the 2008 financial crisis. CMDPs should follow suit. New business models with an emphasis on earned income and long-term collaborations with shared resources and risks should be explored to foster self-reliance. The leveraging of assets such as venues or advertising space will further enhance own-income generation. CMDP practitioners need to think creatively to be innovative. Investment in research and development and the use of crowdfunding to leverage public funding through matched funding will their boost funding.

Venture philanthropists interested in combining financial, social and artistic impact should be engaged to accelerate the establishment of music entrepreneurship

enterprises and to grow smaller CMDPs to scale. Participation in arts accelerators such as the new Cultural Accelerator Programme initiated by the DAC and the African Arts Institute in 2015 should be encouraged to enhance business skills and capacity development.

The arts community needs to understand its role clearly and should expand its planning to embrace economic tools available through recent changes in the BBBEE codes that have provided new opportunities linked with CSI. Funders can now claim BBBEE scorecard points when the CMDPs they support provide the required documentation that their beneficiaries are from the designated groups. Historically arts organisations and CMDPs have focused on outreach and education to secure funding. The revised BBBEE codes have a reduced weighting of five points allocated to socio-economic development, whereas enterprise and supplier development (with a weighted score of 40 points), business ownership (25 points) and skills development (15 points) are now prioritised. Because of the significantly increased weights allocated to the accredited training of black unemployed South Africans, black business ownership and enterprise development, CMDPs should focus on coordinating and overseeing accredited music training programmes²¹⁸ and the establishment of new fledgling CMDP enterprises by their alumni to benefit from available CSI funding. CMDPs could also benefit from corporates using CSI spend as a feed-in into their skills development programmes by developing a pipeline of talent from which corporates could draw potential interns and employees. Thus CMDPs can create a buffer against unemployment by providing formal and informal employment and enterprise development opportunities to youth entering the job market for the first

²¹⁸ The Unisa graded music examinations were formally accredited as official Short Learning Programmes of the university in 2014.

time. CMDP project leaders, in collaboration with their funders, therefore need to adopt a comprehensive and very strategic BBEE plan to access these pivotal funding solutions.

6.6 LIMITATIONS OF THE STUDY

The interdisciplinary nature of this research project aimed to provide an overarching, broad view of the research topic. By taking such a holistic approach, only the surface of CMDP financial sustainability could be explored. The qualitative research design prohibited the detailed statistical analysis of financial figures such as real income, expenses and net worth usually associated with quantitative research. Data collection also did not call for specific information such as the names of and contributions made by individual funders, because of its confidential nature.

The incomplete data received about sources of funding and income diversification could have impacted the data findings slightly, especially as far as the funding of CMDPs affiliated with umbrella organisations are concerned. Many participating CMDPs are affiliated with institutions linked with local governments; this could have impacted the results showing the unexpectedly high 20.1% contribution made by provincial legislature.

6.7 RECOMMENDATIONS FOR FUTURE RESEARCH

Detailed mapping studies about the economic contribution of specific CCI sub-sectors such as music education and CMDPs are required. A general audit of

CMDPs in South Africa is urgently needed to determine how big the sub-sector really is, and to what extent civic society is stepping in to contribute to Creative Arts education.

More longitudinal studies are required about the positive impact of CMDPs on the lives of marginalised children in South Africa to make a stronger case for advocacy. The influence of music teachers as role models and mentors for marginalised youth should be explored. Research into the quantifiable beneficial and financial aspects of CMDPs are also needed, and the Tuckman-Chang measures should be tested in a South African context by applying them to specific CMDPs and cultural NPOs to assess their financial vulnerability. Cultural entrepreneurship and its potential to grow the CCI in South Africa should be researched in more detail, and new entrepreneurial for-profit CMDP business models with the potential to enhance enterprise development amongst young black creative entrepreneurs investigated to embrace opportunities entrenched in the revised BBBEE codes.

To combat fragmentation between research disciplines, interdisciplinary research should be encouraged to nurture a holistic approach, with a broader perspective of interrelated issues, to problem-solving in general.

6.8 FINAL OBSERVATIONS

CMDPs aim to create better citizens through music and mentoring, developing meaningful quality relationships between teachers, CMDP learners, funders and other stakeholders within the broader community. Innovation, flexibility and

excellence in music performance and business management practices are required to build reputable, sustainable programmes with meaningful impact at local and national level that can flourish amidst an insecure political and funding environment. This requires strong, collective leadership, the application of financial and human resources management best practices, and social and cultural entrepreneurship skills to build financial and human capacity. Significant community dialogue, consultation and support are essential to foster longevity.

In section 2.7.3 I referred to Abreu who had created a parallel between the artistic, cultural and social aspects of music education and the personal, family-related and community-oriented spheres of a child's development. I would like to add that a holistic approach to the financial sustainability of CMDPs requires drawing a third parallel, shown in Figure 6-1: between music, management and the *mensch*. The latter speaks to the goodness, kindness and helpfulness of humanity.

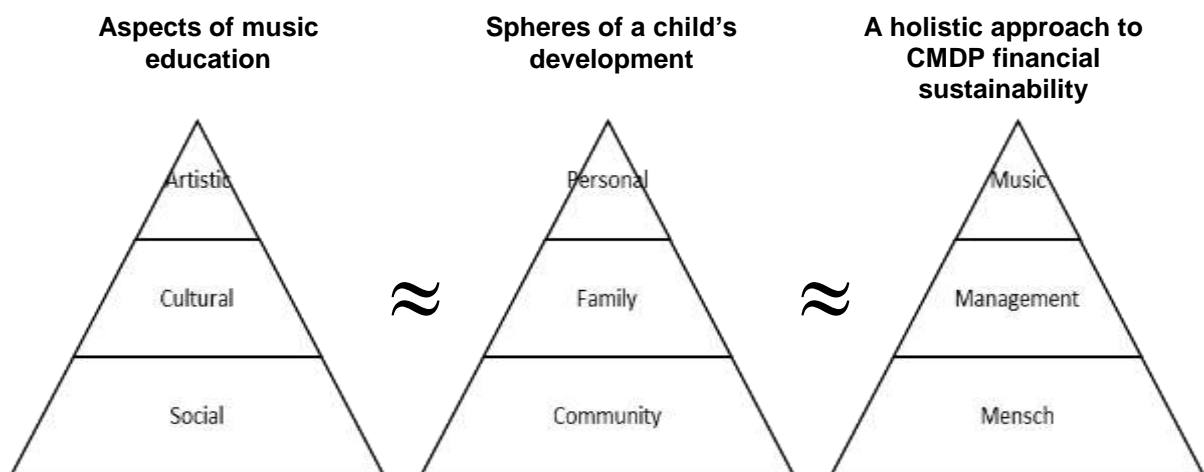


Figure 6-1 A holistic, multi-stakeholder approach to incubating a vibrant CMDP culture

At the outset this research project was approached from an interdisciplinary perspective between the disciplines of music and business management. The human aspect of music and CMDPs emerged as a critical viewpoint as the research unfolded. A strong caution was expressed against the commodification, commercialisation and corporatisation of the arts, and relationship-building came to the fore as the key determinant of CMDP longevity. Thus this research broadened my own horizon, and its value and relevance reside in its potential to similarly broaden the horizons of cultural leaders, stakeholders and leaders of NPOs involved in community engagement and development initiatives in other arts disciplines, education and even sport.

The youth is not only our future – they are also our present. Sadly, substantive numbers of young learners have been entrapped into poverty through inequality, substandard education and high rates of unemployment, compromising the capacity of our workforce and limiting economic growth. However, the #Fees Must Fall campaign has indicated that the youth is energetic and they can play a key role in driving social change by re-energising their communities and mobilising civic society. CMDPs do create hope through music because they build cultural capital, and thus contribute to the shaping of a potentially vibrant, prosperous South African creative economy. However, as shown in Figure 6-1, a holistic, multi-stakeholder approach is necessary to incubate a sustainable CMDP culture. Hence, to conclude: CMDPs *will* prosper if they nurture relationships and demonstrate the traditional African value of Ubuntu – an eagerness to serve their communities. It is in such a holistic approach, which recognises not only systemic intervention, but also a fuller exploration of human capital, that the ultimate value of this study lies.

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APPENDIX A: QUESTIONNAIRE

CRITICAL SUCCESS FACTORS ENABLING THE FINANCIAL SUSTAINABILITY OF SOUTH AFRICAN DONOR-FUNDED COMMUNITY MUSIC DEVELOPMENT PROGRAMMES

Where applicable, please mark the box(es) with the answer(s) that best fit(s) your programme with an X.

A BACKGROUND INFORMATION

1. Name of respondent (Optional)			
2. Name of the community music development programme of which you are the project leader (Optional)			
3. In what year was your programme established?			
4. How many learners currently receive music tuition in your programme?			
5a. Does your programme run under the auspices of an umbrella organisation?	Yes	No	I don't know
5b. If yes, please elaborate.			

B PROGRAMME CAPACITY AND SERVICE PROVISION

1. What are the challenges your programme has had to overcome in recent years?	Quantify the severity of the challenge by ranking it on a scale from 1 (somewhat challenging) to 5 (very challenging)				
	1	2	3	4	5
Teacher remuneration, turnover and morale					
Tuition quality control					
Securing funding					
Transport					
Safety and security					
Instrument procurement, maintenance and logistics					
Access to piano accompaniment					
Paying entry fees for festivals, eisteddfodau and external examinations					
Provision of additional feeding and/or clothing schemes					
Parental involvement and community support					
Securing and maintaining partnerships					
Measuring impact for reporting purposes					
Other (please specify)					

2 What are the greatest needs threatening the continuity of your programme right now?	
3. In your view, what must be done to overcome these obstacles to ensure the sustainability of your programme?	

4. Does your organisation have a written vision and mission statement?

Yes		Yes but it needs some revision		No		I don't know	
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5. Who takes responsibility for most of the management and planning aspects of your programme?

I do, as the project leader		A few staff members and/or a few parents.		A collective leadership team consisting of parents, teachers, and cultural partners.	
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6. What do you consider your main positive attributes as project leader that have contributed significantly to the longevity of your programme?

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7. To what extent have you managed to secure parental involvement?

We have had limited access in engaging parents.		A small but committed group of parents provide funding and/or volunteering.		Parents are active participants in and leaders of a variety of activities.	
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8. What measures, if any, have been put into place to steer your programme towards self-sufficiency?

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C HUMAN RESOURCES

1. How many music teachers do you have in your programme per category below?

Institutional staff members	Part-time, qualified music teachers	Part-time music teachers with no formal tertiary music qualification	University service-learning students	Peer-teaching students
2. How many full-time administrative/cleaning/ground staff do you have in your programme?				
3. What kind of professional development opportunities are provided for your staff members?				
4. How do you make use of volunteers in your programme?				

D INFRASTRUCTURE

1a. Does your programmes have its own venue with facilities to provide music teaching and learning?

Yes		No		1b. If yes, elaborate on the type of venue	
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2a. Does your programme have its own music instruments that are available for use by its learners?

Yes		No		2b. If yes, elaborate on the types of instruments	
2c. If yes, are these instruments made available for use free of charge?				Are these instruments rented out for a fee?	

3a. Has someone in your programme been trained to service and repair music instruments?

Yes		No		3b. If yes, please elaborate	
4. What specific safety and security measures do you have in place to safeguard your programme's physical assets, staff and learners?					
5. How are your learners transported to their music lessons, rehearsals and concerts?					
6. Which information and communications-related technologies do you use in your programme to enhance efficiency?					

E COLLABORATION, PARTNERSHIPS AND NETWORKING

1a. Is your programme currently involved in (a) collaborative partnership(s)?

Yes, we collaborate regularly with other programmes, organisations and institutions.	Yes, we collaborate occasionally on a few small projects.	No, but we are looking for ways to expand our collaborative relationships.	No, we do not collaborate.	
1b. If yes: Do you have signed agreements in place for achieving the mutually agreed-upon goals and outcomes of these collaborative partnerships?		Yes	No	I don't know
2. What are the main advantages in terms of human, financial and programmatic assets derived from these partnerships?				
3. What are the main costs to your organisation in terms of human, financial and programmatic expenses associated with these partnerships?				

4. Do your staff members engage in off-site networking?

No, our staff generally prefers to work in their classrooms on their own.	A few staff members are engaged in off-site learning and networking activities.	We frequently collaborate across classrooms, working with visiting artists and welcoming opportunities for off-site experience and networking.
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F FINANCIAL MANAGEMENT

Financial health

1. How would you describe your programme's financial situation?	In survival mode	Stable	Secure	Very sustainable
2. As the programme leader, do you focus on:	Short term day-to-day financial planning		Long-term financial planning	
3. In the past two years (2013-2014) has the annual income of your programme:	Grown	Shrunk	Stayed the same	
4. In the past two years (2013-2014) have the sources of your programme's income:	Diversified	Narrowed	Stayed the same	

5. How would you describe the income mix of your programme?

Totally dependent on funding.	Funding dominates, but earned income is increasing.	Funding is complemented with diversified income streams.	Solid diversified income streams comprise different types and sources which include earned income and the leveraging of our assets.
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6. What are the key sources of your programme's income? Please indicate in the appropriate column:

- What percentage of your total income is derived from each funding source. (The total for this column must add up to 100 %.)
- Whether the funding denotes a once off donation/grant or recurring funding.

Funding source	a. Percentage of income	b. Once off funding	Recurring funding
National government subsidies			
Local government subsidies			
NLDTF (Lotto) funding			
International foundation/trust grants			
National foundation/trust grants			
Business sponsorship			
Corporate social investment			
Private philanthropy			
Online crowdfunding			
Endowments			
Own earned income			
Other (please specify)			
Total	100%		

7. What means of own earned income does your programme have?

Tuition fees	Venue rental fees	Instrument rental fees	Performance fees	Concert ticket income	Advertising income
Other (please specify)					

8. Do you receive any of the following in-kind donations and pro bono services?

Transport assistance	Free examination entries	Learner support material (instruments, books stationary)	Food/clothing	Marketing assistance
ICT assistance	Administrative services	Legal services	Accounting services	No we do not
Other (please specify)				

9. Over the past two years has your programme's net worth (total assets minus total liabilities):

Grown		Shrunk		Stayed the same	
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10. What constitutes your highest monthly expenses?

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11. Over the past two years have your expenses grown and diversified?

Yes		No		I don't know	
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12. What percentage of your overall expenses constitutes your administrative expenses?

0-10%		11-20%		21-30%		31-40%		41-50%		More than 51%		I don't know	
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Accounting practices

13. Is your annual budget reviewed and approved by the board?

Yes		No		I don't know		We do not have a board	
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	Yes	No	Sometimes	I don't know
14. Is the budget reviewed regularly by management to track actual income and expenditure as part of the decision-making cycles?				
15. If there are any unexpected budget variances, are these variances appropriately and actively responded to?				
16. Does your programme have annual financial statements prepared and audited by an independent accountant?				
17. Do you prepare the following financial performance reports:	Yes	No	Sometimes	I don't know
17a. An annual balance sheet?				
17b. An annual income statement?				

17c. If yes, are these reports analysed by the board to inform strategic decision-making?

Yes		No		I don't know		We do not have a board	
-----	--	----	--	--------------	--	------------------------	--

18. How would you best describe your programme's cash flow?

Cash flow is problematic and regularly results in stress and difficulty paying accounts on time.	Occasional cash flow issues are weathered and responded to on a case by case basis.	Cash flow is managed appropriately through forward planning, projections and a line of credit as part of strategic management decision-making tools.
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	Yes	No	Sometimes	I don't know
19. Does your programme do monthly cash reconciliations?				
20. Does your programme have bookkeeping procedures in place to track periodic billing, follow-up and collect accounts to ensure that all income due is received in full and on time?				
21. Does your programme issue receipts for all monies received from grants, donations, gifts and other forms of income?				
22. Does your programme require two signatories or password holders to authorise payment instructions?				
23. Does your programme maintain a detailed asset register of all capital items?				
24. Does your programme have suitable insurance coverage which is reviewed regularly to ensure that appropriate levels and types of coverage are in place?				

Reserves		Yes	No	I don't know
25a. Do you have accessible reserve funds to deal with an immediate funding crisis?				
25b. If yes: is the reserve fund adequate for:	Less than one month's operating expenses.	Between one and three months' operating expenses.	Between four and twelve months' operating expenses?	

	Yes	No	I don't know
26. Do you have adequate reserves to deal with asset building such as procuring music instruments, sheet music, instrumental accessories, furniture and computers?			
27. Do you have adequate reserves to deal with programme innovation?			

G FUNDRAISING

Fundraising strategies

1. Who is responsible for the fundraising of your organisation?

I am, as the project leader		A dedicated in-house fundraiser		All the staff members		Parents	
Board member(s)		Our umbrella organisation		External professional fundraiser(s)		Other (please elaborate)	

2a. Do you have in place a formulated fundraising action plan, with specific diversified fundraising strategies to secure future funding?

Yes		No		I don't know	
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2b. If yes, please elaborate.

3a. Does your programme engage in in-depth research on funding options and potential sponsors?

Yes		No		I don't know	
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3b. If yes, please elaborate.

4. How would you describe your funding base?

It is dominated by non-recurrent short-term funding.		It is split between recurrent and non-recurrent funding sources.		We have a strong revenue base of recurrent funding.	
--	--	--	--	---	--

5. Do you recover operating costs such as administration and overhead costs from your funders?

Yes		No		I don't know	
-----	--	----	--	--------------	--

6a. Do you provide online giving options?

Yes		No		I don't know	
-----	--	----	--	--------------	--

6b. If yes, please elaborate.

Relationships with donors	Yes	No	Sometimes	I don't know
7. Do you regularly review written grant agreements to monitor compliance with the stated conditions?				
8. Do you submit narrative and financial reports on a timely basis to your donors?				

9. What is your average donor term?

10. Are your donors involved in the organisation in any other way than donating money?

11. How do you nurture your donors to maintain relationships with them?

12. How do you thank your donors?

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13. What do you do to rekindle relationships with lapsed donors?

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H MONITORING AND EVALUATION

1a. Do you keep accurate statistical records of the impact your programme makes?

Yes		No		Sometimes		I don't know	
1b. If yes, please elaborate.							

2. Describe the evaluation mechanisms used by your staff members to design improved activities aligned with your social impact goals.

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3. Describe the evaluation mechanisms used by your staff members to design improved activities aligned with your financial sustainability measures.

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4. Which mediums do you use to share your success stories with stakeholders?

Annual reports		Press releases		Newsletters		Letters		Website		Emails	
Social media		Other (please elaborate)									

Thank you for taking the time to complete this questionnaire. Your honest input is appreciated and will contribute significantly to the validity and reliability of this study. Should you like to receive feedback about the results, email me at arisavoges@gmail.com.

APPENDIX B: COVER LETTER



15 June 2015

Dear Prospective Respondent

Title: *Critical success factors enabling the financial sustainability of South African donor-funded community music development programmes.*

My name is Arisa Voges and I am doing research towards a PhD degree in Music at the University of the Free State. My supervisors are Prof Martina Viljoen (Odeion School of Music) and Dr Johan van Zyl (Business Management). I am inviting you to participate in an interdisciplinary research study entitled *Critical success factors enabling the financial sustainability of South African donor-funded community music development programmes*. The purpose of this research project is to identify the critical success factors which have impacted on the financial sustainability of our South African donor-funded community music development programmes (CMDPs) over the past few years. The aim is to provide financial sustainability guidelines to arts administrators and managers within the music education sector.

You have been selected because you are a project leader of a CMDP that was established prior to 2006. The study involves completing an electronic questionnaire with open-ended and closed questions relating to the following topics:

- PROGRAMME CAPACITY AND SERVICE PROVISION
- HUMAN RESOURCES
- INFRASTRUCTURE
- COLLABORATION, PARTNERSHIPS AND NETWORKING
- FINANCIAL MANAGEMENT (Financial health; Accounting practices; Reserves)
- FUNDRAISING (Fundraising strategies; Relationships with donors)
- MONITORING AND EVALUATION

If the CMDP of which you are the project leader is part of an umbrella organisation or institution, you will need to obtain written consent from your executive manager or principal to participate in this study. About 45 minutes of your time will be required to answer the questions. Participation in this study is voluntary. There is no financial reward or cost implication and there are no potential risks at stake for you, your CMDP or your organisation. Your answers will be given a pseudonym and you will be referred to in this way in the data and research reporting. Neither you nor your CMDP will be identifiable in the final research report. Hard copies of your answers will be stored in a locked cupboard at my house and electronic information will be stored on my personal password protected computer. For future research purposes data will be stored for a period of five years where after raw data will be shredded and electronic data will be permanently deleted from the hard drive of my personal computer.

Feedback procedures will entail presentations at workshops, seminars and conferences and publication in journals such as *Musicus* and *The Music Teacher* to disseminate information to music teachers and arts administrators. This study has received written approval from the Research Ethics Committee of the University of the Free State. A copy of the approval letter can be obtained if you so wish. Should you have concerns about the way in which the research is being conducted, you may contact Prof Martina Viljoen at viljoenm@ufs.ac.za, or 0825675695.

Thank you for taking time to read this information sheet. If you do decide to take part, please sign the following consent form and return the signed consent form together with the completed questionnaire to me at arisavoges@gmail.com. Should you require any further information or wish to be informed of the final research findings, please email me at the same address or phone me at 0832702983.

Thank you for your support.

Yours faithfully

Arisa Voges



CONSENT TO PARTICIPATE IN THIS STUDY (PROJECT LEADER)

Title: *Critical success factors enabling the financial sustainability of South African donor-funded community music development programmes.*

I, _____ (respondent's name) confirm that I have been informed about the nature, procedure, potential benefits and anticipated inconvenience of participating in this study. I have read and understand the background information provided in the information sheet and I am willing to participate. I understand that my participation is voluntary and that I am free to withdraw at any time without penalty.

I am aware that the findings of this study will be anonymously processed into a research report, journal publications and/or conference proceedings.

Participant Name & Surname..... (please print)

Participant Signature.....Date.....

CONSENT GRANTED BY EXECUTIVE MANAGER/PRINCIPAL TO PARTICIPATE IN THIS STUDY (Where applicable)

Title: *Critical success factors enabling the financial sustainability of South African donor-funded community music development programmes.*

Permission is hereby granted for _____ (respondent's name) to participate in this research study on behalf of _____ (name of umbrella organisation/institution).

I confirm that I have read and understand the background information provided in the information sheet. I am aware that the findings of this study will be anonymously processed into a research report, journal publications and/or conference proceedings.

Name & Surname..... (Please print)

Signature.....Date.....

APPENDIX C: INTERVIEW PROTOCOL

ELITE INTERVIEWS WITH CEOs OF ORGANISATIONS THAT RUN CMDPs

INTERVIEW PROTOCOL: Interviewer: Arisa Voges

Date:

Time of the interview:

Venue:

Interviewee:

Position of the interviewee:

Interview will be recorded.

1 A single main research question will be asked:

From a broad, overarching management perspective, what do you consider the critical success factors that are essential to ensure the financial sustainability of South African donor-funded community music development programmes into the future?

Gesien vanuit 'n breë, oorkoepelende bestuursoogpunt, wat beskou u as die kritiese suksesfaktore wat die finansiële volhoubaarheid van donor-befondsde musiekontwikkelingsprojekte in Suid-Afrika vorentoe gaan verseker?

The interview concluded at

Thank the interviewee for participating. Assure the interviewee that responses will remain confidential.