The History of Programme Evaluation in South Africa

by
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Declaration

I, the undersigned, hereby declare that the work contained in this thesis is my own original work and that I have not previously in its entirety or in part submitted it at any university for a degree.

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ABSTRACT

This study seeks to document the emergence of programme evaluation in South Africa. The value of the study lies in the fact that no extensive study on the history of programme evaluation in South Africa has been undertaken before. In order to locate the study within an international context, the study commences with a description of how programme evaluation developed as a sub discipline of the social sciences in other countries. In terms of the South African context, the NGO sector, public sector and professionalisation of programme evaluation is considered. Through this study, it is proposed that the emergence of programme evaluation in South Africa is directly linked to donor activities in the NPO sector. This leads to a discussion of the advancement of monitoring and evaluation in the public sector – specifically the role played by government in institutionalising monitoring and evaluation. Finally, the professionalisation of the evaluation field is also included.

The study commenced with a thorough document analysis to gather data on both the international context as well as the South African context. In terms of gathering data on South Africa, data on certain aspects of the emergence of programme evaluation was very limited. To augment the limited data on the local front, face to face and telephonic interviews were conducted. Through these conversations, valuable additional non-published resources and archaic documents were discovered and could be included in the study to produce a comprehensive picture of the emergence of programme evaluation in South Africa.

A number of salient points emerge from the thesis. Firstly, there are both similarities and differences between the United States and the UK when considering the emergence of programme evaluation internationally. Secondly, South Africa followed a different trajectory to the USA and UK, where programme evaluation originated within government structures and was consequently a top down occurrence. In South Africa, programme evaluation emerged through donor activity and therefore occurred from the bottom up. Thirdly, in comparison to the US and UK, the South African government did not initially play a significant role in the advancement of monitoring and evaluation (M&E). However, it is within this sector that M&E became institutionalised in South Africa. Finally, the professionalisation and development of programme evaluation in South Africa can be attributed to the first generation evaluators of the 1990s. It is the critical thinking and initiative taken by these individuals that stimulated the field.

It is hoped that this study will constitute only the first step into the documentation of programme evaluation's history in South Africa as there are many areas where further investigation is still required.

OPSOMMING

Hierdie studie ondersoek die opkoms van program evaluering in Suid-Afrika. Die waarde van die studie is gekoppel aan die feit dat daar nog nie vantevore so 'n uitgebreide studie rondom die geskiedenis van program evaluering onderneem is nie. Ten einde die studie binne 'n internasionale konteks te plaas, word 'n beskrywing gegee van hoe program evaluasie as 'n sub-dissipline van die sosiale wetenskappe in ander lande ontwikkel het. In terme van die plaaslike konteks word die NPO sektor, die publieke sektor en die professionalisering van program evaluering ondersoek. 'n Hipotese word voorgelê dat die opkoms van program evaluering in Suid-Afrika direk verwant hou met internasionale skenkerorganisasies se aktiwiteite in Suid-Afrika. Daarna volg 'n bespreking van die groei van monitering en evaluering in die publieke sektor. Laastens word die professionalisering van die evaluasie domein ook bespreek.

Die beginpunt van die studie was 'n deeglike dokumentêre analise ten einde inligting in te samel oor die internasionale sowel as plaaslike konteks. In die geval van Suid-Afrika was die data baie beperk in sommige areas, veral rondom die geskiedenis van program evaluering. Ten einde die data aan te vul, is telefoniese en persoonlike onderhoude gevoer met sleutelpersone in die betrokke sektore. Deur die gesprekke is toegang verkry tot waardevolle addisionele ongepubliseerde bronne en historiese dokumente. Die ontdekking en insluiting van die dokumente verseker dat 'n volledige beeld geskets word rondom die opkoms van program evaluering in Suid-Afrika.

'n Aantal betekenisvolle bevindings volg vanuit die studie. Eerstens, daar is beide ooreenkomste en verskille in die manier wat program evaluering in Amerika en die Verenigde Koninkryk tot stand gekom het. Tweedens, Suid-Afrika volg 'n verskillende perogatief in vergelyking met Amerika en die Verenigde Koninkryk waar program evaluering sy ontstaan binne die regering gehad het en ook deur die regering "afgedwing is". In Suid-Afrika, kan program evaluering se opkoms in teenstelling daarmee direk gekoppel word aan die betrokkenheid van 'n skenker organisasie. Derdens, in vergelyking met Amerika en die Verenigde Koninkryk het die Suid-Afrikaanse regering aanvanklik nie 'n betekenisvolle rol gespeel in die vooruitgang van monitering en evaluering nie. Dit is egter noemenswaardig dat die publieke sektor die institusionalisering van monitering en evaluering teweegebring het. Laastens, kan die professionalisering en groei van program evaluering in Suid-Afrika grootliks toegeskryf word aan die bydrae van die eerste generasie evalueerders van die 1990s. Dit is grootliks die persone se bydrae in die vorme van kritiese denke en inisiatief wat die veld gestimuleer en bevorder het. Dit is my hoop dat hierdie studie gevolg sal word deur die voortdurende dokumentasie van die geskiedenis en verloop van program evaluering in Suid-Afrika.

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3IE	International Initiative for Impact Evaluation
5-YSLA	5-Year Local Strategic Agenda
AAPSOCs	Association of African Public Service Commission and Other service Commissions
ABET	Adult Basic Education and Training
AC	Audit Commission
ACEHSA	Accrediting Commission on Education for Health Services Administration
AEA	American Evaluation Association
AFREA	African Evaluation Association
AIDS	Acquired Immunodeficiency Syndrome
ANC	African National Congress
ASEASA	Association for the Study of Evaluation and Assessment in Southern Africa
BMZ	Bundesministerium Für Wirtschaftliche Zusammenarbeit (German Federal Ministry for Economic Cooperation and Development)
BoB	Bureau of Budget
CASE	Community Agency for Social Enquiry
CBDP	Community Based Development Programme
CBO	Community Based Organisations
CCT	Compulsory competitive tendering
CDWs	Community development workers
CEPD	Centre for Education Policy Development
CEPH	Council on Education for Public Health
CIDA	Canadian International Development Agency ·
CIPP	Context, input, process and product
CODESA	Conference on a Democratic South Africa
COGTA	Department of Cooperative Governance and Traditional Affairs
CPRS	Central Policy Review Staff
CREST	Centre for Research on Science and Technology
CSI	Corporate Social Investment
CSR	Comprehensive Spending Review
DAC	Development Assistance Committee
DANIDA	Danish International Development Agency
DBSA	Development Bank of South Africa
DEM	German currency
DFID	UK Department for International Development
DG	Director General

DOE	Department of Education
DoH	Department of Health
DPSA	Department of Public Service Administration
DSD	Department of Social Development
ECD	Early Childhood Development
EDS SA	Electronic Data Systems (now called HP Enterprise Services)
EEE	Economy, Efficiency and Effectiveness
EN	Evaluation Network
ENE	Estimates of National Expenditure
EPRD	European Programme for Reconstruction and Development
ERIP	Education, Resource and Information Project
ERS	Evaluation Research Society
ESAT	Education Support and Training
EU	European Union
FMI	Financial Management Initiative
FOSAD	Forum for South African Directors-General
FMPI	Framework for Managing Programme Performance Information
GAO	General Accounting Office
GEAR	Growth, Employment and Redistribution
GPRA	Government Performance and Results Act
GRI	Global Reporting Initiative
GTZ	Deutsche Gesellschaft für Technische Zusammenarbeit (German Technical Cooperation
GWM&E	Government wide Monitoring and Evaluation
HAP	Human Awareness Programme
HSRC	Human Resource Science Council
IBM	International Business Machines
IDC	International Development Cooperation
IDEAS	International Development Evaluation Association
IDP	Integrated Development Planning
IDT	Independent Development Trust
IMF	International Monetary Fund
IOCE	International Organisation for Cooperation in Evaluation
IPDET	International Program for Development Evaluation Training
ITEC	Independent Training and Educational Centre
INGOs	International Non-government organisations
INSET	In-service teacher training and development
IPFs	International private and family foundations

IUCN	International Union for Conservation of Nature
JET	Joint Education Trust
JICA	International Co-Operation Agency of the Japanese Government
JMU	Joint Management Unit
JSE	Johannesburg Stock Exchange
LFA	Logical Framework Approach
MBO	Management by Objectives
M&E	Monitoring and Evaluation
MDGs	Millennium Development Goals
MER	Methodology and Evaluation Research
MFMA	Municipal Finance Management Act
MFR	Management for Results
MTEF	Medium term Expenditure Framework
MTSF	Medium term Strategic Framework
NAO	National Audit Office
NDA	National Development Agency
NGO	Non-governmental organisation
NICE	National Institute for Clinical Evidence
NONIE	Networks on Impact Evaluation
NPF	National Planning Framework
NPM	New Public Management
NPOs	Non Profit Organisations
NIDA	National Institute on Drug Abuse
NQF	National Qualification Framework
ODA	Official Development Assistance
OECD	Organisation for European Economic Co-operation
OJP	Office of Justice Programmes
OMB	Office of Management and Budget
OPSC	Office of the Public Service Commission
PAC	Public Accounts Committee
PAR	Policy Analysis Review
PCAS	Policy Coordination and Advisory Service
PEMD	Programme Evaluation and Methodology Division
PES	Public Expenditure Survey
PESC	Public Expenditure Survey Committee
PFMA	Public Finance Management Act
PMDS	Performance Management and Development System
PME	Performance Monitoring and Evaluation

PMETT	Provincial Planning, Monitoring and Evaluation Technical Task team
PoA	Programme of Action
PODSE	Programme Operations and Delivery of Service Examination
PPBS	Planning, Programming and Budgeting Systems
PPSEI	Programme for Public Sector Evaluation International
PSAs	Public Service Agreements
PSC	Public Service Commission
PWMES	Provincial Wide Monitoring and Evaluation System
RBM	Results Based Management
RDP	Reconstruction and Development Programme
RSA	Republic Of South Africa
SAENet	South African Evaluation Network
SAMDI	South African Management Development Institute
SAMEA	South African Monitoring and Evaluation Association
SAQA	South African Qualification Authority
SASQAF	South African Statistical Quality Assessment Framework
SDIP	Service Delivery Improvement Plans
SIDA	Swedish International Development Agency
SRI	Socially Responsible Investment
StatsSA	Statistical Agency of South Africa
SONA	State of the Nation Address
SU	Stellenbosch University
TOR	Terms of Reference
TNDT	Transitional National Development Trust
UDF	United Democratic Front
UK	United Kingdom
UMC	University of Michigan
UNDP	United Nations Development Programme
UCT	University of Cape Town
UN	United Nations
UNICEF	United Nations Children's Fund
UNIFEM	United Nations Development Fund for Women
US	United States
USA	United States America
USAID	United States Agency for International Development
VFM	Value for Money
WITS	University of the Witwatersrand
ZOPP	Zielorientierte Projektplanung

ZZB   Zero-based Budgeting

CHAPTER 1: INTRODUCTION AND CONTEXT

1.1 The motivation behind this study

The decision to embark on this study can be traced back to 2006. At that stage I was enrolled as a student at Stellenbosch University in the Postgraduate Monitoring and Evaluation Diploma and knew very little of what "Monitoring and Evaluation" entailed. I remember coming across this notice on page six of our first module class notes:

> **NOTE: We would like to invite every one of our students to contribute to expanding on this very brief history of programme evaluation in Africa and South Africa. If you have any additional information and/or documentation about evaluation research in your region/domain of work, please send this to me so that we can build a repository of historical resources on the history of programme evaluation on the African continent.**

This notice was the conclusion of a brief history of M&E in America and South Africa and acted as an introduction to the rest of the Postgraduate M&E Diploma course material. The brief account of programme evaluation's history in South Africa' was limited to the author's own recollections and involvement in the field at that stage. My initial motivation was therefore to make a contribution to the field of programme evaluation and to provide a base from which further studies could be conducted.

As this study progressed I realised that the impetus for the study stretched beyond a mere documentation of history. The timing in writing this thesis could not have been more ideal as this thesis's development coincided with the heightened attention afforded to the field of M&E in recent years. Although my interest was initially sparked by a need to fill a "gap", I was further motivated by the exponential growth I was witnessing in the field. I have watched with great interest the increase in M&E training programmes being offered, the number of M&E consultancies being established, the number of M&E positions being advertised and the general engagement taking place around M&E through the South African Monitoring and Evaluation Association's list serv. All these developments provided further insights into this thesis. This study brought about a greater awareness around government's uptake of monitoring and evaluation in their quest for greater accountability. The pressure exerted by citizens for improved service delivery is very much reflected in the media, as is government's reaction to this pressure. This study therefore does not only carry historical value but is very much relevant to the South African context today.

Over the course of this research I became aware of other scholars (Dr Mark Abrahams) and PhD students' (Mr Indran Naidoo and Dr Donna Podems) work on the topic. The two PhD studies[1] covered the history of M&E (in the case of Mr Indran Naidoo) and programme evaluation (in the case of Dr Donna Podems) as an introduction to the rest of their dissertation. The most recent study on this topic by Dr Mark Abrahams could unfortunately not be accessed as the article was in the middle of a peer review process. I was therefore not able to integrate Dr Abraham's account of the South African history into this thesis.

As a first step I will present the parameters of this study before setting out the research questions, methodology and scope of the thesis.

1.2. The parameters of this study

The focus of this study will be on Programme evaluation as a sub discipline to the field of the social sciences. The reader should keep in mind that the applied and transdisciplinary nature of programme evaluation allows for its application in all fields as there is a universal need to assess the effectiveness of programmes. It should therefore be kept in mind that the introduction and application of programme evaluation in the fields of health and agriculture, for example follows a very different history and trajectory than the field of social science. Hence, this study narrows its scope to consider the origin and utilisation of programme evaluation in the social science field. Although the concepts "monitoring" and "evaluation" are often used interchangeably, these two terms constitute in fact two very different activities. Programme monitoring is a routine activity whereas programme evaluation on the other hand can be a once off assessment or form part of a comprehensive evaluation.

Our focus throughout this thesis will be specifically on programme evaluation. Our understanding of this concept throughout this thesis is in line with the commonly accepted definition provided by Rossi, Lipsey and Freeman (2004:16):

> Program Evaluation is the use of social research methods to systematically investigate the effectiveness of social intervention programs in ways that are adapted to their political and organisational environments and are designed to inform social action to improve social conditions

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[1]Mr Indran Naidoo's studies is nearing its completion and Dr Donna Podems' dissertation was completed in 2004

1.3. Research questions

The thesis firstly aims to document the history of programme evaluation in South Africa and secondly sets out to determine where the country currently stands in terms of programme evaluation. No study on the history of programme evaluation can be undertaken without a consideration of the USA because of its pioneering role in establishing and advancing the field. The UK's history is included not only because of its similarities but also differences in comparison to the USA's history. South Africa's history provides an alternative perspective of the very different ways in which programme evaluation emerged.

The research questions have been framed as follows:

- Who or what, was the major driver of programme evaluation in the UK and the United States?
- Who are what, was the major driver of programme evaluation in South Africa? (Chapter 3)
- What role does the South African public sector play towards the advancement of programme evaluation? (Chapter 4)
- Where does South Africa stand in terms of the professionalisation of the field when considering the training of evaluators, the establishment of a monitoring and evaluation association and the development of evaluation standards? (Chapter 5)

Table 1.1 summarises the key events in the History of Programme Evaluation in the NPO sector, public sector and professionalisation of the field as will be discussed in Chapter 3, 4 and 5

Table 1.1: Timeline of programme evaluation activities in South Africa

DATE	NPO Sector	Public Sector	Academic and Professionalisation of field
1960s	Support from Germany commences		
1970s	Support from Denmark, Norway and Swedish commences		
1980s	Support from International Foundations commences		First Programme Evaluation course is introduced by WITS School of Education as part of the Masters programme
1983-1987			A small number of programme evaluation studies are undertaken by mainly consultants and academics. However, it is debatable whether some of these earlier studies were in fact programme evaluation studies
1986	Support from USA commences		
1987	Support from Japan commences		
Late 1980s	Introduction of Logframe approach and ZOPP by GTZ		
1990		The National Party in South Africa establishes the Independent Development Trust	Prof Mark Lipsey is invited for the first time to South Africa by Prof Johann Mouton
		Release of Nelson Mandela from prison	
1993			Dr David Fetterman presents a seminar, initiated by Prof Johann Mouton and Prof Johann Louw. This marks the first attempt to establish an Evaluation Association

DATE	NPO Sector	Public Sector	Academic and Professionalisation of field
			Prof Carol Weiss visits South Africa on invitation of Dr Jane Hofmeyr
1994	First democratic elections in South Africa. This leads to many more countries channeling ODA funding to SA		Prof Mark Lipsey once again returns to South Africa under the initiative of Prof Johann Louw and Prof Johann Mouton
Mid 1990s	Most donor agencies start enforcing the logical framework approach and other variants of this model		Prof Charles Potter introduces programme evaluation to the Continuing Education Unit at WITS
1995	NPO sector becomes more organised through the establishment of South African National NGO Coalition	Department of Land Affair establishes an M&E Unit, headed by Mr Indran Naidoo	Joint Education Trust conducts an audit of evaluations in the educational field
			A small group of South African evaluators contribute to a special edition in the American Journal: Evaluation and Program Planning
1996		The PSC is created and is tasked to promote excellence in governance of the public sector	First Evaluation Conference takes place. Organised by Joint Education Trust titled *Quality and Validity*
			University of Stellenbosch under Prof Johann Mouton's leadership commences with the Masters and Doctoral Programme in Social Science Methods
1997	NPO Act comes into effect	Various government departments undertake programme evaluation studies as per their own initiative. The details of these studies are not documented	
1998	National Development Agency was established		Establishment of first dedicated M&E Consultancy: Strategy & Tactics by Dr David Everatt
			Evaluation department from World Bank and African Development Bank organises a Seminar on Evaluation Capacity Development in Africa. Two delegates from SA attend this event

DATE	NPO Sector	Public Sector	Academic and Professionalisation of field
1999			First AFREA conference takes place. Handful of South Africans attend
End 1990s	Programme Evaluation starts gaining ground and is increasingly undertaken to meet donor requirements		
2000s		Various government agencies start undertaking evaluation studies. In particular the PSC continuously conducts programme evaluation studies to enhance public sector governance. Office of Premiers (except Northern Cape) establishes M&E Forums	Various consultancies start advertising their services and informal training opportunities through vehicles such as the SAMEA ListServ. Discussions around evaluation standards take place. PALAMA develops training programmes for Government M&E officials
2000			South African Development bank hosts a follow up to the 1998 World Bank event in Johannesburg. South African participants consisted mainly of government M&E practitioners
2001		National Planning Framework is released	
2002			Prof Michael Patton visits South Africa under the initiative of Dr Zenda Ofir
			Second AFREA conference takes place. Small group of South Africans attend
2004			Third AFREA conference is hosted in Cape Town. This event marks the beginning of discussions around a local evaluation association
2005		First discussions around a GWM&E framework commence. DPSA initially took the lead	SAMEA is established
2006			First dedicated M&E Diploma is launched by University of Stellenbosch under initiative of Prof Johann Mouton
2007		The development of GWM&E initiative is transferred to	First SAMEA conference event is hosted in Jhb.

DATE	NPO Sector	Public Sector	Academic and Professionalisation of field
		the PCAS Unit in the Presidency	International evaluation expert Dr Patricia Rogers delivered a keynote address at this event
		Two frameworks that form part of the GWM&E initiative (FMPI and SASQAF) are issued	Fourth AFREA conference takes place
			UCT introduces a Master programme in Monitoring and Programme Evaluation. Prof Joha Louw-Potgieter and Prof Johann Louw are involved in this programme
			Prof Stewart Donaldson and Assoc Prof Christine Christie from the School of Behavioral and Organizational Science from Claremont Graduate University visit South Africa on invitation from Prof Joha Louw-Potgieter and Prof Johann Louw
2009		The creation of a dedicated Performance Monitoring and Evaluation Ministry is announced by President Jacob Zuma	Second SAMEA conference takes place in Johannesburg. Overseas experts Prof Jim Rugh and Prof Howard White contribute to this event
			Fifth AFREA conference takes place
2010		National Planning Commission under Trevor Manual's leadership is established	WITS Programme Evaluation Group under the leadership of Prof Charles Potter launches the virtual conference on Methodology
		The Outcomes Approach document is released further establishing Programme Evaluation's place in public sector	
2011			Raymond Mhlaba Institute of Public Administration and Leadership plans to launch a postgraduate M&E diploma

1.4. Research methodology

The main methodologies included a desktop review, literature review and semi-structured key informant interviews. Finding resources for chapter one was not problematic as the history of programme evaluation in US and UK has been well documented.

The methodology followed for the South African part differed somewhat. Given the very limited resources available we commenced with desktop research and literature review, developed an initial hypothesis based on the available documentation, conducted a few key informant interviews to test the hypothesis and then conducted a further literature review to strengthen the hypothesis. It is fortunate that we were able to develop the hypothesis quite early on in the study and that this hypothesis was confirmed through the key informant interviews. Through the snowballing strategy we were able to track other key informants and gain access to literature and sources that were not commonly known or available. A total of 17 interviews were conducted, 16 of them by myself and one by my supervisor. Of this 16, one was with an international evaluation expert and the current President of the American Evaluation Association (Dr Bill Trochim), three with individuals who have a thorough understanding of the NGO sector (Prof. Mark Swilling, Ms. Saguna Gordhan, Dr. David Everatt), three with prominent high-placed government officials (Ms. Ronette Engela, Mr. Indran Naidoo and Ms. Candice Morkel), seven with practicing evaluators (Ms. Benita van Wyk, Dr. Zenda Ofir, Ms. Jennifer Bisgard, Dr Nick Taylor, Mr. Eric Schollar, Prof. Tony Morphet, Dr. Jane Hofmeyr), the Director of SAMEA board (Dr. Fanie Cloete) and four with academics that are also seasoned evaluators (Prof. Johann Mouton, Prof. Johann Louw, Prof. Ray Basson and Prof. Charles Potter).

1.5. Structure of the thesis

Although the exact birth of programme evaluation as a distinct scientific or professional endeavour is not easy to trace, it is commonly agreed that systematic programme evaluation had its origin in the United States after the Second World War. The pioneering work done in this country to advance the field warrants its inclusion in this thesis. Chapter two however not only considers the history of programme evaluation in the US but also the UK for the purpose of providing an alternative historical perspective and to draw comparisons with the US case study.

Chapter 3 commences with the formulation of a hypothesis of programme evaluation's entry into South Africa. In this chapter we show that the emergence of programme evaluation in South Africa can be directly linked to donors' entry to South Africa. Post the first democratic election, country borders opened up resulting in donor funding flowing more freely to government coffers. Although government ensures that reliance on donor funding do not escalate beyond certain constraints, the strings attached in terms of greater accountability could not be escaped. It will emerge from this

chapter that donors played a vital role in establishing the field locally because of the enforcement of certain tools (such as the logical framework) and practices (for example conducting formative and summative programme evaluation studies). In this chapter we will also briefly refer to the role played by the private sector and their uptake of programme evaluation.

In Chapter 4 we consider the emergence of programme evaluation in the public sector. It is apparent from the desktop research and literature review that government only in the past five years started to afford prominence to monitoring and evaluation activities. More accurately, government directed their efforts to the monitoring function first and only recently has the notion of evaluation been picked up again. A discussion of the government wide monitoring and evaluation framework and the implementing government agencies' role in the execution of this framework will take up the greatest part of this chapter. Brief consideration is given to the stance of M&E in certain national departments and the level of M&E reporting in six provinces.

In Chapter 5 we investigate the professionalisation of the field locally according to three characteristics: the training opportunities available to prospective evaluators, the establishment of a local monitoring and evaluation association and the development of evaluation standards. In order to document the progression in the field we commence this chapter with a discussion of the first wave of evaluators and how their interest in programme evaluation came about. Their practice is furthermore reflected on in terms of the strong preference initially afforded toward qualitative designs as opposed to quantitative designs. A major part of this chapter is devoted to the ways in which indigenous M&E capacity is currently being expanded and the way in which higher education institutions and consultancy firms have come on board to address the lack of skills in this field. The establishment of the South African Monitoring and Evaluation Association has been another milestone in the growth of the field locally and their activities and contribution to the advancement of the field are also included.

In the final chapter we consider the overarching themes that emerged from the four chapters and conclude with the most significant findings.

CHAPTER 2: THE EMERGENCE OF PROGRAMME EVALUATION INTERNATIONALLY

2.1 Introduction

It is not easy to pinpoint the start of programme evaluation as suggested by the variety of historical accounts. According to Bowman (as cited in Shadish, Leviton & Cook,1991) the notion of "planful social evaluation" can be dated back to as early as 2200 B.C. with personnel selection in China. Rossi and Freeman (2004) as cited in Babbie & Mouton (2001) state that programme evaluation-like activities were already evident in the eighteenth century in the fields of education and public health. Potter and Kruger (2001), recall the work of Ralph Tyler as being the catalyst in establishing evaluation as a "distinct" field. Tyler and his colleagues were the first to suggest that programmes need to be evaluated in relation to the achievement of specific objectives (Tyler as cited in Seedat et al., 2001).

Most scholars' documentation of programme evaluation's history draws the link to the Second World War when the US federal government's vast expenditure on the social sphere required a more systematic and rigorous review of spending. This resulted in the emergence of the field of programme evaluation. By the time programme evaluation reached South Africa, scholars in the United States had already been debating programme evaluation's legitimacy as a discipline, conceptualised the different training options and delivered a multitude of theorists and evaluation paradigms.

This chapter will show that the emergence of this field in the US and UK was directly tied to the fiscal, political and economical policies of the times. The government in each case, through various initiatives and "beliefs", greatly influenced the growth but also the decline in the "popularity" of programme evaluation over the decades.

Despite the similarities between these two countries, some differences will also be highlighted in order to illustrate why programme evaluation escalated at a much more rapid pace in the United States compared to the UK. The reasons for this more rapid escalation in the US pertain to the impetus for programme evaluation's introduction, the support offered by an established social science discipline, the fiscal conditions and investment into programme evaluation as well as the role played by the constitutional arm of government. Programme evaluation in the 1960s in the US was very much linked to planning and programming undertaken by the programme administrator, but towards the late 1970s and 1980s (and this applies to the UK as well), programme evaluation became linked to policy-making and the budgetary process (Derlien, 1990). In the UK, it will be shown that support for programme evaluation in central government came about primarily because

of difficult fiscal conditions. Reforms from various government administrations were undertaken to rationalise resource allocation, leading to a much greater interest in the new managerialism. It is not surprising that auditors and finance ministers set the tone as far as evaluation studies were concerned.

Another "intellectual current" (Rist & Paliokas, 2002) that assisted in institutionalising programme evaluation much faster in the US was the strong foundation of applied social sciences that came about post World War II. It was in particular the development of strategies such as survey research and large scale statistical analysis that were used to better understand the population (Derlien, 1990). On the constitutional side, the relationship between the legislative and executive branch came to play a huge role in the growth of programme evaluation. This is particularly true in the case of the United States where the Congress, through the expansion of the General Accounting Office's activities, had strengthened the evaluation system.

The growth of this field in the UK is not nearly at the level of the US. One reason for this is the substantially smaller financial resources expended on this function in comparison to a country such as the US. A direct outflow of this has been the variance in the US and UK's contributions towards evaluation theories and evaluation paradigms that emerged over the years. In exploring evaluation theory for the US, the work of six theorists that cover both the qualitative and quantitative paradigms is included. In the case of the UK, a discussion on the Realistic Evaluation Theory is included.

Given the public sector focus of this chapter it is fitting to introduce the doctrinal beliefs of the New Public Management movement here. The chapter will conclude with a discussion of this movement as it became the preferred intellectual framework in the public sphere towards the early 1990s. The nature of this movement was a major legitimising factor for monitoring and evaluation and has thus strengthened the role it has come to play in the public sector over the past three decades. This theory or approach is concerned with reinstating the citizen's confidence in the ill-performing public sector and has reinforced notions such as effectiveness, efficiency and accountability – which is precisely what programme evaluation is all about.

2.2. Programme Evaluation in the United States

2.2.1. The 1960s-1980s: the boom in programme evaluation

Activities resembling programme evaluation had been evident for centuries before "modern" programme evaluation emerged in the 1960s. During the 19th century, studies were undertaken by government-appointed commissions to measure initiatives in the educational, law and health

sectors. Their US counterparts – presidential commissions – examined evidence in an effort to judge various kinds of programmes. Inspectorates in Britain also came to the scene in this century. These inspectorates would typically conduct site visits and submit reports to report their findings. In the United States a system of regulations developed by the Army Ordnance Department is recorded as one of the first formal evaluation activities and took place in 1815 (Rossi, Lipsey & Freeman, 2004). The formalisation of school performance occurred for the first time in 1845 in Boston, followed by the first formal educational programme evaluation study by Joseph Rice between 1887 and 1898 on the value of drills in spelling instruction (Madaus & Stufflebeam, 2000). The aforementioned preceded the seminal work of Frederick Taylor by at least a decade. His main contribution was foremost in the development of systematic, standardised tests that ultimately improved district level performance.

During the 1930s a change occurred in the public administration sphere. Rossi, Lipsey and Freeman (2004:11) refer to this as a time when the "...responsibility for the nation's social and environmental conditions and the quality of life of its citizens" transferred from individuals and voluntary organisations to government bodies. Because federal government remained quite small up to the 1930s, very little need existed for social information - investment into social science research at that stage was estimated to be between $40 and $50 million (Rossi et al. 2004:11). The period between 1947 and 1957 was a time of industrialisation and euphoria in terms of resource expenditure. Evaluation activities at that stage were focused on improving standardised testing which led to the establishment of the Educational Testing Service in 1947 (Madaus & Stufflebeam, 2000). Simultaneously, the experimental design theory was extended and ways and means were investigated to better apply this design in practice. It is interesting to note that up to this stage programme evaluation activities were foremost undertaken at local agency level. Although the federal government was increasingly taking on responsibility for Human Service, it was not yet engaging with programme evaluation.

Scholars who have written about the history of programme evaluation in the USA agree that the most significant trigger for the emergence of this field occurred during the post second World War phase in the 1960s when the US federal government declared war of another nature - the war against poverty. This social war marked a drastic escalation in social programme funding to combat the negative effects of poverty. Consequently, funds for social welfare problems almost doubled during this time and, concomitantly, the need to have these programmes assessed (and documented) in a more systematic manner emerged. The second trigger and, perhaps taking a more supportive role, was the strong base of applied social scientists that existed in the US. The history of social sciences in the US has strong ties with Germany. In fact the first cadre of social scientists (1820-1920) was trained in Germany. This led to the adoption of the German graduate school as a model by many US Universities as well as a strong reliance on German theories of

social change (House, 1993). The first formal entity to be established in the social science discipline was the American Social Science Association which came about in 1865 (House, 1993).

Legislative efforts that contributed to the persistence of programme evaluation included the Sunset Legislation which was introduced in 1976 (Adams & Sherman, as cited in Derlien, 1990). The Sunset Legislation stipulated that regulatory agencies be reviewed every six years to determine which agencies would be spared from automatic termination. The legislation included a set of criteria against which organisations/ agencies would be judged. This led to agencies affording more importance to evaluating the attainment of their own goals in terms of legislation (Hitt, Middlemist & Greer, 1977).

Two government agencies in particular took the lead in conducting evaluations at federal government level during this time. The General Accounting Office (GAO) and Bureau of the Budget (BoB) were both established in 1921 by means of the Budget and Accounting Act of 1921. The discussion below will show the link between the current comptroller[2] (in the case of GAO) and director (in the case of BoB), the focus taken at the time and the types of employees recruited. The different heads and their field of expertise for both these agencies have been plotted over time and are shown in Figure 1:

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[2] A Comptroller is a person who supervises the quality of accounting and financial reporting of an organisation. Source: http://en.wikipedia.org/wiki/Comptroller

Figure 2.1: Breakdown of the GAO and OMB leaders over time
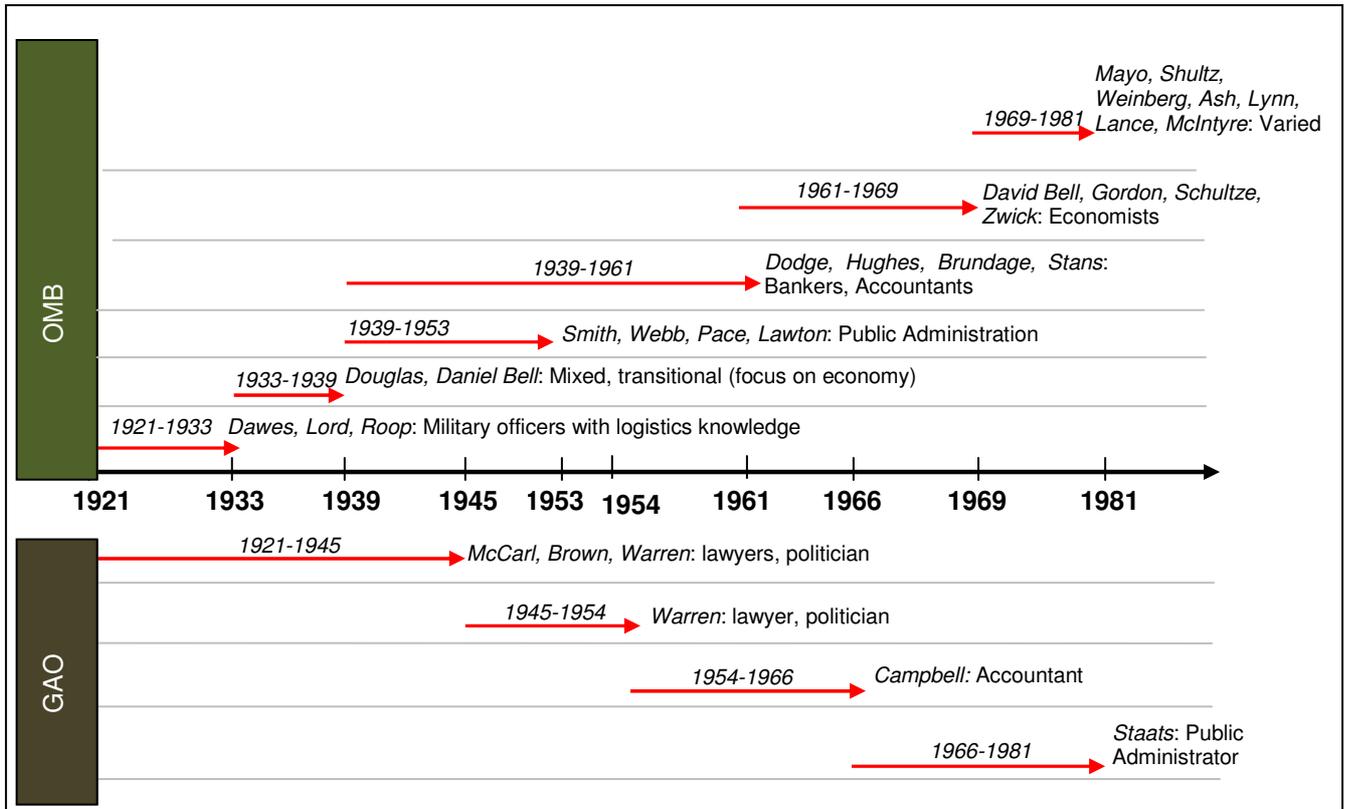
Source: Mosher: 1984

2.2.1.1. General Accounting Office (GAO)

The bulk of the GAO's work consisted of checking and reviewing the accounts of federal disbursing officers and all the supporting documents attached to these accounts. The work conducted by GAO not only found application in the federal government but shaped auditing practices in both the greater public and private sectors (Rist, 1987). For the first few decades of GAO's existence federal departments conducted their own studies into the effectiveness of their programmes. Congress, not wanting to rely solely on the executive branches' results, required, through the Economic Opportunity Act of 1967, that the GAO extends its reach to also assess programmes (Derlien,1990). The Act led to a dramatic shift in the GAO's activities from oversight of all financial transactions and conducting centralised voucher audits to a large research establishment that reports on the effectiveness of government spending (internally referred to as programme results audits).

The focus on accountancy persisted for more than a decade. The two comptroller generals of the mid 1940s to the mid 1960s - Lindsay Warren and Joseph Campbell - focused on accountancy and mainly employed accountancy college graduates and experienced accountants from the

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private sector (Mosher, 1984). Between 1969 and 1988, it is estimated that congressional requests for audits rose from 10% to over 80% (Melkers & Roessner, 1997) and was often undertaken with the assistance of consultants and contracts to private firms (Mosher, 1984). Towards the end of the 1980s it is estimated that the GAO staff complement came to 5000 and conducted approximately 1050 studies at any given time; of which these, audits would amount to a few hundred (Derlien, 1990). The GAO's activities were split equally between providing congressional support (Rist, 1987) and conducting independent evaluations at federal government level.

The increased undertaking of programme evaluation activities came about, firstly, because of the support received from various legislations such as the Economic Act and The Congressional Budget and Impoundment Control Act and secondly, the appointment of Elmer Staats to the GAO in 1966 (Rourke, 1978). In terms of legislation, various members of Congress voiced the need for "informational independence" (Rourke, 1978) and particularly the need to justify the ever increasing expenditure appropriated to the social welfare system. The Congressional Budget and Impoundment Control Act in 1968 further afforded the comptroller added responsibilities such as developing evaluation methods, setting up standardised budgetary and fiscal information systems and creating standard terminology (Mosher, 1984). Elmer Staats who was formerly employed by the Bureau of the Budget emphasised these new types of activities to the GAO and made some key appointments to strengthen the focus on programme evaluation. Staff entry requirements shifted from traditional accounting disciplines to include engineering, economics, mathematics and systems analysis (Mosher, 1984). The growth in this field led to the establishment of the Institute for Programme Evaluation (later renamed to the Programme Evaluation and Methodology Division). Its location within the greater GAO is described below.

The GAO's headquarters has four programming divisions. These four divisions mirror the structure of the executive branch of government. One of these divisions, the National Security and International Affairs Division, oversees the activities of the Departments of Defense and State. The other three divisions within this stream are referred to as Technical Divisions and encompass Accounting and Financial Systems, Information and Computer Systems and the third, Programme Effectiveness. It is within this latter division that the Programme Evaluation and Methodology division (PEMD) resides and also where the highest number of social scientists works (Rist, 1987). The mandate of the PEMD was the development and dissemination of programme evaluation methods for federal government (Grasso, 1996). This division developed a number of evaluation approaches and tools to formalise practice – one being the Programme Operations and Delivery of Service Examination (PODSE). This approach provides mainly descriptive (implementation) information that addresses specific evaluation questions (Rist, 1987). Another such tool was the "Guidelines for model evaluation" which assist the decision-maker in reaching a conclusion around

a model's results. Documents such as these were developed by GAO analysts and are based on their field experience (Gass & Thompson, 1980).

Some of the studies undertaken during these times include: the effectiveness of the food stamp programme; investigating problems of nursing homes; evaluating the war against organised crime; establishing the fiscal future of New York City; and the usefulness of rural post offices, to name a few (Mosher, 1984). A search on Google Scholar identified some specific examples of studies conducted by this division:

- *Intermediate Sanctions (1990):* The study aimed to determine if intermediate sanction programmes affect prison crowding, represent a cost-saving alternative to incarceration, and effectively control crime.

- *Intensive probation supervision (1993)*: An evaluation was conducted on the impact of the Arizona Intensive Probation Supervision (IPS) programme as it has functioned in the two largest counties in the State.

- *Drug Abuse Research (1991)*: The study looked at two agencies supporting drug abuse research, the National Institute on Drug Abuse (NIDA) and components of the U.S. Department of Justice's Office of Justice Programmes (OJP). Three major questions were examined: how trends in funding for drug abuse research compare to other trends in Federal research support; trends in funding drug abuse research from 1973 to 1990, especially in the study of causes, prevention, and treatment; and what research is needed to understand the causes, prevention, and treatment of drug abuse

- *Children and Youths (1989)*: This study estimates the number of children and youths 16 years old and younger who are literally homeless and precariously housed

- *Hispanics' Schooling (1994)*: This study examined the nature and extent of the school dropout problem among Hispanics, which Hispanic students are most at risk of dropping out, and the barriers Hispanic dropouts face in resuming their high school education

- *AIDS Forecasting (1989)*: This analysis of 13 national forecasts of the cumulative number of AIDS cases in the United States through the end of 1991 found that the forecasts understate the extent of the epidemic, mainly because of biases in the underlying data.

- *Trends in Highway Fatalities 1975 – 1987 (1990)*: This document reports on fatal traffic accidents in the United States over a 13-year period, focusing on motor vehicle safety policies as they relate to the vehicle, driver, and the roadway environment from 1975 through 1987

(Google Scholar, 2010)

2.2.1.2. Bureau of the Budget (BoB)

The Bureau of the Budget's evolution into the conduct of programme evaluation came about in a different manner than its twin (GAO). Under the directorship of General Dawes in the 1920s the agency focused all energy on economy and efficiency. The staff complement included prior army and navy officials and a small number of businessmen and totalled no more than 25 people at that stage (Mosher, 1984). The activities of the BoB at the time of establishment in the 1920s were first and foremost geared towards a reduction of government expenses (Mosher, 1984). In 1939, the BoB was moved to the Executive Office of the President and later (1970) reorganised into the Office of Management and Budget (OMB) during Nixon's term as president. The different philosophies during that time included programme-budgeting systems in the 1960s, management by objectives (MBO) in the 1970s and zero-based budgeting (ZBB) in the late 1970s (Mosher, 1984). It is the Planning, Programming and Budgeting Systems (PPBS) philosophy that sparked the interest in programme evaluation.

The steps involved in the PPBS entailed: determining objectives as precise as possible; conceptualising alternative programmes and comparing these in terms of cost effectiveness; selecting the best programme; and, developing a budget for that programme. The final step which invariably loops back to the first step is the assessment of results in terms of effectiveness (Mosher, 1984). Although the PPBS was short-lived, the need for programme evaluation was firmly established by then.

By far the biggest staff complement of the OMB resides within the resource management offices where budget reviews and programme evaluation activities are undertaken. Staff members are tasked to conduct in depth studies in order to make recommendations for resource allocation. A drastic expansion in federal regulation came about due to popular concerns around energy conservation, marginalisation of minority groups, health and safety issues and threats to the environment. The director of the OMB during Nixon's rule, George Shultz, established the Quality of Life Review Programme which took this one step further and required from the Environmental Protection Agency to submit regulations in draft to the OMB before public dissemination (Mosher, 1984). This led to this monitoring activity being added to the OMB's task list – for example, with President Ford's appointment to Office, Executive Order of 11821 required that agencies submit cost benefit analyses of proposed regulations (Mosher, 1984). Under the presidency of Carter, internal review procedures for regulatory agencies were established and all of this was overseen by the OMB. The early years of modern evaluation was therefore characterised by a strong support in the forms of policy and institutionalisation of supporting bodies to ensure evaluation becomes an embedded and continuous effort. The support included financial assistance, with

approximately $243 million appropriated towards the evaluation of social programmes in the 1977 fiscal year (Wholey, 1979).

By 1984 it was estimated that evaluation units employed more or less 1179 people, with one quarter of the 1689 studies being conducted externally (Derlien, 1990). The "high water mark" of this era (according to Rist & Paliokas, 2002) occurred in 1979 with the release of the Office of Management and Budget (OMB) Circular No. A-117, titled "Management Improvement and the use of Evaluation in the Executive Branch". This circular typifies the formalisation of programme evaluation in the US public sector with the executive branch making compulsory the assessment of all government programmes in order to better service the public.

2.2.1.3. The demand for evaluators and evaluation training programmes

With this rise in programme evaluation studies, as discussed above, a strong demand for professional programme evaluator expertise emerged. Due to a lack of trained evaluators and the reigning economic management paradigm of that time – the PPBS – accountants, economists and management consultants remained in key "earmarked evaluator" positions for some time. For many evaluators, programme evaluation was a secondary discipline. For example, in 1989 only 6% of evaluators listed in the American Evaluation Association's membership directory considered themselves to be evaluators (House, 1993). This is very much an indication of the newness of the field at that stage. Another characteristic of the first evaluation workforce was the overwhelming male representation. This has since changed significantly with females currently constituting the majority of the workforce.

The lack in formal evaluation programmes training was initially addressed by US Congress in 1965 with funding being appropriated towards graduate training programmes in educational research and evaluation (Rist, 1987). In the executive branch some of the policy analysts were familiar with evaluation methodology and therefore conducted some of the research in-house. The GAO in the 1980s recruited from universities and research agencies in order to gain staff with solid programme evaluation experience (Rist, 1987). However due to the magnitude of these studies, all too often the evaluation function was commissioned to an external researcher which encompassed government-controlled institutions, independent academic centres, private companies or quasi-public agencies such as the National Academy of Science. The decision of which body to be contracted was heavily dependent on the type of study being conducted. For example, it was quite common to approach universities in the case of educational policy projects (Derlien, 1990).

Prior to the mid 1960s, programme evaluation training was found to be a component of a research method or measurement course and "lacked consolidation" (Davis, 1986) due to the dependency

on a number of textbooks and resources. Early debates on the most appropriate training approach for evaluators included discussions around how much field experience and on-site experience needed to be incorporated to ensure a well balanced training course. Reaching consensus on the appropriate curriculum design was particularly challenging due to the fact that evaluation is a multi-disciplinary endeavour that requires a range of skills from the evaluator. The fact that evaluators often take on a consultancy role further necessitates exposure to a range of contexts during the theoretical training component which is near to impossible to simulate.

Programme evaluation as a sub field of the social sciences had no methodological or theoretical base at that stage and for many years had to borrow heavily from its cognate disciplines such as ethnography and psychometrics (Worthen, 1994). Each of these disciplines approached evaluation from a different stance. We consider in more detail programme evaluation's manifestation in the disciplines of education, psychology, management and health:

<u>Psychology</u>
Psychology is recognised as the pioneer in the application of evaluation-like methodologies such as empirical behavioural testing and measurement skills (Sanders, 1986). The origins of programme evaluation in psychology are linked to the work of Lewin and his action research approach formulated during the 1940s. The considerable growth and interest in the social sciences field during the 1960s provided a space for psychologists to conduct more applied work (Wortman, Cordray & Reis, 1980). Taking the North Western Department of Psychology as an example of the situation during the early 1980s one is able to gain a sense of programme evaluation in this field. This department at that stage offered seven different programmes – one being the Methodology and Evaluation Research (MER) programme. The MER programme was not only offered to psychology students but also to students from the Graduate School of Management, Education, Sociology and other disciplines. As the name suggests, this programme equipped students with measurement skills, survey methods, quasi-experimental research design, data analysis techniques and other skills essential to the successful completion of social programme evaluations. The other programmes within the Psychology department included minor exposure to methodology and evaluation.

Literature and authors discussed during these training courses include: Rossi and Freeman, Rutman, Cook and Campbell, Campbell and Stanley, Boruch and Cecil to name a few. Besides the obvious theoretical resources, students were exposed to a number of federal agencies' reports such as Eleanor Chelimsky's Division of Programme Evaluation and Methodology, the US Census Bureau and the National Academy of Science (Cordray, Boruch, Howard, & Bootzin, 1986).

Education

The need for programme evaluation in the educational field was sparked by the Federal Elementary and Secondary Education Act of 1965. Earlier evidence however exists of evaluation-like activities (Sanders, 1986). Firstly, the development of accreditation standards and procedures in the 1930s replaced school inspections which in turn led to a focus on inputs and processes (Sanders, 1986). In the 1930s as well, Ralph Tyler's groundbreaking work on curriculum evaluation stressed the importance of specifying measurable objectives against which to assess programme effectiveness. Another milestone in this discipline was Michael Scriven's ideas of the role that formative and summative assessment could play in education. The categories covered in educational evaluation courses included the history and philosophy of evaluation, alternative approaches (responsive, CIPP, utilisation-focused), techniques and tactics (which included methods and techniques for data collection and analysis) as well as evaluation issues and special topics (standards, meta evaluation, politics and context of evaluation, role of the evaluator, etc.) (Sanders, 1986).

Some of the big names in evaluation whose resources were utilised to cover the above topics included:

- EG Guba and YS Lincoln: *Naturalistic Enquiry (1985), Fourth Generation Evaluation (1996)*
- L Cronbach: *Designing Evaluations of Educational and Social Programmes (1982)*
- E House: *The Politics of Educational Evaluation (1974), Evaluating with validity (1980), Professional evaluation: Social impact and political consequences (1993*)
- M Scriven: *The Methodology of Evaluation (1972), Goal Free Evaluation (1973)*
- DL Stufflebeam and WJ Webster: An analysis of alternative approaches to evaluation (1980), Evaluation as an administrative function (1988), The CIPP Model for Evaluation (DL Stufflebeam only)
- TD Cook and DT Campbell: The design and conduct of quasi-experiments and true experiments in field settings (1976), Quasi-experimentation: Design and analysis for field settings (1979)
- MQ Patton: *Qualitative Evaluation and research methods (1990), Utilisation focused Research (1997)*
- EW Eisner: *The educational imagination: On the design and evaluation of school programmes (1979), Qualitative inquiry and the enhancement of educational practice (2001)*
- PH Rossi and HE Freeman: *Evaluation: A systematic Approach* (1993)

One educational project - Head Start – warrants special mention here. Incongruously made possible because of the dissatisfying early performance of the Community Action Programme, this

was to become one of the longest federally funded projects in the US. The original vision of the project was to improve the intellectual capacity and school performance of poor children. In later years the programme expanded to become a four dimensional programme focusing on: a) health and nutrition; b) welfare; c) educational readiness activities; and, very importantly, d) parent education (Riley & Epps, 1967). The federal government's commitment to this programme is evident in the many additions that followed as the project evolved.

School of Management

Even though programme evaluation emerged in the public sector, its relevance to the private sector is also increasingly recognised. Programme evaluation's increased application in the the enhancement of organisational effectiveness and management decision-making is directly linked to issues around utility: intially programme evaluation's contribution was narrowly focused on programmatic questions for example the clarification of objectives, the consideration of programme design and judgement of results. As the field of programme evaluation evovled, questions around utility started receiving greater emphasis which led to the development of other forms of evaluation such as management audits and cost benefit analyses. From an organisational perspective, programme evaluation became only one form of assessing organisational effectiveness. Literature in this field shows evaluation's contribution to the management sphere to be as follows (Perloff and Rich, 1986):

- In terms of organisational design in that decision-making processes and reporting structures are clarified
- Allowing for strategic planning to occur in light of proper evidence of successes or lack thereof
- Budgeting and resource allocation to be done in terms of cost benefit and cost effectiveness analyses
- Targeting of the correct individuals which improves personnel administration
- A better work environment and clear monitoring system where staff's performance is linked to certain measures in terms of their implementation of activities
- A comprehensive, structured and focused data information management system
- A better informed marketing strategy as the organisation is able to establish the success factors and challenges in their programmes/activities

Health

An example of the significance attached to programme evaluation in the medical field is evident from its two national accreditation bodies' (Accrediting Commission on Education for Health Services Administration and Council on Education for Public Health) suggestion to include more programme evaluation content in the Master's programme at the University of Michigan (UMC) School of Public Health (Wortman & Yeaton, 1986). A further development was a recommendation

by ACEHSA to make the research methods and evaluation course compulsory in 1986. It is not surprising that the three postgraduate courses at UMC containing this programme evaluation module supported the "Campbellian approach" (Wortman & Yeaton, 1986) which refers to the experimental tradition that was introduced by Campbell and Stanley with their 1963 text titled *Experimental and quasi-experimental evaluations in social research*.

The residential Master's and Doctoral Programmes at UMC covers topics such as true experiments/ clinical trials, quasi-experiments, meta-analysis, cost-benefit analysis, policy analysis and surveys/questionnaires, to name a few. The readings for these courses consist mainly of health-related examples of the principles covered in the coursework. The Master's course includes a practical component where students are asked to review some grant proposals and comment on those. This is particularly useful as it allows students to engage with a real life situation during their theoretical training (Wortman & Yeaton, 1986).

The extent of effort needed to conceptualise those first programme evaluation courses was immense. The developers of these courses consulted various resources including research literature; theoretical models; job descriptions of evaluators; evaluation textbooks; surveys on what evaluators actually do; as well as decision-makers' ideas around effective practice (Davis, 1986). Some further details of these studies undertaken during those early years is shown below in order to better understand the crucial requirements of these courses' contents.

Anderson and Ball (1978): reported experts' views on what they thought evaluators need to know. The experts selected were based on Stake's unpublished list of "Partial List" of persons who can give valuable counsel on curriculum evaluation. The complete list of 43 people who responded is found below this text box and includes both behaviorist and constructivist supporters. The following content areas attracted the highest scores:

- Statistics
- Statistical Analysis
- Evaluation Design (specifically quasi and experimental design)

Skills wise the experts viewed professional and ethical sensitivity, expository skills and sensitivity to the concerns of all parties as crucial attributes – simultaneously acknowledging the shortfall of formal training in these areas.

Worthen developed his own synthesis based on the American Educational Research Association's taskforce "list of requirements" for evaluators. This revised list consists of 25 items which includes "Obtaining information about phenomenon to be evaluated, drawing implications from prior research and practice, defining object of evaluation, selecting the appropriate inquiry strategy, formulating hypotheses or questions to be answered, specifying data or evidence necessary for rigorous tests of hypotheses and unequivocal answers to questions, selecting appropriate designs to collect data to test hypotheses or answer questions, identifying population to which results should be generalised and selecting among others (Worthen and co-authors as cited in Anderson and Ball, 1978).

Conner and Davis (as cited in Davis, 1986): analysed topics in 43 course outlines submitted for discussion at conferences such as the American Evaluation Association. The topics most commonly shared across the different courses were the following:

- Evaluation paradigms (including definition and description of evaluation): 86%
- Impact/Outcome Evaluation designs:86%
- Context of Evaluation: 81%
- Evaluation approaches and models: 77%
- Measurement and Instrumentation: 74%
- Utilisation of findings: 63%

List of experts consulted during Anderson & Ball study (1978): Marvin Alkin, Gilbert Austin, Bernard Bass, Thomas Bice, Urie Bronfenbrenner, Donald Campbell, John Campbell, Hugh Cline, William Coffman, Jacob Cohen, Thomas Cook, William Colley, Richard Cox, Lee Cronbach, Joel Davitz, Henry Dyer, Robert Ebel, Albert Erlebacher, John Feldhusen, James Gallagher, Eric Gardner, William Gephart, Robert Glaser, Gene Glass, Irwin Goldstein, Egon Guba, Marcia Guttentag, Robert Heath, Gerald Helmstadter, Wells Hiveley, Ernest House, Paul Kelley, Nadine Lambert, Henry Levin, Edward Loveland, Daniel Lyons, George Madaus, Thomas Maguire, Jack Merwin, Jason Millman, Jum Nunnally, Ellis Page, David Payne, Robert Perloff, Robert Rippey, Seymour Sarason, Michael Scriven, Marvin Sontag, Charles Spielberger, Robert Stake, William Stallings, Julian Stanley, Howard Stoker, James Stone, Elmer Struening, Daniel Stufflebeam, Robert Thorndike, Melvin Tumin, Herbert Walberg, Henry Walbesser, Carol Weiss, Frank Womer, Blaine Worthen and Albert Yee

The first attempt to compile a directory of evaluation training programmes was undertaken by Gephart and Potter in 1976. Unfortunately this study is no longer accessible. Connor, Clay and Hill in 1980 via the Evaluation Research Society (ERS) membership made the second attempt at

listing all evaluation training programmes. At that time, 67 programmes were recorded (LaVelle & Donaldson, 2010). In early 1984 the Evaluation Research Society and the Evaluation Network (EN) undertook the development of an updated directory of programme evaluation courses in the US and Canada. The two country directories provided the starting point and members were subsequently requested to identify all possible training programmes via a postage-paid postcard. In addition, notices were placed in the American Psychological Association Monitor, the American Sociological Association Footnotes, ENet's Evaluation News and ERS Newsletters. A total of 117 training programmes were reported through the above avenues. A questionnaire was subsequently e-mailed to the nominated programmes and, beside a number of multiple-choice questions, a short description of the programme was requested (May, Fleischer, Scheirer & Cox, 1986). Forty-six programmes responded.

In 1994 a similar study was undertaken by Altschuld, Engle, Cullen, Kim and Maccee which managed to identify 38 programmes. A 2002 study by more or less the same team of scholars (excluding Collen and Maccee) only identified 27 listed US programmes (LaVelle & Donaldson, 2010). The downward trend between 1980 and 2006 are clearly illustrated when plotting these various empirical examinations (Figure 2.2):

Figure 2.2: Trends in US Programme Evaluation courses on offer
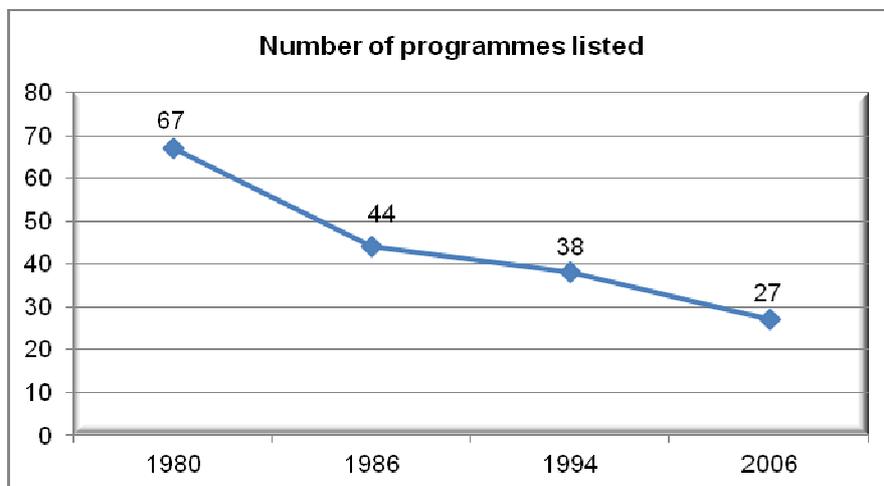
Source: LaVelle & Donaldson, 2010:12

The most recent study of this kind was conducted by LaVelle and Donaldson in 2008. Using various sources, 89 potential sites across the United States were identified. Extensive desktop research was undertaken, followed up with telephonic contact where needed. In the end, the study identified 48 sites that offered a postgraduate evaluation degree which signifies the end of the downward trend reflected in Figure 2.2. Most of these programmes were located in Schools of Education (n=29). According to their classification system, 30 were small programmes (offers 2-3 evaluation specific courses); 14 medium programmes (offers 4-6 courses) and three large

programmes (7+ courses) (LaVelle & Donaldson, 2010). The detail of the 48 courses is shown in Addendum 1.

2.2.2.   The Mid 1980s-2000: winds of change

During the Nixon administration initial indications of support soon turned as Nixon's interest shifted towards New Federalism[3]. The Reagan years were not any less challenging. The Reagan administration re-affirmed the very real link between the fiscal situation and evaluation funding and activities. The golden years of evaluation came to an abrupt halt with severe budget cuts in the field of education and other social programmes enacted by the Reagan administration. Reagan's appropriation of block grants[4] to states led to a decreased need for evaluation activities as justification for funding became redundant (Worthen, 1994).

The effect on programme evaluation was by no means small and federal evaluation offices suffered. Where the Department of Education's Office of Planning, Budget and Evaluation conducted 114 evaluations in 1980, only 11 were carried out in 1984 (Shadish, Cook & Leviton, 1991). A GAO survey in 1984 confirmed these findings with 47 programme evaluation units ceasing their programme evaluation activities. Financial resources also took a knock with spending declining by 37% and staff resources declining by 22% (Havens, 1992). The implications of the limited programme evaluation activities had a significant ripple effect on the quality of national-level data. Health, education and labour statistics were significantly cut leading to virtually no longitudinal data being collected during the Reagan years (Havens, 1992). The enhanced focus on audit-like financial data has forever left a void at federal level which cannot be regained.

The dismal fiscal situation in the 1970s and 1980s even threatened Project Head Start's continuance. Funding for children's projects was severely trimmed and the introduction of the block grant proposal necessitated more efficient management of projects. Avid support for the project (both within political sphere and participants in the project) and increased evidence of the success of the project fortunately managed to pull the project through the difficult 1970s and 1980s.

Throughout this period of declining programme activities, desperate pleas came from the GAO to rectify the situation. Charles Bowsher's letter (1992:11-12) to federal government reflects his concern with the current situation:

"Officials in both executive and legislative branches need quality evaluation to help them reach sound judgments. Without this capability, executive branch policymakers are in a weak

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[3] This in essence entails direct investments into communities, governors and mayors (Zigler and Muenchow, 1992).
[4] The block grant system replaced the needs and resources system whereby funds were appropriated according to prior resource expenditure patterns. Authorities received a single block grant and would not automatically qualify for an equivalent increase in the grant if resources were depleted.

position to pursue their policy objectives with the Congress, to justify continuation of their programmes and to eliminate wasteful unnecessary initiatives, because they lack supporting data".

According to Joseph Wholey (1983), the need for public sector improvement in the USA became particularly crucial during this time as the constant tension between "better services" and "lower taxes" escalated. Hope for the future of evaluation was revived with the rise of New Public Management (NPM) in the mid 1980s. The popularity of NPM cannot be attributed to one single source but rather a fusion of ideas as well as the dire fiscal situation at the time. The fiscal crisis was fuelled by a collision of rising public expenditure and strong public opposition to higher taxes. In the US, right-wing attempts to reduce public expenditure was met with resistance. In order to accommodate the US citizenry, substantial tax cuts were made, but with very little accompanying reduction in public expenditure (Foster & Plowden, 1996).

President Clinton is viewed to be the pioneer in introducing NPM-like principles and practices into federal government. The ten principles as developed by Osborne and Gaeblers in their 1992 publication titled *Reinventing government* caught Clinton's attention. He believed that accountability and performance-based management would transform government into a more cost-effective entity. This culminated in the vice-president, Al Gore, appointing Osborne as adviser in implementing their ideas in federal government. This publication is viewed as the main influence for the National Performance Review that followed in 1993. The 10 principles have been taken verbatim from McDavid and Hawthorn's publication (2006:286):

1. "Government should steer rather than row, creating room for alternatives to the public sector delivery of services
2. Government should empower citizens to participate in ownership and control of their public services
3. Competition among service deliverers is beneficial, creating incentives for efficiency and enhancing accountability
4. Governments need to be driven by a mission, not by rules
5. Funding should be tied to measured outcomes rather than inputs, and performance information should be used to improve results
6. Meet the needs of customers rather than focusing on interest groups and the needs of the bureaucracy
7. Foster enterprise in the public sector, encouraging generation of funds, rather than just spending
8. Focus on anticipating and preventing problems and issues rather than remediating them
9. Use a participatory and decentralised management approach, building on teamwork and encouraging innovation
10. Use market mechanisms to achieve public purposes"

In practice, all civil servants were encouraged to deliver services more economically and effectively. This could be done relatively painlessly if the entrepreneurial government model was applied. In essence, this entailed reaching a level where the same outputs could be produced with fewer inputs or the same inputs could produce more outputs (Foster & Plowden, 1996). The National Performance Review demonstrated that public management reform was a presidential priority. This led to a change in the federal procurement system, the implementation of the Government Performance and Results Act (GPRA) of 1993 and a reorganisation of the Office for Management and Budget (Barzelay, 2001).

The 1993 Government Performance and Results Act formalised the implementation of performance measurement and reporting in the United States Federal Government. Some of the aims of this Act were the following (McDavid & Hawthorn, 2006:343):

- Through enhanced accountability regain and improve confidence of American citizens in the federal government
- By measuring performance against clear goals, initiate performance alteration
- Have a focus on results to enhance programme effectiveness in order to promote public accountability and ensure customer satisfaction
- Assist programme managers on ways to improve service delivery. By providing feedback about results, managers could determine whether their objectives have been met
- Enhance congressional decision making overall as objective results-based information formed the basis of determining effectiveness and efficiency

In order to reduce budget deficit, government departments were streamlined and very clear measurable goals were set. Although the GPRA advocated for the incorporation of programme evaluation results into strategic and annual performance plans, findings from Wargo (1995) suggest that this did not happen. He set out to determine whether GPRA had any influence on programme evaluation activities. His findings show that the GPRA legislation did not stimulate evaluation activities. Rather, he found that participation and implementation of the GPRA was extremely limited in 14 of the most active evaluation offices in the executive branch. He also found an alarming reduction in non-supervisory and supervisory evaluation staff. Suffice to say both the GPRA and National Performance Review revealed an interest in financial, short term data by programme managers and policy makers as opposed to longer term in-depth programme evaluation studies. Melkers and Roessner (1997) came to the same conclusion stating that the US focuses on periodic monitoring rather than programme evaluation. The long term effect of this decision making process is that potentially good programmes will be discontinued due to a misrepresentation of their effectiveness (Bowsher, 1992).

A 1998 GAO study showed a continuing downward trend in programme evaluation activities. The document titled "Number of Evaluation Offices in Non-Defense Departments and Independent Agencies" considered federal evaluation activities in 23 government agencies. A total of 81 offices reported spending financial and human resources on programme evaluation. The findings (based on the 1995 financial year) were disheartening (Rist & Paliokas, 2002:230):

- Evaluation activities were small, totalling 669 staff and only amounted to $194 million
- 45 of the 81 offices conducted 5 or less evaluations, whilst 16 offices accounted for two thirds of the 928 total studies. Six of the 23 agencies did not conduct any evaluation activities in the 1995 financial year.
- The total number of evaluations conducted is 928 which is 55 percent of those conducted in 1984 (1689)
- The primary users of results were found to be programme managers as opposed to direct programme improvement
- A decline was also noted in terms of the number of evaluations conducted in-house, the cost of evaluation studies and the duration of the studies compared to 1984.

In 1996 the Programme Evaluation and Methodology Division of the GAO closed its doors for the last time. The reason for its closure relates to budget constraints and the decline in staff numbers over the past few years (Grasso, 1996). The end of the millennium showed two contradictory forces at work in programme evaluation in the United States – on the one hand, there was the Clinton administration policy (NPR) where downsizing and budget constraints took precedence. On the other hand, Congress through the GPRA, required executive agencies to focus on results in order to inform budget decisions. According to Rist and Paliokas (2002), this has led to the "hollowing out" of the evaluation function and only time will tell who will fulfil the GPRA assessment functions.

Despite the decline in evaluation activities, the United States still remains the most advanced evaluation system (Rist, 1990) for the following reasons:

- Programme evaluation is a clearly distinguishable field from, for example, auditing and accounting
- The evaluation system is firmly institutionalised within the bureaucracy and legislative branch
- The US has taken the lead in influencing other countries to introduce programme evaluation

The US has not only taken the lead in establishing evaluation as a discipline[5], but also ensured the professionalisation of the field through the following:

- The establishment of the Evaluation Research Society and the Evaluation Network[6] which also occurred during the 1970s serves as a further confirmation of the professionalisation in the evaluator workforce. These two organisations later amalgamated to become the American Evaluation Association. Today the American Evaluation Association has more than 5000 members representing all 50 States (AEA, 2010)
- Development of standards for evaluation practice by the Joint Committee on Standards for Educational Evaluation in 1994 and other subsequent bodies
- Specific Graduate and postgraduate training programmes for evaluators
- The increase in books covering programme evaluation and the first journal of evaluation (Evaluation Review) being launched in 1976. Today, there are more than a dozen journals on Evaluation (Rossi et al., 2004)

One of the US's most significant contributions has been the development of evaluation theories and methodologies. Not to detract from the contributions made by the Australian and European theorists, the US, as forerunner in the discipline, will be singled out in this section as they delivered the most evaluation theories. The only exception is the Realistic Evaluation theory which is the brainchild of UK evaluators, Pawson and Tilley. The Realistic Evaluation Theory will be covered under the UK history. In this final part of the US's history of programme evaluation we will provide a brief synopsis of some of the major evaluation theorists of the past five decades:

2.2.3. A review of some evaluation theories and paradigms

The two main paradigms in programme evaluation – the quantitative and qualitative paradigms – each has its own set of methodologies and theories. It is commonly agreed that a sophisticated scientific platform for programme evaluation only emerged with the contributions made by the likes of Donald Campbell and Bob Boruch. These pioneers' programme evaluation theory was dominated by a quantitative approach with a strong focus on measurement, sampling and statistics. The late seventies and eighties saw the rise of a more qualitative evaluation tradition as a number of questions were raised around the appropriateness and usefulness of experimental and quasi-experimental approaches. The major criticism towards the quantitative tradition was that results from experimental evaluations were not being used by decision makers. A number of

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[5] There is a debate about whether programme evaluation is in fact a primary discipline. I agree with Ernst House that programme evaluation is a secondary discipline derived from the Social Science primary discipline
[6] James Sanders, in an interview around the Oral History Project, indicated that discussions around the establishment of an Evaluation Network were commenced under the initiative of Bill Gephart in 1976. Gephart called a meeting in Colorado with a group of evaluators that included Dan Stufflebeam and Michael Scriven to discuss the possibility of such a network. Initially the Evaluation Network took the form of a Communications network with membership dues of $4 a year (Oral History Project Team, 2010)

qualitative approaches attempting to rectify this emerged and came to be known under various labels such as naturalistic, fourth-generation and ethnographic evaluation (Mouton, 2006).

The two major paradigms – qualitative and quantitative – will be discussed following the evaluation tree as found in Alkin's publication titled *Evaluation Roots (2006)*. It should however not be assumed that any of the theorists under discussion resort to only one methodology when conducting evaluations. Most evaluation theorists' selection of a methodology depends on the type of project that needs to be evaluated. The historical view presented here covers the development of these theories within a certain time phase that was broadly classified as either qualitative or quantitative.

Alkin and Christie's Evaluation Theory Tree (Figure 3) is rooted in the "dual foundation" (2006: 12) of accountability and social inquiry. These two notions go hand in hand – accountability is closely linked to responsibility and ultimately aims to improve and better programmes, whereas social inquiry deals with the "How" i.e. the methods employed to determine accountability.

Figure 2.3: Alkin & Christie's Evaluation Theory Tree
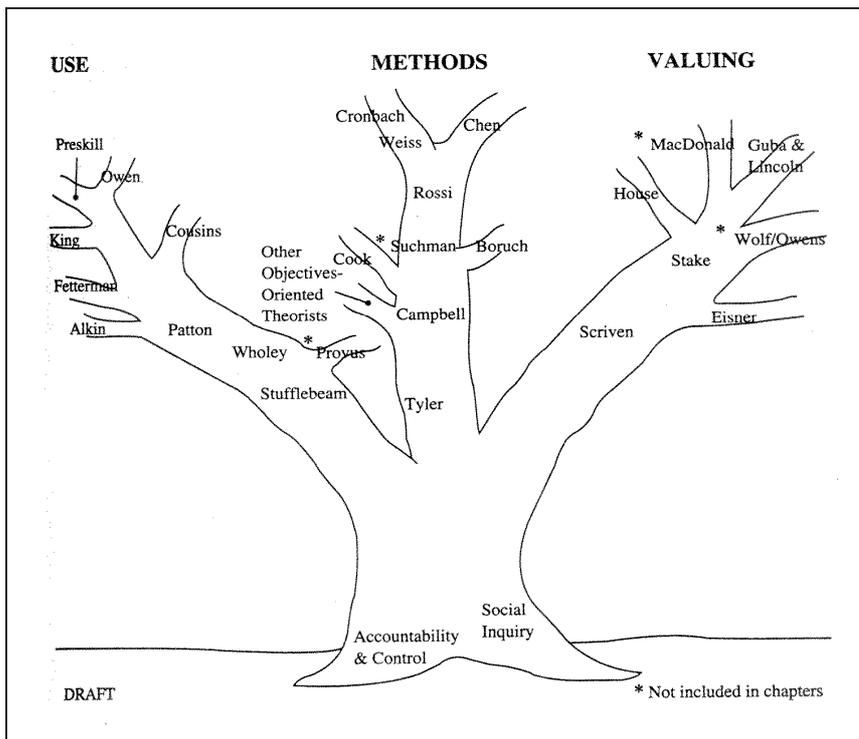
Source: Alkin, 2006:12

As can be seen from Figure 2.3, Alkin and Christie (2006) categorised each major theorist according to his/her most significant and distinctive contribution whether it be Use, Methods or

Value. The pioneer in that specific area is located at the bottom of the trunk of the tree with subsequent theorists placed further alongside the branch. Social enquiry and its concern with methods extend straight into the "Methods" branch with the likes of Tyler and Campbell leading the way in this area of evaluation theory. The Value branch, inspired by Michael Scriven and later expanded by Stake, House, Guba & Lincoln, iterates the evaluator's role in valuing and making judgements. The Use branch collectively refers to all theorists with a concern for the use of findings. Also called decision-oriented theorists this group of evaluators' prominent focus is to design evaluations that will inform decision making (Alkin & Christie, 2006).

2.2.3.1. The Quantitative paradigm: experimental tradition and Method theorists

It is not surprising that the first attempts at measuring effectiveness of programmes would come from the experimental tradition. The neighbouring disciplines of programme evaluation such as psychology, social work and sociology had been applying the classic experiment as model design for quite some time.

The main revolutionary and modern time contribution towards this tradition has been the work of **Ralph Tyler** and the late Donald Campbell. In an attempt to enhance the curriculum development process at the Bureau of Educational Research and Service, Tyler introduced the importance of evaluation against predetermined objectives. What he found was that when teachers expressed their objectives in terms of students' behaviour change, it assisted them in improving their curriculum.

Of interest…

Lee Cronbach a future contributor to the method stream of evaluation theory, was a student of Ralph Tyler

What followed was the "Eight Year study" - a groundbreaking publication that highlighted the importance of setting behavioural objectives and its contribution towards a greater understanding of programme goals. The work of Ralph Tyler, specifically the process of test construction, laid the groundwork for other methodology theorists to follow (Madaus & Stufflebeam, 2000).

The late **Donald Campbell**, second to Tyler on the Method branch, was instrumental in coining terms such as internal (cause and effect) and external validity (generalisability) as well as randomised assignment. Campbell in conjunction with Stanley in later years also introduced the quasi-experimental design in instances where the classic experiment was not possible (Shadish, Cook & Leviton, 1991). In later publications he clarified the epistemic dimension of his work. In essence he viewed the acquisition of knowledge as a process whereby hypotheses were formulated and tested with the aim of maintaining those that solved the problem. He very much adopted Popper's piecemeal stance on trial and error (Tilley, 2000) which entailed testing interventions on a small scale to determine which changes delivered intended/unintended effects.

The final theorist that warrants discussion here is Robert Boruch. His concern was with the use of technology of randomized tests and how the data produced can be used to inform policy. Through comparative studies in diverse disciplines such as medicine, education, criminal justice etc., he aimed to highlight under what conditions the utilisation of randomized tests are appropriate. These comparisons proved that the shortcomings of field experiments are not discipline specific (Boruch, 1975). Boruch also advocated the use of randomized experiments in conjunction with approximations to experiments in programme evaluation. He believed that the choice need not be mutually exclusive for the evaluator but that the utilisation of a pure experimental design could benefit from being coupled with experiment approximations (Boruch, 1975).

Even though this paradigm dominated the 1960s and 1970s in the US, restlessness around this paradigm expanded towards the end of the 1970s. The discontent was grounded in the a-theoretical nature of the results (also referred to as "black box"-like mentality) and long term federal funded projects such as Project Head Start rendering seemingly few results. By the end of the 1970s the evaluation world was ready for a change.

2.2.3.2. The qualitative paradigm and Use and Value theorists

The fourth generation evaluation theorists, Guba & Lincoln as well as their predecessors on the Value branch, Stake and Scriven, will be discussed first.

Of interest…

Scriven holds a PhD in philosophy. His article "The Methodology of Evaluation was the most cited educational evaluation article of the 1960's" (Smith as cited in Shadish, Cook & Leviton, 1991)

Michael Scriven's frequently quote "Bad is bad and good is good and it is the job of evaluators to decide which is which" (cited in Alkin & Christie, 2006:32:) underpins his position on the Value branch. Programme evaluation is a reflective discipline and should therefore contain a focus on what works and what does not. Scriven was very aware of bias when making value statements and strongly suggested that the evaluator be explicit about bias and install "multiple safeguards" (Shadish, Cook & Leviton, 1991) when conducting evaluations. Common evaluation terminology such as goal-free evaluations and meta-evaluations, formative and summative evaluations were all contributions from Scriven.

Robert Stake, associated with the responsive evaluation movement was an educational evaluator and according to Shadish, Leviton and Cook helped "legitimate" qualitative evaluation. He propagated the importance of being responsive to a programme's activities, its uniqueness and cultural pluralities (Stake 2006:209). This translates into the approach being responsive to stakeholder concerns and aims to provide stakeholders with the capacity to judge the merit of their

programmes. Furthermore, the values expressed in the evaluation should be done in such a manner that it exerts influence on decision making processes (Shadish, Cook & Leviton, 1991).

One of the most recent contributors towards the Value branch is the Guba and Lincoln fourth generation theory. The title of this theory, namely 'fourth generation evaluation' implies the existence of three prior eras namely description, judgement and expanded range of stakeholders (Guba & Lincoln, 2006). In this approach the ontological base is expanded from the concrete to include social constructs such as stakeholders' take on reality (Guba & Lincoln, 2006:228). The fear that human interactions adversely affect validity is replaced by the inclusion of research subjects' significance of situations and needs in order to strengthen the evaluation process. The approach also reconsiders the simplified notions of causality and causal inferences found in experimental traditions. The complexity of human relations and dynamics necessitated the consideration of an alternative which was termed "mutual causality". Hereby it is recognised that events and human dynamics do not take place in a sequential manner but occur along multiple pathways in a spider web-like structure (Guba & Lincoln, 2006). It is important to note that fourth generation theorists do not solely rely on qualitative methods but instead select the most appropriate method (or combination) to address the question at hand.

Moving on to the Use Branch, the first theorist under discussion is **Daniel Stufflebeam**. One of his significant inputs has been the development of the CIPP model which has found great application in evaluations around the world (Stufflebeam, 2006). The core components of the model – context, input, process and product (CIPP), taken collectively, provides a comprehensive framework against which to assess interventions. A diagram of the CIPP model will guide the discussion:

Figure 2.4: Stufflebeam's CIPP model
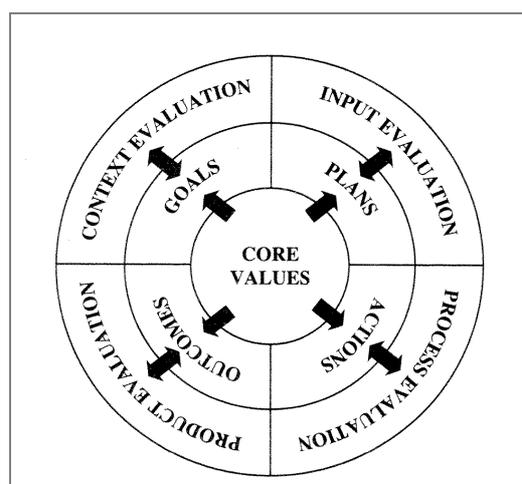
Source: Stufflebeam, 2006

The wheel-like structure of the CIPP model indicates the core value of each evaluative focus area. The two directional arrows indicate the reciprocal relationship between the evaluative focus and the type of evaluation that is being conducted. The context evaluation is concerned with goals, input evaluation with plans, process evaluation with actions and product evaluation with outcomes.

These different evaluations work as follow (Stufflebeam, 2006:246):

- Context evaluations analyse strengths, weaknesses, needs and opportunities in order to determine overhead goals and objectives against which end users can later judge the programme
- Input evaluations assess inputs such as human and financial resources, strategic plans etc. and attempt to determine the likelihood of these inputs to meet targeted goals
- Process evaluations measure the effectiveness of implementation in order to assist programme users later in the programme cycle to judge performance and outcomes
- Product evaluations are concerned with short, medium and long term outcome identification and assessment. It ensures that staff remains focused and provides end users with a benchmark against which to assess programme success.

Another theory under this paradigm that warrants discussion is the utilisation-focused evaluation approach as conceptualised by **Michael Patton.** This type of evaluation does not promote any specific type of theory, method, model or even use but does advocate that careful consideration be paid to the intended use of the evaluation. Every step in the evaluation process needs to contribute and support what the results will be utilised for. It is highly situational and requires that the evaluator employ a highly participative and collaborative process. In this manner, the end users of the evaluation are more likely to take ownership of the results and would ultimately find greater application (Patton, 2002a).

Patton suggests a paradigm shift from the traditional use of findings, i.e. moving beyond the rendering judgement to one where learning can take place and accountability is based on the use of findings:

> "A way of making formative evaluations work, particularly if the primary users are the programme staff, is not to share the findings with donors because they are often misused to punish programmes - instead of using them to learn from experiences. But how then do we maintain accountability? In the context of learning organizations, accountability focuses not on the findings but upon the changes that are made as a result of the findings. This is accountability that is achieved from the use of findings" (Patton, 2002b:14).

Enhanced involvement in the programme's process leads to alternative "uses" of results such as enhanced shared understanding, supporting and reinforcing programme intervention, increasing

self determination and ownership and programme and organisational development (Patton, 2002b).

2.3. Programme Evaluation in the UK

The manner in which programme evaluation evolved in the UK, as with the USA, was directly aligned to the value that the reigning political party attached to programme evaluation and the fiscal situation at the time. It should also be kept in mind that various British administrations did not consider evaluations to be public property. Resistance to make available programme information for scrutiny was directly linked to legislation at that stage:

> "This general reluctance to open policies to public scrutiny is not confined to the British government, but the operating styles of successive British administrations, aided and abetted by the structures of the Official Secrets and Public Records Acts, make public evaluations of the policy programmes of central departments problematic" (Jenkins & Gray, as cited in House, 1993:43).

Taking the above into account it seems sensible to discuss the UK's programme evaluation history according to four phases. These four phases reflect the various political administrations and their contribution towards the advancement of programme evaluation (and/or lack thereof):

- Phase 1: 1960-1974
- Phase 2: 1974-1988
- Phase 3: 1988-1997
- Phase 4: 1997-2000

2.3.1. Phase 1: 1960-1974

Prior to the 1960s, systematic evaluation activities were typically categorised as applied social research. Examples of early applied social research include the work done by The Royal Commission on the Poor Laws in 1832 as well as a survey on the London poor led by Charles Booth in 1890 (House, 1993). Studies such as those undertaken by the Clapham Committee focused only on the development of social science within universities. In the mid 1960s the Secretary of State for Education and Science established a committee under the chairmanship of Lord Heyworth who, for the first time, pointed to the link between social sciences and policy making (Blume, 1987). This committee also played an instrumental role in the establishment of the Social Science Research Council in 1965 which afforded greater prominence to the broader social science discipline (House, 1993). The first recognised evaluation study was however found in the field of curriculum development where initiatives attached to curriculum innovation was subject to

evaluations. For example, in the early 1960s the Nuffield Foundation funded science curriculum projects and these initiatives were subject to evaluations (House, 1993).

Gray and Jenkins (2002:131) suggest that two forces pushed evaluation at this stage in the UK:

> "First an administrative determination to install effective mechanisms to control and prioritize departmental spending decisions and secondly a political desire to raise the profile of public management and to assist more rational and collective decision making".

The administrations of that time – Conservative in 1963 and Labour Government in 1966 – both linked public expenditure plans to economic growth targets (Hogwood, 1987). The Public Expenditure Survey (PES) System, with its roots in the Plowden report of 1961, supported a focus on evaluation. The Plowden report called for a more holistic long term focus of public expenditure in relation to resources and entailed detailed analysis per department as well as expenditure presented by policy area. In this manner cross cutting policy areas' expenditure could more easily be collated and examined. In order to regulate the PES the Public Expenditure Survey Committee (PESC) was formed. For clarity purposes this committee's impetus was not to determine resource allocation but to consider the outcomes of present policies three to four years down the line (Hogwood, 1987). Although reported not to have strengthened the collective responsibility of cabinet, the PES placed emphasis on the longer term implications of total public expenditure.

The PES, although rigorous in scrutinising public expenditure, lacked an analytical instrument against which to assess policy impact and effectiveness. It also did not bring together ministers to collectively consider the various expenditure proposals (Hogwood, 1987). The Policy Analysis Review (PAR) system was introduced to fill this gap. This output orientated approach was borrowed from the American PPB strategy (planning, programming and budgeting). Gray and Jenkins (1982:429) remind us that this was the only attempt ever by Whitehall (under the Heath administration) to institutionalise rational policy analysis. In essence it was expected that these reviews would instil a culture of regular assessment of departmental and interdepartmental programmes.

Initially, the PAR reviews were avidly supported by the Prime Minister and informed policy as was anticipated with substantial contributions made in the fields of higher education and school expenditure. It can be gathered therefore that PAR was more inclined towards policy appraisal than programme assessment and never quite put "its stamp on departmental review activities" (Derlien, 1990). However, the advent of the Labour administration in 1974 and a shift to financial control turned the tide for the PAR review system.

Gray & Jenkins (1982) attribute the fall of PAR to three factors:

1. Technical: lack of clarity on how review results would progress through implementation to influence policy
2. Organisational: imbalance in that PAR was driven by Treasury as opposed to a strong central body
3. Political: lack of support and utilisation of PAR at ministerial level

Another Heath administration reform measure was the Central Policy Review Staff (CPRS). The CPRS, commonly referred to as the "Think Tank" supported ministers in critically assessing whether policy and programme decisions would reach the predetermined long term goal:

> "...enable (Ministers) to take better policy decisions by assisting them to work out the implications of their basic strategy in terms of policies in specific areas, to establish relative priorities to be given to different sectors of their programme as a whole, to identify those areas of policy in which new choices can be exercised and to ensure that the underlying implications of alternative courses of action are fully analysed and considered" (Reorganisation of Central government, CMND 4506 as cited in Pollitt, 1974).

The members of this elite group consisted of civil servants, businesses, academics and international organisations with a disciplinary bias towards the economic and business experience. The scope of this group included both programme and process advice which entailed (Pollitt, 1974:379):

- Ranking and contribution of policies to the greater strategy as a whole (Programme level)
- Analysis at individual policy level to ensure no better cost effective alternative exists

The contribution made by the unit remains questionable which is probably due to a number of factors (Pollitt, 1974)

- Bodies under scrutiny did not want to reveal too much to an agency with such close affiliation with the Prime Minister
- The impossibility of executing the required scope of activities with the limited number of staff members. Detailed analysis and expertise in a number of fields would necessitate expansion in staff numbers which in turn would compromise the non bureaucratic nature of the CPRS
- Very limited perceived successes in that only two influential reports were produced during 1970 and 1974

2.3.2. Phase 2: 1974-1988

The Labour government came into office in 1974, first under the leadership of Wilson followed by Callaghan in 1976. This period was characterised by dire fiscal situations: public expenditure sky-rocketed which influenced the inflation rate and the calculation of public sector inputs (Hogwood, 1987). It was clear that public expenditure needed to be curbed. During the 1979 elections the Conservative government was elected into office. Thatcher's leadership marked the shift towards greater management of resource consumption and performance measurement, as opposed to policy analysis in the public sector management sphere. The words "reduction", "control", and "limit" were increasingly heard in the halls of Whitehall – there was a new fad in town and it was called resource management. One of her strategies was an immediate recruitment freeze and the setting of subsequent targets to reduce the size of the civil service (Foster & Plowden, 1996).

Mrs Thatcher was intrigued by private sector practice and how a more systematic and comprehensive management framework could improve public service delivery. Bureaucracies were broken down and staff reduced in order to diffuse institutional power. A number of initiatives (see below) were launched during this time to tighten the control on resource expenditure. Her support for "value for money" and the managerialist policy approach led to the revival of evaluation in that new policies had to provide for subsequent evaluations (Derlien, 1990). The managerialist approach will be further discussed under the "New Public Management" section later in this chapter.

The need for state auditing and enhanced regulation in the UK led to the establishment of a number of evaluative machinery (House, 1993) which included:

- Inspectorates: distinction can be made between enforcement and efficiency inspectorates. The former is concerned with operations in the private sector bearing in mind public protection, while the latter promotes efficiency and standards in the public sector
- Peer Review: the assistance of reputable institutions and professionals were often sought to assist with decisions around resource allocation
- Audits: were undertaken to determine whether the value for money principles were adhered to and that good financial practices (such as efficiency) were being enforced

Executing these varying regulatory activities are the task of four national agencies: The National Audit Office, the Audit Commission and an audit body for Northern Ireland and one for Scotland (Bowerman, Humphrey and Owen, 2003). Even though peer review is mentioned as a regulatory activity, the development of performance indicators became the more dominant evaluation methodology (House, 1993). The National Audit Office (which consisted of the Exchequer and

Audit Department prior to 1983), the Audit Commission and one of the Inspectorates will be further discussed below.

2.3.2.1. The National Audit Office (NAO)

The NAO is headed by the Comptroller and Auditor General and was established in 1983 by means of a private member's bill. This agency reports to Parliament and is usually reviewed by the Public Accounts Committee (PAC). Its main concern is economy, efficiency and effectiveness which are mainly done through Value for Money (VFM) studies. These studies typically consist of a planning, investigation and reporting phase. Data collection methodologies can include quantitative and qualitative elements, for instance, surveys and interviews with area directors (Roberts & Pollitt, 1994). Although these studies reflect evaluation-like activities in that the achievement of objectives is also being assessed, the work of this agency is still predominantly financial. This is not the case with the Audit Commission (cf. Section 2.3.2.2.) whose activities often extend beyond the financial issues to consider implementation challenges and programme staff's opinions. It is estimated that the NAO in the 1990s conducted approximately 50 such studies per annum (Roberts & Pollitt, 1994). Other tasks include auditing the accounts of central government departments and their agencies as well as undertaking certification audits.

The NAO has often been criticised for playing it safe in that their main concern is not only the usefulness of the report but also PAC's reaction to the report. Accountability is being lost for fear of political party divides because of the content of a report (Bowerman et al., 2003).

2.3.2.2 The Audit Commission (AC)

This body is indicative of government's support for evaluative practices in the 1980s. The need for an independent body to oversee the poor performing local government, although initially encountering some resistance by the conservative government in 1979, eventually came to being under the Local Government Finance Act in 1982. The AC oversees the adherence to national policies and is directly linked to the rise of the New Public Management movement. The emphasis placed on accountability, greater citizen satisfaction and value for money led to a rise in the performance measurement movement (Kelly, 2003). The three Es (Economy, Efficiency and Effectiveness) became the mantra of the UK public sector.

This agency enjoys considerable more freedom than the NAO and although independent of central and local government, close liaison takes place with Ministers and government departments. The department responsible for local government, funds this agency.

The Act specified the AC's activities as follows (Henkel, 1990):

- To appoint auditors to local authorities and other local public bodies in England and Wales
- To prepare a code of audit practice
- To render an opinion on a local authority's accounts and that the three Es have been adhered to
- To undertake studies in order to better the implementation of the three Es in local government
- To carry out impact studies of legislation and ministerial directives on local authority's economy, efficiency and effectiveness.

In order to execute the above, the AC provides a framework that auditors can use to conduct VFM studies. The broad scope and legislative nature of this commission allows for it to be flexible in terms of the tasks it takes on. For instance, the AC can investigate the management and corporate governance of local authorities and can promote certain practices, for instance, Best Value and the attached benefits of outsourcing. The Best Value regime, established by the Local Government Act 1999, requires the same kind of activities from the AC as the Value for Money and its usual audit work. This includes the development of a framework which local authorities can be held accountable against when conducting inspections and audits of Best Value Performance plans. The National Health Services are also included under the AC's jurisdiction and joint reviews are often carried out with other Inspectorates (Kelly, 2003).

The small staff complement come from quite diverse backgrounds such as industry, local government, the accounting profession and trade unions. The approximately 550 contracted auditors are spread across the District Audit Services' regional offices or employed by private firms. These auditors' income come directly from the audit fees they charge (Henkel, 1990). Since 1998 the AC has been receiving grants from government which constitute approximately 15% of the commission's running costs. The AC's four directorates include: i) finance and administration; ii) operations; iii) special studies; and, iv) management practices.

Although there is some scope for collaboration between the NAO and AC, a number of barriers have been identified including different internal cultures and approaches. The NAO tends to maintain a more distanced stance from the department under review, whereas the AC tends to take on a more consultative and advisory role. Furthermore, the methodologies employed differ substantially – the NAO follows a strong evidence based approach as commonly found in audits compared to the AC reports that tend to be more "journalistic" (Bowerman, 1994).

2.3.2.3. The Social Service Inspectorate

The Social Service Inspectorate, established in 1985, originated out of the Social Work Service of the then Department of Health and Social Security. Prior to this change in name (and invariably focus) the Social Work Service delivered professional and advisory services to the Department of Health and Social Security (Henkel, 1990). With the expanding concern around public expenditure during the 1970s, inspections became a much needed activity in ensuring that the principles of efficiency and value for money were being adhered to by local authorities. The inspections conducted could be classified along three lines: i) those initiated by Ministers and the Departments as specified by the Secretary of the State; ii) those commissioned by local authorities covering a local concern; and, iii) those undertaken at request from an individual authority covering a specific activity (Henkel, 1990).

The Inspectorate, in conjunction with the relevant authority, would determine the scope of the work; never replacing the work of the Audit Commission but instead complementing it. Its objectives were to "...help develop, implement and monitor the Department's policies and to manage the Department's work and to set, use and disseminate objective criteria for assessing quality" (Henkel, 1990). Staffing the different divisions was problematic at some stages, except the Training and Resource Group which consisted mainly of social scientists. The shortfall experienced in terms of human resources was supplemented by consultants as they seconded staff from other authorities for a certain period of time (Henkel, 1990:96).

The three E's (Economy Efficiency and Effectiveness) became the buzzwords in the civil service. In 1982 a study commissioned by the House of Commons and headed by Treasury and the Civil Service Committee was conducted on the Efficiency and Effectiveness in Civil Service. Their understanding of Effectiveness and Efficiency are quoted from this report:

> "By the effectiveness of a programme the Sub-committee understands such matters as the definition of objectives, the measurement of progress towards achieving those objectives and the consideration of alternative means of achieving objectives. By efficiency the Sub-Committee understands, given the objectives and the means chosen to pursue the objectives, the minimizing of inputs to the programme in relation to the outputs from it" (House of Commons, 1982:ix).

The committee's concerns were centred on the breadth of goals and it was thereby suggested that more concrete objectives be set to measure progress along the way. In order to address effectiveness, quantifiable measures needed to be developed, viz. performance criteria. Efficiency was tackled through careful consideration of resource expenditure. It was propagated that each programme should as far as possible aim to produce the same quantity targeted output without compromising on quality. The committee concluded that other countries' success (i.e. efficiency

and effectiveness) could directly be attributed to the competence of government officials in executing their "day to day management" (House of Commons, Third report). Foster and Plowden (1996) are of the opinion that the focus on *economy* and *efficiency* surpassed the importance placed on *effectiveness* as is evident by the numerous reform initiatives of that time.

One such an initiative was termed "Raynerism" – named after Lord Rayner. This movement signified a greater drive in carrying out existing activities as effectively as possible. The Efficiency Strategy became the method of the moment (Gray & Jenkins, 1982). The review of policies did not feature at this stage as all effort was geared towards supporting a culture of resource management (Hogwood, 1987).

In strengthening this culture, The Financial Management Initiative (FMI) was developed "as an instrument of management change" (Gray, Jenkins, Flynn and Rutherford, 1991). This culture has been a result of both external and internal pressures in the 1970s and should not merely be attributed to Thatcherism and the influence of New Right thinking. The Fulton committee reportedly had a significant historic influence on the management of civil service and subsequently the thinking behind the FMI. The FMI was launched in 1982 and had three aims (Gray, et al., 1991:47):

- To develop clearly defined objectives for each department
- To clarify scope in terms of resources and operations
- To provide the necessary support needed to execute set responsibilities

The above aims are geared towards accountable management and manifested at departmental level through the introduction of three elements: top management systems, decentralised budgetary control and performance appraisal (Gray et al., 1991:47).

The Efficiency Strategy and Financial Management Initiative were in direct contrast to their predecessors. The top down focus on policy had been replaced with a bottom up managerial approach in order to more effectively manage resources. Programme evaluation in the latter years of the 1980s was utilised to enhance resource management and reduce expenditure. Very little contribution was made in these years towards policy evaluation.

The UK government's transition from welfare state to regulatory state provides numerous examples of the increasing "watchdog" function it has taken on. Not only did the focus shift towards auditing and accounting practices as instruments for making and executing decisions, but regulatory activities in general experienced considerable growth. Hood, James, Jones, Scott and Travers (1998) present the following evidence for this statement:

- When considering regulatory activities within the UK government it emerges that more funding is allocated to regulation activities (staff and public spending) than privatised utilities.
- The number of regulatory bodies in the core public sector and mixed public/private sector increased by 22% between 1976 and 1995.
- In 1998, regulatory staff figures stood at 20 000 and running costs totalled more or less £1 billion at the top end.

Towards the end of this somewhat bleak era in programme evaluation, a sliver of hope for the advancement of programme evaluation came through the formation of the Joint Management Unit (JMU) in 1985. This unit replaced the Financial Management Unit and had as its aspiration the "development of more systematic evaluation within British government" (Hogwood, 1987). The unit comprised of a small number of staff and maintained the conviction that British government lacks knowledge in conducting evaluations. The unit therefore proposed that it is made compulsory that new policy be accompanied by evaluation. These mandatory requirements were agreed upon by ministers and introduced in 1985. The JMU also investigated current evaluation practices within government in an effort to develop good practice guidelines for Whitehall departments.

2.3.3. Phase 3: 1988-1997

The tight fiscal conditions continued under the Conservative leadership of John Major. A significant reform of this phase was the introduction of a series of fundamental expenditure reviews initiated by Treasury. These reviews occurred at departmental level and required an assessment of all programmes in determining "whether activities needed to be done at all, provided in another way, or continued at different levels of resources" (Gray and Jenkins, 2002:134).

Another significant report of that time titled "Improving the Management of Government, the Next Steps" led to the emergence of quasi business principles in government. Already operating successfully in the health service sector at that stage, this approach separated the purchasing of service from the provision of services. Concurrently government opened up public utilities for sale to stakeholders. This was regulated and sustained by way of the Citizen Charter. The six principles of the Charter are taken from the 1994 Pollitt report (p. 9):

a) Setting, monitoring and publication of explicit standards
b) Information for and openness to the service user
c) Choice wherever practicable, plus regular and systematic consultation with users
d) Courtesy and helpfulness
e) Well-publicised and easy-to-use complaints procedures
f) Value for money

The Citizen Charter is viewed by some as an attempt by the then Prime Minister, John Major, to put his stamp on the advancement of the public sector. A preliminary analysis of the success of the charters by Pollitt present ambiguous findings: in certain service sectors the Charter was believed to have made a contribution but in many respects the Charter was viewed as being conceptually too complex and to lack clarity on punitive measures.

The emphasis throughout this decade remained on targets, measurement and accountability leading to active monitoring only being done by regulators such as NAO and the AC. This time period however did not extend to support the field of programme evaluation any more than the previous era (Gray & Jenkins, 2002).

2.3.4. Phase 4: 1997-2000 and beyond

A range of initiatives and the abolishment of prior reform measures by the New Labour Party post 1997 indicated a movement towards a stronger evaluation focus. These included the following:

- Gordon Brown, the Labor Party's Chancellor of the Exchequer, "broke free" from the Public Expenditure Survey and replaced it with Three year allocation settlements, more commonly referred to as the Comprehensive Spending Review (CSR). Through the CSR, finances are awarded according to assessment of existing departmental activities indicating a clear attempt to introduce "evaluation-led management of resources" (Gray & Jenkins, 2002:137).

- The Public Service Agreements (PSAs) introduced by Brown in 1998 instructed departments to link objectives to outputs achieved.
- The new party also inherited a range of public utilities that have been privatised under the old regime. This enhanced the need for evaluation as the success of these public/private partnerships had to be measured.

- The Modernisation programme, introduced by the newly elected government in 1997 amongst other things aimed to "improve performance in meeting needs and providing services (Stewart, 2003). The previous system of compulsory competitive tendering (CCT), which in essence enhanced the focus on resources and economic bias instead of service delivery was replaced by a system where effectiveness, quality and *best value* for communities took the forefront. The Local Government Act of 1999 provided guidance on how to strive towards continuous improvement. This guidance included i) a framework against which local authorities could practice best value principles; ii) requirements when conducting regular reviews; and, iii) content of annual performance plans (Stewart, 2003).

Another prime example of government's renewed dedication to fund independent long-term evaluation studies was the investment into the "Sure Start" project, which was undertaken by the Department of Education and Employment. This intervention aimed to bring about "measurable improvements in the early development of young children through better access to child support facilities" (Glass, 1999). Glass, author of a paper describing the Sure Start project, makes an interesting observation around the manner in which policy development took place:

> "One of the striking features of the development of the Sure Start programme was the involvement of people outside central government in designing the policy. This went far beyond the normal process of rather tardy consultation" (1999:263).

The collaborative policy development process was new to many involved in that process and the commitment towards continuous evaluation could very well indicate the turning point towards more evidence-based policy (Glass, 1999). The renewed effort into evidence based policy, manifested in bodies such as the National Institute for Clinical Evidence (NICE), indicated that a seismic shift was taking place as far as programme evaluation in the UK is concerned (Gray & Jenkins, 2002). A new evaluation approach, termed realistic evaluation, also emerged towards the late 1990s. It has been applied extensively in punitive policy and advocates that evaluation extends beyond knowledge generation to inform policy and practice.

2.3.5. The Realistic Evaluation theory

The **Realistic Evaluation theory** is arguably the UK's most significant contribution to Evaluation theory. The theory is the brainchild of Nick Tilly and Ray Pawson and, in essence, questions the usefulness of evaluation results in the enhancement of policy. Their main discipline of study thus far has been in the field of penal policy where they have come to understand that causality is much more than "this leads to that". Instead this theory views causality in terms of underlying causal mechanisms that bring about change in regularities only when conditions are right. The elements of their theory, namely, context, mechanism and regularity are depicted as follow:

Figure 2.5: Basic elements of realistic evaluation

Source: Tilly, 2000

45
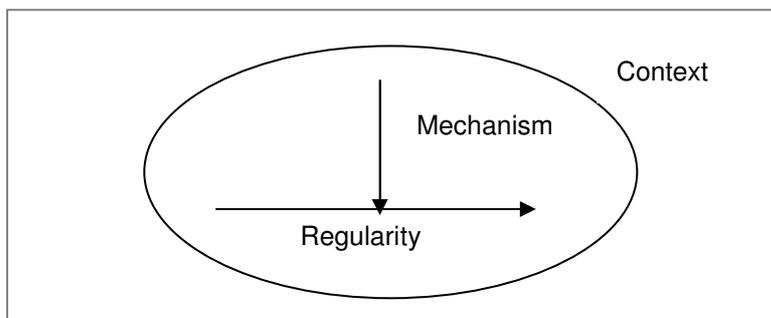
An intervention usually aims to alter some kind of regularity, be it poverty, unemployment or incidence of HIV/AIDS. The following graphic illustrates the change in Context, Mechanism and Outcome:

Figure 2.6: Illustration of a change in elements of realistic evaluation
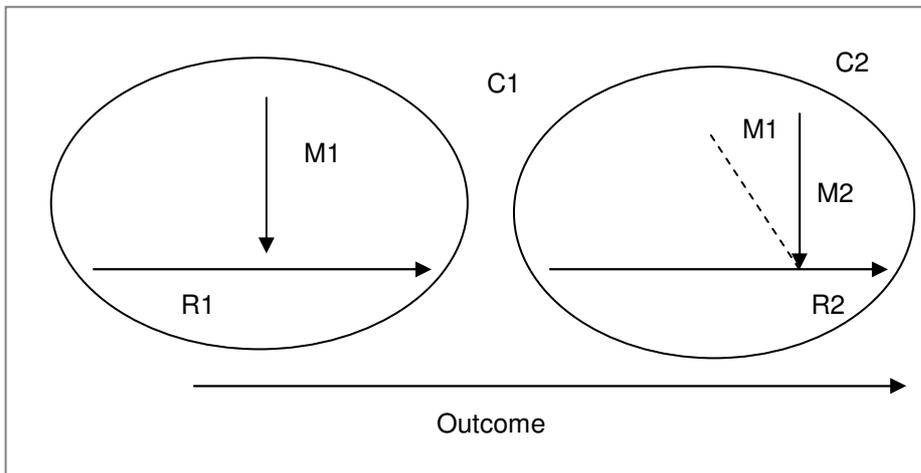
Source: Tilly, 2000

The left oval is a duplicate of the figure above. Oval two shows the change in regularity (R2) when the original mechanism (M1) has been altered slightly or a new mechanism was introduced (M2). This all took place within a different context (C2) and explains why different mechanisms now produce different outcomes (shown via linking line at bottom). At an even higher level these ovals are situated within an open system which necessarily influences context, mechanisms and outcomes.

The aim of realist evaluation is not to find out what works because what works for some might not work for others due to changing conditions and different characteristics of the target group. The realist effectiveness cycle, as adapted by Kazi (1998, 1999), illustrates this commitment towards theory development that takes into account context and differing populations.

Figure 2.7: Realist effectiveness cycle
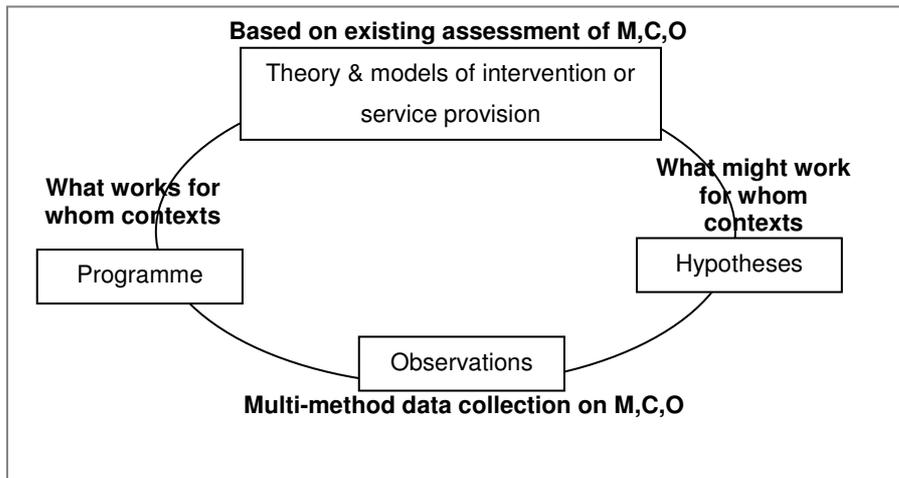
Source: Kazi & Rostila, 2002

The realist evaluation theory provides an alternative way to opening the black box of an intervention's inner working. It suggests that programmes do not cause change, but rather that the target group in reaction to an intervention, within a certain context, activates mechanisms that bring about change.

In the UK, the different decades of administration was characterised by many reforms. Each political party employed its own set of initiatives in an effort to restrict public expenditure. This environment was very different to the way in which programme evaluation advanced in the USA. In the UK, programme evaluation never quite reached the level of priority it did in the USA. Instead of informing policy, programme evaluation's main purpose was to determine how scarce resources should be divided. Only in the 1990s did the application of programme evaluation through the appointment of the New Labour Party and its Modernisation Programme seem to gain ground.

The declining trust in government during the 1980s and 1990s in the UK (as in the USA), paved the way for a new public administration dispensation. The notion of good governance and its link to greater accountability and citizen responsiveness urged governments to become more efficient and transparent. New Public Management-like values and principles gradually infiltrated the UK public sector. For instance, the Thatcher regime in 1979 through performance measurement and greater efficiency tried to address the dismal public expenditure situation. Other NPM-like principles were eventually introduced because of the reliance on private sector principles such as privatisation, decentralisation and contracting out. In the next section, we will consider the NPM movement and its doctrines in greater detail. The discussion will also clarify how NPM has advanced programme evaluation.

2.4. Public Sector Movements: New Public Management

2.4.1. Introduction

It is believed that NPM's popularity worldwide is not only due to pertinent ideas or a theory as these have been widely known in the public sector long before NPM's rise. Rather, New Public Management's origins can be linked to a mixture of ideas and the political/economic context during the 1980s. In terms of theory/ideas, Foster and Plowden (1996) view the public choice economic theory where politics operate as a market with its own set of rules and entrepreneurs and the influence of the management consultants in the public sector as the two major catalysts. However, the change in the international economy in the 1970s, characterised by stagflation and national indebtedness led to a decline in the public's confidence in government's ability to manage state funds. It is all these factors taken together that "gave NPM its opportunity" (Foster & Plowden, 1996).

The adoption of NPM occurred in different ways within a number of developed countries. New Zealand, British and Australian governments have been applying NPM principles without recognising its link to NPM. In Britain, though this was driven by the New Right as opposed to New Zealand and Australia where Labour governments took the lead. In the US, President Clinton was viewed to be the main supporter of NPM practice and as mentioned before, was very much inspired by the work of Osborne & Gaebler: *Reinventing Government* (Foster & Plowden, 1996).

The strong focus on performance measurement in the UK and USA in the latter two decades of the previous century did not happen accidentally. The new public management movement can be viewed as a pivotal influence on programme evaluation via the emergence of the performance management paradigm.

2.4.2. Where performance management meet the new public management movement

The general loss of confidence in the government's ability to spend tax money properly remains the most commonly stated reason for the emergence of the new public management approach. Dissatisfaction with vague justifications for poor performance paved the way for a much needed revival of concepts such as effectiveness and efficiency. NPM was seen as a solution to address poor performance and reinstate the citizens' trust in the public sector's management abilities. It is viewed as a post bureaucratic movement whereby competition for resources was effectively increased and accountability measures to determine effectiveness of outputs were employed.

Lane's broad definition provides a starting point of what New Public Management entails:

"New Public Management is the theory of the most recent paradigm change in how the public sector is to be governed" (2000:3).

Barberis and Schedler & Propellers' definitions of NPM are more specific:

New Public Management is the generic term for the globally rather uniform, overall movement of government reforms. The main characteristic of NPM reforms is the change from <u>input to output</u> orientation (cited in Schedler & Schardf, 2001:777).

NPM is used to describe a management culture that <u>emphasizes the centrality of the citizen or customer</u> as well as accountability for results. It also suggests structural or organizational choices that promote <u>decentralized control</u> through a wide variety of alternative service delivery mechanisms, including quasi-markets with public and private service providers competing for resources from policymakers and donors (Barberis, 1998).

This new management culture as Barberis puts it has as its central focus the reinstatement of the citizen's trust in the government's ability to manage the public sector efficiently. This fixation on public sector efficiency led to the instilling of a culture of "checking". Hence, the emergence of the audit society and "audit explosion" – terms regularly borrowed from Power's 1997 popular publication titled 'The Audit Society". Hoggett (1996) argues that restructuring attempts in specifically the UK have been accompanied by three distinct strategies of control:

- The introduction of competition in order to co-ordinate the activities of the decentralised units
- Decentralising operations whilst simultaneously maintaining a centralised control over strategy and policy
- An expansion in the development of performance management and monitoring – like initiatives and activities

It is the latter, i.e. performance management, that has become one of the main doctrines characterising the new public management movement. Hood (1995) provides a comprehensive account of the doctrinal beliefs that exist in the literature on the NPM. The sixth doctrine – formal measurable standards and measures for performance – has intensified the ever present, yet lingering performance management discourse. Hood's summary in Table 2.1 below shows the overlapping dimensions of NPM as it has manifested in different intensities in the OECD countries. The beliefs it replaces as well as the accounting principles are included in the table.

Table 2.1: Doctrinal components of new public management

Doctrine	Replaces	Accounting implications
1. Unbundling of Public Service into corporatised units organised by product	Belief in uniform and inclusive Public Service to avoid underlaps and overlaps in accountability	More cost centre units
2. More contract based competitive provision, with internal markets and term contracts	Unspecified employment contracts, open-ended provision, linking of purchase, provision production, to cut transaction costs	More stress on identifying costs and understanding cost structures; so cost data become commercially confidential and cooperative behaviour becomes costly
3. Stress on private-sector styles of management practice	Stress on Public Sector ethic fixed pay and hiring rules, model employer orientation, centralised personnel structure, jobs for life	Private-sector accounting norms
4. More stress on discipline and frugality in resource use	Stable base budget and establishment norms, minimum standards, union vetoes	More stress on the bottom line
5. More emphasis on visible hands-on top management	Paramount stress on policy skills and rules, not active management	Fewer general procedural constraints on handling of contracts, cash, staff; coupled with more use of financial data for management accountability
6. Explicit formal measurable standards and measures for performance and success	Qualitative and implicit standards and norms	Performance indicators and audit
7. Greater emphasis on output control	Stress on procedure and control	Move away from detailed accounting for particular activities towards broader cost centre accounting; may involve blurring of funds for pay and activity

Source: Hood, 1995:96

The development of performance indicators soon replaced the peer review system and in the last few years the performance measurement movement has adopted a more results-based focus. Where the initial focus was placed on inputs and process, governments increasingly came to realise the need to address the "So what?" question. Governments are expected to provide more specific answers on whether policies and programmes have achieved their objectives. The global movement has caused government to put in place systems that can answer not only questions around efficiency but also effectiveness. The development of Monitoring and Evaluation systems

are just one way in which governments have gone about to give more credible answers around resource expenditure. The spotlight on outcomes and impact led to a shift in favour of programme evaluation as opposed to monitoring.

Despite the somewhat fragmented presentation of the NPM's doctrines, one should caution against viewing this movement as merely a bundle of loosely coupled changes. It remains an integrated approach seeking an overall redirection of the entire public management system (Schimank, 2005:366). Barzelay (2001) adds that although public management was initially viewed as a process where policies were formulated and not a policy topic "in its own right", it did in later years become a policy agenda issue.

The acceptance of this movement as a new public management order has been remarkable. Many arguments and debates have emerged around the "validity" of New Public Management. Some are not convinced that NPM is in fact a new phenomenon (for example Gow & Dufour, 2000). Others have questioned the relevancy of this movement across left and right wing ideologies (for example Hood, 1995). It is in particular this final statement that will be further discussed below. In preparation for Chapter 4 where we will discuss the emergence of Programme Evaluation in the South African public sector it is our purpose to show that NPM's application in a specific country is directly linked to a variety of contextual factors. Adherence to a particular political ideology is not the only factor that plays a role in creating a nurturing environment for NPM. Some of the characteristics associated with NPM have not manifested in practice as originally envisaged, for example the issue of control which under the NPM has not changed its nature but simply its appearance.

2.4.3. Criticism of NPM

This section will first consider some common critiques on the NPM and the response or solution to these points of criticism where addressed by other scholars. Firstly, NPM is criticised because it cannot be applied across countries which implies the need for a very particular context in order for the movement to thrive. The framework developed by Flynn (2002) will provide the basis for this argument. Secondly, although not listed under the common critiques, an article by Hogget (1996) provides an interesting perspective on the "hands-off" forms of organisational control as propagated by the NPM movement. Hood, in a 1991 article lists another set of common critiques frequently covered in NPM literature:

i) NPM is equated to the Emperor's New clothes – all hype and no substance. Supporters of this view believe that managerialism remained unchanged and that a mere modification of the language has occurred.

ii) NPM has damaged the public service in that aggrandisement of management has taken place. According to this viewpoint different standards apply to those who are governed by NPM-like principles and those who enforce them. A remedy would be to impose the same strict cost saving measures on management and control units

iii) Further to the above, NPM is viewed as a "vehicle of particularistic advantage" whereby an elite group of people is favoured, i.e. the managers and officials in central units. The solution would be to cut back on these staff rather than operational staff

iv) The final critique attacks NPM's claim of universality where critics believe that NPM cannot be applied as a blueprint across countries. The alteration of administrative values has a significant impact on the administrative design of a country and vice versa. See the discussion after Lane's points of critique.

This list of critique is even further expanded by Lane (2000):

i) NPM is simply a right wing ideology: Hood (1995), in an attempt to explain the variation in application of NPM across different countries, drew up a scoring system to measure the occurrence of NPM in right wing and left wing countries. He found no correlation between the use of NPM and political orientation. Countries such as Sweden and France which scored high and medium respectively on the *NPM emphasis barometer* were the obvious misfits with a strong left political incumbency.

ii) NPM is nothing new but simply old contracting out: Government is not simply contracting out but is in fact also *contracting in* in an effort to enhance competition.

iii) NPM is a special manipulative discourse: Although NPM terminology has attracted critique, more analysis and research is probably necessary to study the language associated with NPM. The movement has surpassed the stage of symbolism affecting real change in several countries (Lane, 2000).

iv) NPM is an incoherent mixture of popular ideas: NPM is not merely a cocktail of public choice theory and private management. Its focus on decentralisation and extension surpassed the old Taylorism, making it a distinct movement in its own right.

v) NPM is a mere extension of micro-economic theory from the private sector to the public sector.

Picking up on the claim that NPM cannot be applied as a blueprint across countries – this should in the first instance not be classified as a criticism or shortcoming of the movement. Instead it should be recognised that it is impossible to duplicate NPM's application from one country to the next and any attempt to do so will be futile. This statement is supported by a framework developed by Flynn (2002) to better understand the role of country specific contexts of NPM's application. The model recognises that different countries have different contexts with regards to the i) immediate policy context; ii) political sphere; iii) the manner in which proposals to rectify problems are set forth; iv)

the institutional contexts in which these proposals are implemented; and, v) determining whether the desired outcomes have been attained. Figure 2.8 provides a somewhat shortened version of the contextual elements influencing NPM's application.

Figure 2.8: Contextual elements influencing NPM's application
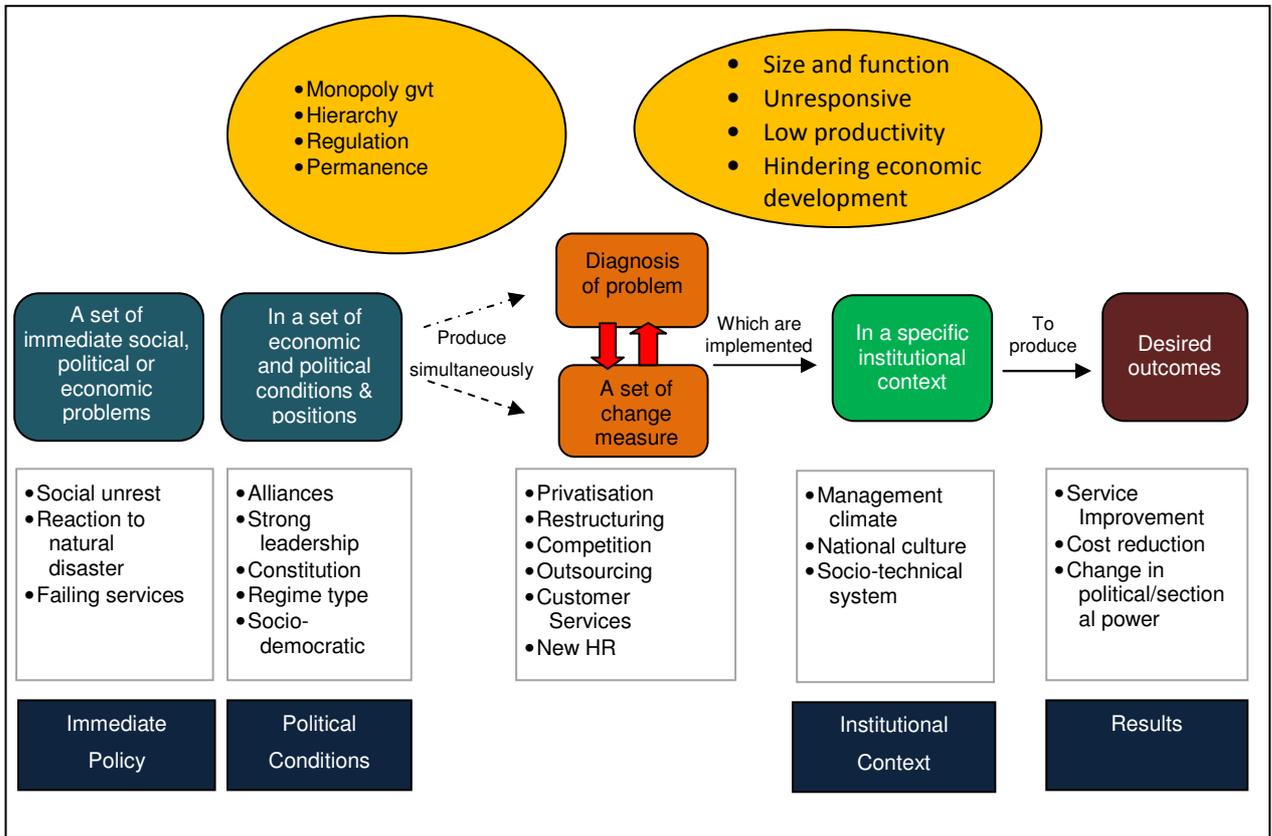
Source: Abbreviated and adapted from Flynn, 2002:75

The items listed at the top of the figure show an awareness around macro and micro economic conditions but also include other variables such as the size of government, the degree of integration of government, whether it is a monopoly or democracy, levels of hierarchy, etc. Hereby it is emphasised that macro economic conditions are not the only drivers of policy responses. The figure makes the case that a single variable, no matter how strong its presence, is not on its own likely to exert much influence on the sequential chain of "role-players". Even though not comprehensive, the model/framework provides some idea as to the multitude of factors and contexts playing a role in NPM's application. Changing management in the public sector is context specific. Consider Flynn's (2002:74) example of the influence of a strong national culture:

> "If there is a strong national culture that reinforces hierarchy and is comfortable with large power differences and reluctant to individualise responsibility, then a reorganisation to removes tiers of management and devolves responsibility will be difficult. Other approaches to

performance improvement, such as hierarchical system of measurement and a collective responsibility would be easier to implement".

In essence, each country's mix of variables will influence the manner in which NPM manifests.

As far as control is concerned, it is envisaged by supporters of NPM that a more hands-off approach towards organisational control will follow. Hoggett (1996) however disagrees and instead proposes that old forms of control were simply replaced by new kinds of formalisation. This encompasses:

- A move away from input to output control in the form of sanctions and incentives directly linked to performance
- A shift from impersonal but close supervision to a remote form of surveillance. Old job specifications has been replaced by key performance areas which is monitored at a distance by the centralised locus of control
- The overwhelming number of performance monitoring systems being enforced such as audits, reviews, appraisals, progress reports etc.
- New forms of proceduralism

Power (1997) suggests that this culture of checking might have spun out of control: state audits are only intended to evaluate the means and not the ends of government programmes. He continues to make the case that trust and power go hand in hand – although a level of trust is needed to prevent "excessive checking", the boundaries of trust remain blurry. Where does checking stop and trust begin?

Much debate still surrounds the New Public Management movement. A number of explanations currently exist of the variation in application of NPM. Attempting to link the rise of the movement to traits such as being an Anglo-American country, party politics through inauguration of right wing presidents and NPM being a response to fiscal stress, does not hold water. The critics of NPM still question its substance and its ability to deliver on cost reduction objectives. The most common criticism surrounds the issue of universality and whether NPM isn't a mere altering of the "settings" of the system (Hood, 1991).

2.5. Conclusion

The chapter highlighted the commonalities and differences in the way in which Programme Evaluation evolved in the UK and America over various time periods. Similarities are found in a) the drivers of programme evaluation, b) the strong link that exists between the fiscal situation and purpose of programme evaluation, c) the way in which the various political administrations'

agendas influenced the commitment to programme evaluation and d) the role played by the audit institutions in conducting programme evaluation in the executive and legislative branch.

In terms of both the UK and the US, central government has been the primary driver of Programme Evaluation. This is particularly true in the case of the US where federal government over the various periods under discussion took the lead in promulgating programme evaluation. In the UK, this notion does not come out as strongly because for many years government operated under secrecy and was reluctant to become more transparent. Secondly, the different time periods selected reflect very different fiscal situations. For example the booming 1960s and unlimited budgets in the US led to an upsurge in programme evaluation studies. The purpose of evaluation at that time was mainly to gather *information* – whether on existing programmes or with the aim of informing future programmes. The mid 1970s in both countries was characterised by dismal fiscal situations and this was reflected in the purpose of the evaluation studies conducted. Programme evaluation now had to inform *resource allocation* and was used to justify certain policies and programmes. Overall, not many evaluation activities were undertaken at that stage in either country.

The different periods under review saw various political parties coming and going. The respective political leaders' agendas strongly influenced the importance attached to programme evaluation. In the US, the Kennedy and Johnson Democratic administrations supported programme evaluation whereas Reagan and Nixon, with their more conservative Republican notions, focused on performance measurement in order to cut back on public expenditure. In the UK, the Thatcher regime was convinced that better resource management would improve service delivery and lead to a more efficient public sector. Under the leadership of Reagan and Nixon and Thatcher and Major, programme evaluation stagnated. An upsurge was again experienced in the late 1990s. Gordon Brown's modernisation programme and the implementation of the Government Performance and Results Act are the two main initiatives that sparked interest in Programme Evaluation towards the end of the 20th Century. This renewed interest in Programme Evaluation can be directly linked to the New Public Management movement that came about in the mid 1980s, early 1990s. The results based approach which forms part of the NPM movement marks a shift from inputs and process to outcome and impact. It is anticipated that this will once again secure the place of programme evaluation in the policy making process. Finally, in both countries under discussion, auditing institutions were initially tasked with the evaluation function. The GAO in the American legislative branch and The National Audit Commission in the UK for example were mainly staffed by accountants. The GAO was specifically established to balance the power of the executive branch that up to then was the sole undertaker of evaluation studies.

The main differences between the US and the UK in terms of programme evaluation pertain to a) the extent of uptake and b) the contribution made by the US in professionalising the field. The strong social science tradition that had existed in the USA for many years, strongly supported programme evaluation's advancement. Another enabler was the strong backing received from Federal government through, firstly, the investment made into programme evaluation during the 1960s and, secondly, the issuing of certain legislation to formalise programme evaluation's place in the policy making process. It can be concluded that this initial strong support in terms of existing social science expertise and avid support at federal government level provided a strong base for the evaluation discipline. In terms of professionalising the field, the US unequivocally took the lead. The list of evidence is extensive: the US took the lead in developing formal programme evaluation training programmes; the country established many evaluation journals; the majority of evaluation theorists and the main paradigms originated from this country and the American Evaluation Association and its predecessors were the first of its kind and, over the decades continues to support, educate and stimulate its members.

In conclusion, both countries have over the decades gone through various phases where programme evaluation's popularity depended on prevailing fiscal situations and ultimately the reigning political administrations' agenda. The pertinent role played by governments in the UK and US do not reflect the way in which Programme evaluation "reached" South Africa. The next chapter will consider the very different way in which Programme Evaluation emerged locally.

CHAPTER 3: THE EMERGENCE OF PROGRAMME EVALUATION IN THE NPO SECTOR IN SOUTH AFRICA

3.1. Introduction

The history of voluntary organisations in the North dates back to the First World War when organisations such as the Catholic Church-based CARITAS and Save the Children Fund were founded in an effort to address the aftermaths of war. In the South, the emergence of the voluntary sector followed a very different trajectory. These organisations in most instances were involved in independence struggles and aimed in some way to offer relief to the disadvantaged people and address social injustice on the whole. NPOs[7] for many decades have been the preferred channel for donor aid, leading to the mushrooming of NPOs. For instance, in the industrialised North, NPOs registered with the OECD grew from 1600 in 1980 to 2970 in 1993. Total spending invariably escalated from US$2.8 billion to US$5.7 billion over the same period (OECD as cited in Edwards & Hulme, 1996b).

The first evidence of evaluation-like activities during the early years in South Africa is found within the NPO sector. It was mainly through the international donor community that programme evaluation found an entry point into South Africa. We commence this chapter by postulating the hypothesis which relates directly to the way in which the donor community entered South Africa. As donors' interest expanded in South Africa we became more susceptible to "outside" movements and paradigms. In parallel, the rising global accountability movement further strengthened and advanced the monitoring and evaluation thrust in this sector. This is especially true post 1994, when donors started exerting greater pressure on programme staff in the name of greater accountability and cost effectiveness. We will show that the way in which programme evaluation emerged locally is in contrast to the situation in the US and UK, where monitoring and evaluation was largely driven and steered by government.

In the second and third part of this chapter we distinguish between two time periods (mid 1980s up to 1994 and post 1994) in terms of:
   i) the size and scope of NPO funding,
   ii) the focus areas of NPO funding and
   iii) the different accountability mechanisms applied during the two time periods, with a focus on programme evaluation

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[7] For the greatest part of this chapter we will use the term NPO for consistency purposes. The reader should bear in mind that before 1997 Non Profit organisations were referred to as Non Governmental Organisations (NGOs).Where appropriate the term NGO will still be used.

The cut off point between these two periods is directly linked to the significant political shift that occurred in 1994. A direct result of the establishment of a democratic government was the changing criteria around project funding and accompanying accountability considerations. The reason for not tracing the history beyond the mid 1980s pertains to the very limited donor activity: beside the Nordic countries' financial support, very little funding entered the authoritarian state at that stage. Denmark, for instance, already started channelling funds since the mid 1960s, followed by Norway and Sweden in the 1970s (Hearn, 2000).

The chapter is concluded with a review of programme evaluation activities within the private sector. Although this sector did not play a leading role in introducing the field locally, it has made a contribution in further establishing the field. Various private sector organisations (such as the Business Trust and Zenex) have fully embedded the M&E function in their practice.

3.2. The Donor Community as catalyst

It is evident from the literature that programme evaluation's growth locally is directly linked to the opening of country borders after 1994. However, donor funding should not be viewed as a post 1994 occurrence as donors had supported South Africa for many years prior to the democratic election. Although some international agencies simply pursued their own organisational agendas locally, many international donor agendas and preferences stemmed from international movements and trends.

The simplistic figure below, illustrates our hypothesis that international movements and trends affecting the NPO sector, including programme evaluation, reached South Africa via the donor community. The notion of donor influence as portrayed in this figure is later linked (cf. section 3.3 and 3.4) to the two selected time frames in order to reveal the differences in terms of i) the way in which funds were channelled, ii) the funding focus areas, iii) the size of donor funding and iv) the importance attached to accountability.

Figure 3.1: Our hypothesis around the emergence of programme evaluation
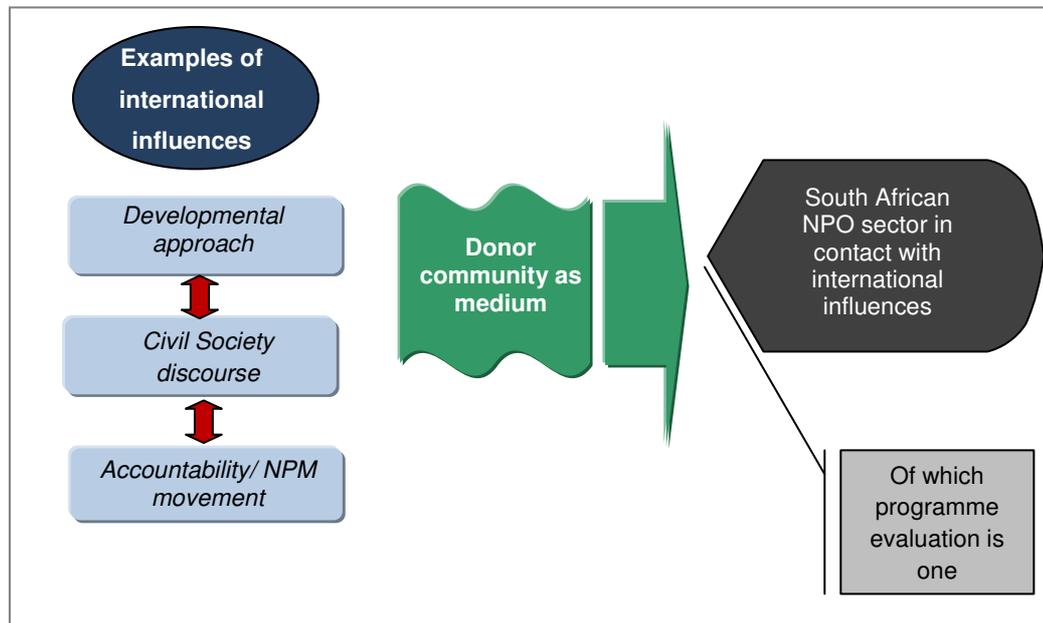
It is important to highlight a few issues at the outset. Firstly, the examples of international influences provided in the figure are by no means inclusive of ALL movements and influences that exist in the global arena in terms of Non Profit organisations' activities. Instead, we have focused our efforts on those influences that have in some shape or form contributed or preceded the introduction of programme evaluation locally. Secondly, these movements are very much intertwined and linked (as indicated by the double sided arrows) and should not be viewed as "loose standing" movements or occurrences. The discussion below supports this latter statement.

The concept of civil society gained prominence in the late 1970s and 1980s when many oppositional groups were established in protest to the communist states in Eastern Europe (White, 2004). The end of the cold war and accompanying collapse of communism led to a strong developmental focus (Grimstad, 1994) as many bilateral and multilateral agencies pursued the 'New Political Agenda' in an effort to bring about social welfare, alleviate poverty and develop civil society.

The New Political Agenda was two pronged – firstly, there is the element of economic growth and liberalisation and specifically the belief that the private sector and the markets are better equipped to enact this than the public sector. A liberal democracy supports economic liberalisation in addition to political freedom. Prevailing models of democracy however often resembles a polyarchy which means that political freedom still exists alongside socioeconomic inequalities. Fowler (1993) reiterates this by promoting a "Western form of democratic representation", where

economic growth and poverty alleviation occur. Plant (1992), in a similar vein, argues that social and economic rights only joined debates around citizenship in the twentieth century. It was assumed up to this point that citizenship only encompassed civil and political rights as the level of economic wealth relied heavily on the individual's ability to generate income. The capitalist notion that the market would determine a person's economic and social standing was severely challenged, culminating in a paradigm shift that citizenship needed to include the right to welfare. In fact, the right to welfare is directly linked to the concept of social justice and is not simply prescribed to market outcomes. As Plant (1992:16) puts it:

> "Citizenship confers a right to a central set of resources which can provide economic security, health and education – and this right exists irrespective of a person's standing in the market. The idea of welfare rights, contrary to some of the basic ideological assumptions of laissez faire capitalism, confers an economic and social status outside the market; it involves the idea of a just distribution of resources and therefore a correction of market outcomes".

Secondly, good governance – which refers to democracy – requires active involvement at civil society level in an attempt to balance state power (Edwards & Hulme, 1996a). The underpinnings of the liberal theory attach great importance to the involvement of civil society in "remoulding" of authoritarian governments (Hearn, n.d.). The general conviction remains that liberal democracies are preferred over the authoritarian rule as it is the best way to ensure social stability.

Notions such as liberalisation, privatisation and free market economies received increasing attention in the 1990s with the onset of the New Public Management movement. As set out in the previous chapter, this movement draws heavily from private sector practices and had various implications such as the demise of state-owned economy and the enterprise system.

A free market and enterprise system necessitates a strong civil society, which in developing countries is not always the case. Civil society fulfils a crucial role in that it creates a space where the non-governmental public can debate policy. Instead of being mere recipients or consumers, citizens can become participants in shaping policy. Other advantages of a strong civil society include a greater understanding between community members and the decision makers leading ultimately to public policy that is free from political agendas:

> "There are numerous benefits associated with citizen participation in policy-making. In addition to ensuring greater transparency, accountability and legitimacy, reaching understanding between communities and decision makers should be considered as the ultimate goal of public participation in the policy-making process. Building consensus among governments and communities eventually leads to more inclusive, democratic and most importantly, higher quality public policy, which reflects the public interest versus political agendas of various levels of government" (IDM 2008:4).

The civil society sector as a whole acts as mediator between the state and society in order to balance the power more evenly and add pressure to the state in being more accountable. Other ways in which civil society can shape the quality of governance and enhances democracy are to White (2004:13-16):

- Fulfil a watchdog role in that civil society promotes greater social responsiveness by means of introducing performance management and accountability in government

- Act as an intermediary between state and civil society in order to create an alternative to a civil society that is only involved in periodic elections. In this way political demands are communicated frequently which also strengthens democratic accountability

- Take up a constitutive role in defining the rules of a democratic society. Different sectors in society have different needs as far as their relationship with the state is concerned, but only through active engagement can government respond to these needs and in this manner influence the rules of the "political game".

It is recognised that a vibrant civil society is an indicator of the extent to which democracy has been consolidated and reconstructed and is making an effort to build relationships at citizen level (Osaghae, 1996). Under the Apartheid regime, very little attention was afforded to the rights of the majority of South Africa's citizens. Their voice was weak and carried no power or significance in so far as the governance of this country was concerned (Osaghae, 1996). Civil society during these years constituted those organisations in direct opposition to government which included NPOs. These organisations assisted the apartheid victims in an effort to address the inequalities of the past and were commonly referred to as anti-government organisations as they chose to side with the poor and oppressed majority black population. Friedman (1996) narrows this down to the activists and those sympathetic to the African National Congress (ANC), United Democratic Front (UDF) and the organisations uniting with the UDF.

The mid 1980s to early 1990s marks the strengthening of the local civil society sector due to the shift worldwide towards the rights of the citizen. NPOs increasingly became aware of their crucial role as mediator between civil society and government in building the democracy. These organisations became active reformers of government institutions in promoting greater accountability all round, building capacity of civil society in order to communicate with government more effectively and finally by establishing new political organisations that better fit with the indigenous values and situation (Fowler, 1993).

Accountability refers to the "obligation to report on one's activities to a set of legitimate authorities" (Jordan as cited in Lee, 2004). Although a relatively easy concept to define, accountability remains complex and multi-dimensional. Cornwall, Lucas and Pasteur (as cited in Ebrahim, 2003) emphasise the two-dimensional nature of accountability. First, there is an external responsibility in

that an organisation is held responsible by an outside stakeholder (usually the donor). Secondly, internally, the need exists to take responsibility for one's operations. Accountability to external stakeholders occurs upward (to donors) and downward (to beneficiaries). Internal accountability moves sideways and indicates a responsibility to programme staff (Najam as cited in Ebrahim, 2003).

The notion of accountability really gained popularity during the 1990s as good intentions and commitment became insufficient indicators of achievement. The New Public Management movement is closely linked to the greater focus afforded to accountability as governments had to find alternative ways to address the public's waning confidence in government's ability to properly manage public funding. It should be kept in mind that the main source of Official Development Assistance (ODA) is international governments. It is therefore not surprising that the public sector's focus on performance measurement trickled down to the development field.

Additional to the external pressure exerted by donors (and invariably governments), a variety of factors from within the NPO sector also fuelled the need for greater accountability:

- The unprecedented growth of the NPO sector necessitated the need for greater transparency
- The increased amount of funds allocated to NPOs in response to the lack of confidence in governments to deliver services effectively during the 1980s
- With the increase in funding and achievement of critical mass, NPOs systematically gained greater power in influencing policy which necessitated greater accountability
- The crisis of legitimacy affecting governments and private sector has spilled over to the NPO sector
- The NPO sector's demand and lobbying for greater transparency and accountability in the government and private sector has in fact "backlashed" to NPOs themselves
- The onset of the "third wave of democratisation" as initiated by the fall of the Berlin Wall has strengthened the need for accountability as democracy is directly associated with greater responsibility to the citizen.
    (Lee, 2004:3-5)

Although not as formalised as the public sector, NPOs remain connected to civil society and needs to disclose basic information about their conduct and subscribe to minimum sets of standards in order to remain legitimate in the eyes of their stakeholders. This is however problematic as there is a lack of agreed on standards in the NPO realm as to what constitutes quality, programmes are highly contextualised and no "obvious bottom line" exists:

"Unlike businesses (which must make a profit) and governments (which must face elections), the bottom line for NPOs shifts according to the situation at hand" (Edwards & Hulme, 1996b:9).

Given this broad background, the manner in which accountability was enforced in the NPO sector will be picked up again in section three. Given that programme evaluation entered the country through donor funding we will proceed in this chapter with a discussion of a number of issues pertaining to NPO funding such as the prominent donors as well as the size and focus of their funding pre and post 1994.

3.3. NPO funding

NPOs primarily receive funding from four sources:
- international aid (private and solidarity)
- the local business sector
- local government
- Individuals

Of these, the first three will be discussed in various levels of detail keeping the main criteria in mind, i.e. which of these primary sources of funding contributed most significantly to the emergence and growth of programme evaluation locally. It will become evident that in the two periods under discussion (pre 1994 and post 1994), the financial contribution from these three sources varies extensively on a number of fronts including size, focus and distribution methods. After the first democratic election, the four primary sources of funding remained intact (i.e. government, foreign donors, corporate social investment (CSI) and the individual) but the most noteworthy change has been the creation of a second tier which has ensured that funds are firstly aggregated and then channelled to the voluntary sector. The dotted lines in Figure 3.2 indicate that in some instances funds reach NPOs and beneficiaries without the use of the second tier:

Figure 3.2: Tiers of development funding
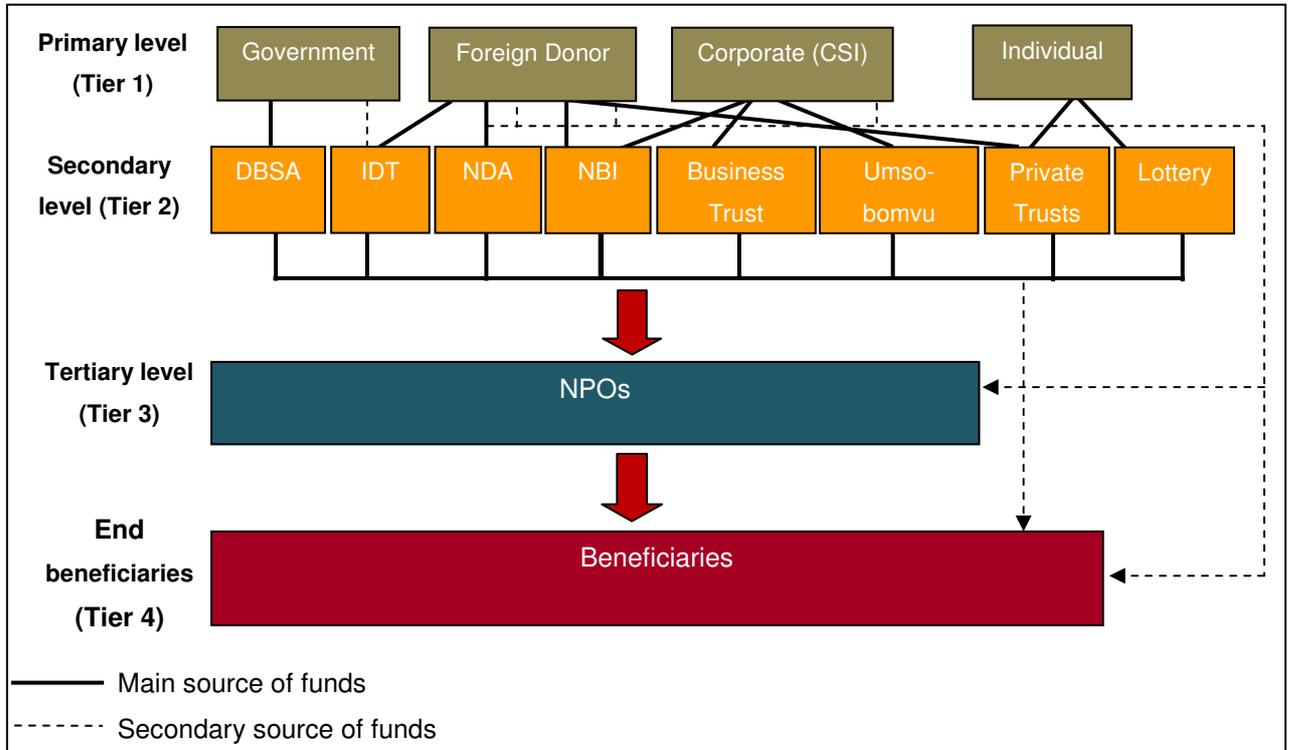
Source: Trialogue: 2003:88

The tier two funds – titled *special funds* – came about to serve a clear public purpose which is to promote development, increase investment and contribute to the alleviation/reduction/eradication of poverty (Swilling, van Breda & Van Zyl, 2008). The list of special funds include the Special Poverty Relief Account, Independent Development Trust (IDT), Isibaya Fund, The National Development Agency (NDA), Khula, National Lottery Board, National Skills Fund, Operation Jumpstart Association, Ntsika, South African Women Entrepreneur Network, Umsobomvu Youth Fund, National Empowerment Fund, Local Economic Development Fund and iTshani Fund.

For both time periods we have singled out specific agencies, funding bodies and funding channels that in some way played a significant role in growing programme evaluation locally. The agencies referred to from here onwards are therefore by no means all-encompassing.

3.3.1. Mid 1980s-1994

The years leading up to South Africa's first democratic election in 1994 were marked by the establishment of many non government organisations in order to address the widespread effects of the apartheid government. Health sector examples included mobile clinics through which the

Black Community Programmes aimed to bring medical assistance to the poor whilst the Transvaal Rural Action Committee lobbied and advocated for the interest of the poor rural black population. Educational NPOs in particular showed unprecedented growth in an effort to counteract the deeply devastating effects of Bantu Education. Some examples include the Early Leaning Resource Centre (Est. 1972), St Francis Adult Education Centre (Est.1972), Maryland Literacy Programme (Est.1976), Urban Foundation (Est.1976) and Council for Black Education and Research trust (Est.1982) (Walters, 1993). A 1993 synopsis of community organisations in the greater Cape Town area shows the strong focus on education, research, resource and information community organisations as well as the long history of voluntary organisations in South Africa. Table 3.1 contains the detail:

Table 3.1: Number of Cape Town community organisations per sector: 1858-1991

	TOTAL	CIVIC	Community work	Cultural	Education Research Resource Information	Political	Student & Youth	Women
1858-1956	34		3		18	3	3	7
1957-1963	16		2		10	2	2	
1964-1969	12				10		2	
1970-1975	38	1	12	2	15	2	5	1
1976-1979	53	1	4	9	30	1	4	4
1980-1982	74	6		5	49	2	7	5
1983	24		1	3	11	3	5	1
1984	17		1	4	9	1	2	
1985	62	1		2	38	5	15	1
1986	40	3	3	2	20	4	4	4
1987	36	1	3	2	22	3	4	1
1988	26			3	12	10	1	
1989	13	1			6	6		
1990	11	1			7	2		1
1991	6			1	2			3
Unknown	67	12		5	34	1	6	9
TOTAL	*529*	*27*	*29*	*38*	*293*	*45*	*60*	*37*

Source: Walters, 1993

There is not a huge repository of information available for this time period in terms of NPO funding. Donor assistance was provided in quite an ad hoc manner, mainly due to the isolated stance of government and sanctions being enforced worldwide. Solidarity funding that did enter the country was mainly *channelled directly* to NPOs and focused on the victims of apartheid.

The shift worldwide as far as civil society's role in advancing development led to local NPOs becoming the obvious channel for democracy assistance as these bodies were closest to the citizenry – specifically formal, urban-based, elite advocacy NPOs (Hearn, 2000; Hearn, N.D). It is precisely for this reason that local NPOs concerned with democratisation saw such tremendous growth during the mid 1980s up to the early 1990s. In South Africa it can be narrowed down to some 20 organisations which includes women's organisations, human rights/legal aid groups, think tanks, development NPO forums, governance and democracy NPOs and media associations (Hearn, n.d.). Of these 20, seven fall within the governance and democracy category and include: IDASA, the Institute for Multi-Party Democracy, the Khululekani Institute for Democracy, the Electoral Institute of South Africa and the South African Institute for Race Relations.

Let us consider some specifics in terms of where the solidarity funding came from and the specific areas it covered before moving on to the local government funding sources:

3.3.1.1. International funding: Solidarity funders and their broad areas of focus

Solidarity funding was mainly channelled directly to NPOs or through religious organisations and structures such as the South African Council of Churches and the South African Bishops Conference. Established in May 1985. The Kagiso Trust provided another means for those wishing to support the anti-apartheid movement. An extract from Jeremy Seekings's publication (2000:218) around the history of the United Democratic Front, provides a background to the vital role this organisation played during the apartheid years:

> "The sums channelled directly through the UDF were dwarfed by the sums given to its affiliates through other means. Foremost among these channels was the Kagiso Trust. This was established in order to channel funds allocated by the European Community to its Special Fund for the Victims of Apartheid. ...Large sums were allocated to civic organisations and advice offices...Between January 1987 and March 1988 the Kagiso Trust granted almost R900 000 to civics and advice centres in Natal, almost R300 000 in the Transvaal and about the same in the Western Cape."

The donor countries/agencies that provided financial assistance during the years preceding the 1994 election were: USA (USAID), European Union (EU), Germany (Friedrich Ebert Foundation and the Konrad Adenauer Foundation), Denmark, Norway, Sweden and Japan.

The USA's assistance by means of USAID, commenced in 1986 when the US Congress passed the Comprehensive Anti-Apartheid Act which imposed partial sanctions on South Africa for as long as apartheid existed (Brent,1994). Donor support during this period had a strong focus on democratisation and civil society. The magnitude of US funding for this purpose can only be fully comprehended when a comparison is drawn with other new democracies such as Uganda and Ghana: between 20% and 60% of total aid to South Africa, was geared towards democracy assistance whereas Ghana received around 4% for this purpose (Hearn, n.d.). It is estimated that between 1985 and 1993 USAID provided $420 million[8] in an effort to support the transition to democracy (Brent, 1994).

Another form of US assistance came in the form of scholarships where black South African students were sponsored to enrol in overseas educational institutions. Examples of this included the United States-South Africa Leadership Exchange Programme with the aim of "promoting capacity building for democratisation" (Bratton & Landsberg, 1999:10).

An additional donor during this period was Germany. The support has also been politically inclined with funding being provided since the 1960s to a variety of local political parties and other key institutions. Examples of this include support provided by the Friedrich Ebert Foundation to the ANC, whereas the Konrad Adenauer Foundation supported Buthelezi and the Inkatha Freedom Party (Hearn,n.d.).

The UK's funding has supported the improvement of government. Other key donors include the Nordic countries. Denmark, Norway and Sweden also provided assistance with Sweden's contribution estimated at approximately $400 million between 1972 and 1993. These Nordic countries' support, including that of the Netherlands, was more sporadic and to benefit the "underground" civil society (Hearn, n.d.).

Japan's assistance commenced around the same time as that of USAID with contributions made to the Kagiso Trust to help black South Africans in the field of education, medical treatment and job training (Hara, 1994). From 1987 to 1994 the amount channelled to South Africa by Japan came to about $9.5 million. Japan's initial focus on black South Africans continued and from 1990, Japan International Co-Operation Agency of the Japanese Government (JICA) began accepting black South African trainees in courses such as agriculture, engineering, construction engineering, productivity, personal computer, welding techniques, etc. (Hara, 1994).

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[8] $340 Million according to Hearn, n.d.

Private international foundations such as Mott and Ford also entered the NPO scene at this stage to lend support to those marginalised by the apartheid regime. They mainly channelled funds directly to NPOs.

3.3.1.2. Government

On the financial side, government provided limited support to NPOs. The Fund Raising Act 1978 for example allowed for no concession but instead stipulated that all donations from the public be authorised by the Director of Fundraising. The fact that many struggle-orientated NPOs operated under the radar as they faced disbandment and even imprisonment forced NPOs to hide their funding sources during apartheid (Habib & Taylor, 1999). Some relief came later with The National Welfare Act in that some subsidies were allocated to the NPO sector.

The Independent Development Trust was established by the National Party in 1990 to fund projects that attended to the neglected areas brought about by apartheid. The Trust's mandate was to focus on the "poorest of poor" in the areas of education, housing, job creation, health and rural development (n.a.,n.d.) By the end of 1996 this fund had provided project funding to the value of R2.4 billion (Nuttal, as cited in n.a.,n.d.). Of late, the Trust has taken on a different role as a development agency *"that offers programme management and development advisory services"* (IDT, 2010). The funding from the Independent Development Trust was carried over to the National Development Agency in 1999.

Although apartheid was still alive during the early 1990s, indications were that the time for change was near. In February 1990 president de Klerk announced the release of Nelson Mandela. This marked the start of a four year transitional period from which The Conference on a Democratic South Africa (CODESA) emerged as the transitional executive authority. Initial reservation by some donors to pledge assistance, due to unfortunate incidences, such as the assassination of Chris Hani in 1993, soon subsided when it became clear that all parties were committed to change.

This transition phase (between 1990 and 1994) saw a jump in pledges and ODA jumping to US$307 million. The European Union took the lead followed by the United States, Sweden, Germany and the UK.

3.3.2. Post 1994

After the demise of the apartheid government the locus of power became "up for grabs", so to speak. All levels of government (local, provincial and national),various stakeholders and civil

society players now had to compete for access to power in the newly established structures (Greenstein, 2003). The convergence process was characterised by a mix of new and old elements as these structures negotiated their position and influence in the new democracy. NGOs' somewhat hostile anti-government stance was replaced with a new identity (non-governmental), which in essence reflects the relationship with government rather than a specific political or social orientation (Walters, 1993).

NGOs and Community Based Organisations (CBOs) adopted the collective title of "Non Profit Organisations" to reflect the depoliticised nature of these organisations (Swilling & Russell, 2002). The public purpose transpires strongly in the final definition as contained in the Non profit Organisation Act of 1997:

> "A trust, company or other association of persons established for a public purpose and the income and property of which are not distributable to its members or office-bearers except as reasonable compensation for services rendered" (Swilling & Russell, 2002).

Despite beliefs that the NPO sector suffered financially and faced a huge loss in human resources during these volatile years, results from a study conducted by Swilling and Russell in 2002 suggest otherwise. The size of the non profit sector at the time of the study was estimated at 98 920, of which more or less half were CBOs. In terms of economic contribution, the civil society sector at that stage was estimated to mobilise resources in the region of R13 billion. In so far as human resources were concerned, the non profit sector's total workforce (approximately 645 000) surpassed the major economic sectors such as mining, national government, construction, transport, financial intermediation, insurance and real estate (Swilling & Russell, 2002). Although the workforce seems vast, it was estimated that by 1997, more than 60% of NPO staff had joined government. No wonder that the abbreviation "NGO" at that stage was jokingly referred to as "now government official" (Habib & Taylor, 1999).

The fragmented way in which the sector operated for many years changed after 1994. This is evident in the establishment of the South African National NPO Coalition in 1995 and the many networks that were erected at that stage. The Urban Sector Network, Rural Sector Network and OD Sector Network are just some examples of the way the NPO sector re-organised itself in order to enhance their sustainability (Gordhan, 2010). Government, in particular the Reconstruction and Development Programme (RDP) office, urged the sector to re-organise themselves into a more coherent whole which would ease the channelling of funding. he Non Profit Organisations Act No.71 of 1997 replaced the Fund Raising Act and came into effect in 1998.

The development funding landscape also changed in 1994 as donor countries and agencies started channelling foreign aid bilaterally, i.e. to the government instead of directly to the voluntary

sector. This forms part of the measures undertaken by the South African government to remain in control of donor funding and to ensure that funds were channelled in line with national priorities. This also explains the change in terminology from solidarity funding to official development assistance.

Under the Official Development Assistance (ODA) heading we will consider the size of this type of assistance and the sectors and areas that received the most attention. With ODA funding being channelled through government, an effort has been undertaken to manage ODA funding more concisely. This will also be covered under the ODA heading. Private donor funding is another form of assistance that experienced tremendous growth post 1994 and will therefore be included as well. On the local front, both the public and private sector will be covered in terms of the size and focus of their financial support to NPOs.

3.3.2.1. Official Development Assistance (ODA)

ODA comes in three different forms: grants (non repayable funds), technical cooperation and financial cooperation (loans and credit guarantees). The following definition of ODA is accepted by the OECD:

> "flows to developing countries and multilateral institutions provided by official agencies including state and local government or their exec agencies which is 1) administered for the promotion of economic development, 2) concessional in character and 3) contains a grant element of at least 25% (IDC, 2007).

Post 1994, the RDP Fund became the official temporary "dwelling place" for all ODA funding before being disbursed. Some donors such as the US, Switzerland and Norway aimed to maintain a balance and continued channelling some of their funding directly to NPOs and the private sector (in the case of Norway).

Donor support is viewed as extra-budgetary and therefore does not form part of National Revenue appropriation of funding. By means of the International Development Cooperation (discussed later), the government went to great lengths in ensuring the dependency on ODA remains at appropriate levels as confirmed by Gordhan (2010):

> "So because government has created an International Development Cooperation (IDC) unit which is within the Treasury and they started managing these bilateral and it was an important part because in many other countries in Africa this kind of funding was often bigger than the national budgets So in Mozambique even now I could imagine – NPO funding is bigger than the national budget and that distorts national budgets. So South African government was keen for that not to happen. So they tried to make sure that there were some rules about what happened."

ODA should at all times consider the recipient country's spending priorities. Binational commissions are just one way in which alignment of aid priorities are managed. South Africa has established binational commissions with several key partners including the United States, Germany, China and India. Annual bilateral consultations between donors and government allow delegates from both sides to discuss shared interests, identify common goals and ensure aid priorities are set and adhered to (Bratton & Landsberg, 1999).

Different donor agencies and their country of origin had different focus areas. The political and economic interest of the US was evident in USAID's overall objective which was "to provide foreign assistance and humanitarian aid to advance the political and economic interest of the United States" (Ewing & Guliwe, n.d.). This translated into the support of three critical areas that could potentially threaten democracy: "high levels of crime, inadequate local government capacity to deliver basic services and a weakened civil society that does not engage with government" (Ewing & Guliwe, n.d.).

Canada, Norway, Denmark and Australia's assistance went towards technical support for numerous government departments and they have been intricately involved in the development of white papers (Hearn, 2000). Lately (2005-2009), Norway's focus has been democracy, higher education and research, environment and natural resources and energy. Denmark later moved on to private sector development, HIV/AIDS and the environment (Ewing & Guliwe, n.d.). Between 2004 and 2008 Sweden has lent support to a variety of sectors which included: Education, private sector, cultural sector, urban sector, research and HIV/AIDS and capacity building.

In terms of the European continent, the UK's financial assistance has always been focused on public sector reform and improving government's effectiveness. In some instances, donors supported programmes and projects whilst some like the European Union (EU) supported budgets. One such example was the Masibambane Programme, within the Department of Water and Forestry that received budgetary support from the EU. The European Union focused on basic social services, private sector development, good governance and southern African regional co-operation (Bratton and Landsberg, 1999). The Netherlands support covered sectors such as Justice, Youth, Education and Local government.

In summary, it is in particular the sectors of education, democracy and governance, agriculture, business development, health and housing that received the most aid assistance after 1994. Another shift in focus during the early democracy years was the one from "aid" to "trade". New agreements were instituted whereby South Africa changed from an aid recipient to a trading partner (Ewing & Guliwe, n.d.). For example, Japan's support to South Africa revolves around improving the country's ability to buy its exports in exchange for raw material and natural

resources. The same applies to the EU with South Africa contractually obligated to acquire 40% of all imports from the EU (Ewing & Guliwe, n.d.).

Although the size of bilateral and multilateral ODA is quite difficult to determine, some have attempted to provide approximations. In the first five years of democracy, ODA accounted for almost 2.5% of national budget with main bilateral and multilateral donors providing more than R7.2 billion a year in development cooperation – including loans and grants to government. Another source estimates that between 1994 and 1999 international development aid to the value of R18.5 billion entered the country amounting to approximately R2.3 billion per year. Half of this went to government, a quarter to parastatals such as the Independent Development Trust and the balance directly to the voluntary sector (INTERFUND, 2001a:135). Although most ODA funding was channelled to the RDP fund post 1994, a range of other sources of income such as agreements between individual donors and recipients and direct funding to non-government organisations exists, which has not been recorded (Ewing & Guliwe, n.d.).

The biggest donors during the 1994 to 1999 period were: USAID, the European Investment Bank, the European Union, Germany and Sweden.

The first bilateral agreement between the US and the South African government was signed in 1994. The US in total provided some $530 million in transitional assistance over the 1994 to 1996 period (Hearn, 2000) by means of the "Clinton pledge" (Bratton & Landsberg, 1999). Canada as one of the smaller bilateral donors provides approximately $10 million per year (Hearn, 2000).

In terms of the European countries, the size and type of assistance varied. The European Union through its European Programme for Reconstruction and Development (EPRD) provided $420 million (Hearn, 2000). The EPRD was signed in 1994 and initially covered a three year planning period (1994-1996). Additional supplements were later added. Germany provided DEM 110 million ODA between 1994 and 1995, and later doubled their technical assistance to various German Catholic and Protestant churches, political foundations and NPOs. Sweden pledged SEK220 million kronor while Norway promised R300 million towards education, environment and black business development. Denmark allocated $23 million between 1994 and 1998 (Hearn, 2000).

From the Asian countries, Japan made a statement shortly after the 1994 elections to assist South Africa in building a democracy by pledging ODA to the value of about $300 million. Together with the export-import bank loans and government guarantees for investment and trade, Japan's total assistance amounted to $1.3 billion (Hara, 1994).

The <u>World Bank's</u> assistance has been sparse: only one loan worth US$80 million was awarded for mainly poverty alleviation and public sector capacity building (Bratton & Landsberg, 1999).

Although at lower levels, donor funding in the 21st century continued. The European Union for example pledged ODA support to the value of R780 million per annum while Japan pledged R1.57 billion per annum for the 2000-2006 period (INTERFUND, 2001b). Japan's assistance is mainly loans and export agreements. Sweden and the UK have also pledged substantial amounts of R405 million and R473 million respectively between 1999 and 2001 (INTERFUND, 2001b).

The following pie chart reflects ODA assistance to the RDP fund in 2002/03 financial year (it does not reflect total ODA in which case the USA would be the leading donor):

Figure 3.3: Main Donors to RDP Fund in 2002/03
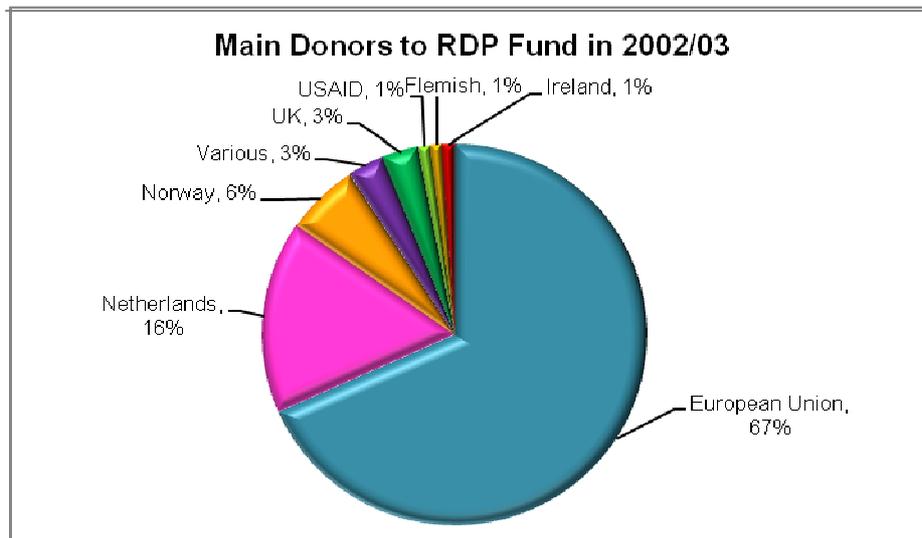
Source: Ewing& Guliwe, n.d:18

In terms of distribution, the 2002/2003 sector split was as follows: 22% Water Affairs, 21% Trade and Industry, 12% Justice and Constitutional Development, 10% Education and 9% Defense. Compared to the 1994-1998 period, this reveals a completely different picture with Education receiving 23% of ODA, followed by government and civil society receiving 18.7% and Business and Other Services receiving 11%.

Even though the size of ODA in relation to the national budget seems small, one has to remember that for some NPOs, ODA sustains their entire project or programme budgets and would therefore simply not be able to exist without this funding (Ewing & Guliwe, n.d.). It is anticipated that aid to South Africa will not be indefinite as our country is viewed to be financially equipped to address its

problems. The continued funding underscored a commitment by foreign donors to deepen democracy and to ensure it is truly embedded before withdrawing assistance (Hearn, 2000).

In terms of geographic focus, initially (1994-1999) the Eastern Cape, Mpumalanga and the Northern Cape received the most funding. The Western Cape, Gauteng and KwaZulu-Natal received the least funding (Bratton & Landsberg, 1999). After 1999 donor funding was increasingly channelled to the poverty stricken areas of the Eastern Cape, Limpopo and KwaZulu-Natal.

In 1996, the RDP Office ceased operations and the RDP fund was handed over to Treasury. At that stage the balance of the fund was R7.5 billion. Different reasons are presented for closure of the RDP Office. One is that the RDP Minister did not have the authority to instruct line ministries on how to spend their funds (Bratton & Landsberg, 1999). The bureaucracy involved in administering of funds is another reason for the RDP being widely criticised. All RDP funds had to be transferred to the government's general revenue fund in the first instance, where after parliament would allocate amounts to departments and provinces (Bratton & Landsberg, 1999). This resulted in funds being channelled only on an annual basis which was highly problematic – especially for those NPOs that relied heavily on this funding. A case in point is the fact that in 1994, 57% of European Union funds were disbursed, followed by a 37% distribution rate in 1995 and an even lower rate of disbursement in 1996 at 21% (Schneider and Gilson, 1999). The lack of financial support from government damaged the relationship between NPOs and government. Relationships suffered further as it became evident that government favoured partnerships with the private sector at the expense of voluntary organisations (INTERFUND, 2001b). The challenges experienced with disbursing funds have not disappeared even though under new management: in 2006 a total of R789 million was not spent. The reason presented pertains to the delay in the request for funds from spending agencies and donors (National Treasury, 2007b:11).

The management of Official Development Assistance has evolved tremendously since those early years. The Policy Framework and Procedural Guidelines for the Management of ODA was approved by Cabinet in 2003. The management of this framework is the task of National Treasury which takes the lead in articulating and executing all ODA related policies and procedures. National Treasury bears the ultimate responsibility for the management of ODA funding channelled via government. As mentioned above, prior to the ODA framework it was virtually impossible to determine the size of ODA assistance. What complicated the matter was the fact that donor countries provide funding in many different ways. Some donor countries relinquished the management of their funding entirely to the South African government (i.e. Netherlands) whereas countries such as Canada keep a tight rein on their funding. Others opt for co-management of the funding by means of regular follow ups, predetermined reports and audits.

The International Development Co-operation (IDC) unit, within the Department of Finance now macro manages and co-ordinates donor funding whereas the line departments are responsible for micro management of donor funded projects. The framework does not include direct donor funding to NPOs. The text box below further expands on the current ODA framework:

More on the Management of ODA:

The impetus for the development of an ODA framework is fourfold: firstly, to provide direction and oversight, secondly, to lead, mediate and monitor ODA, thirdly to ensure transparent and sustainable resource flows and fourthly to ensure the effective utilisation of ODA.

In an effort to further streamline and formalise reporting on ODA, Treasury developed some basic guidelines which government departments needed to adhere to. These guidelines included (Source: IDC, 2007):

- ODA had to be reported per Department programme in Rand terms
- Donor funded programmes had to be output and outcome based in line with the notion of result based management and the performance management system
- ODA was used to leverage innovation, best practices, risk taking and piloting to address development challenges in a sector
- The ODA programme reporting process had to follow the same budgetary reporting system of the department unless agreements stipulate additional specific reporting requirements
- Stakeholders were requested to show how and where donor resource applications added value
- Operational plans for implementation had to incorporate actual deliverables breakdown of committed and disbursed resources covering direct donor expenditure, including technical cooperation and grants

To ensure expenditure is allocated to priority services, the Medium Term Expenditure Framework was introduced by the Ministry of Finance through its 1998 budget. ODA is included as part of the normal Medium Term Framework (MTEF) to ensure funds are spent wisely and in support of local critical areas. The MTEF encapsulates the national and departmental objectives, and were designed in such a manner that government departments could clearly link their planning and budgeting activities.

3.3.2.2. Government

The state's investment in social and economic services is evident in the increase of these expense items in relation to total expenditure: social service as consolidated expense increased from 45.4%

in 1995/96 to 50.9% in 2004/05. Economic services[9] for the same time period escalated in real terms by 71.5% from R16.2 billion to R49.4 billion (Swilling, van Breda, van Zyl, 2008).

Government's funding towards the promotion of development comes from three sources. Firstly, line ministries and government appropriate funding towards the RDP fund: typically 5% of line ministries' annual budgets. The two other sources of government funding include tax reforms and the National Lottery. In March 1999 the Katz Commission presented a report that called for a much leaner tax regime (INTERFUND, 2001a:147) for NPOs. Government responded positively to this report and in February 2000 the Budget speech delivered by the then Minister of Finance, Trevor Manual, set out the new regime (INTERFUND, 2001a:148):

> The spectrum of NPOs qualifying for tax exemption would be widened to include all "public benefit organisations".
> Tax Deductibility of donations (or so-called Section 18A status) would be extended to pre-primary and primary schools. HIV/AIDS organisations and NPOs catering for children and the aged.
> Tax deductions for individual donors would be increased to R1000 or 5% of taxable income (whichever is the greatest) to bring it in line with the deduction for corporate donors".

The above concessions were later formalised by the Taxation Law Amendment Act promulgated in July 2000. As far as the National Lottery is concerned, around 30% is earmarked for "good causes" (Trialogue, 2003:91). The money is channelled via the National Lottery Distribution Trust Fund to the National Development Agency (discussed below) to the earmarked projects (INTERFUND, 2001b). Bearing in mind the local NPO funding landscape (cf. Figure 3.2), the function of the second tier of organisations acts as a conduit to ensure that the different sources of funding reach the NPO sector. From the government's side, it is here where the 14 special funds referred to earlier come into play. A few of these special funds will be further discussed below.

The National Development Agency (NDA) is the primary mechanism used to channel these funds to NPOs. The NDA is a section 3A statutory organisation and was established by the National Development Agency Act (Act No. 108 of 1998) in November 1998 (NDA, n.d.). The NDA is accountable to Parliament through the Minister for Social Development. The agency was preceded by the Transitional National Development Trust (TNDT). The TNDT was set up with the aim of being a funding conduit to NPOs and CBOs. The Board consisted of 17 Trustees of whom eight were nominated by CBOs, NPOs and community constituency of Nedlac, four by Kagiso Trust, four by the Independent Development Trust and one person from the RDP Office. The TNDT's work was focused in the areas of education and training, health, rural development, urban

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[9] Economic services = sectors of agriculture, communications, environmental affairs and tourism, housing, land affairs, minerals and energy, trade and industry, transport, water affairs and forestry.

development and SMMEs. The NDA followed from the TNDT as this agency was merely a "testing ground" (n.a,n.d.). At inception in 1999, the fund received a R100 million cash injection from government, R48 million from the European Union and R100 million from the Independent Development Trust (Trialogue, 2003). The NDA did not only inherit money but also a huge application backlog from its predecessor the TNDT. In September 2000 the NDA had processed approximately 3000 applications out of 9000 applications and committed funds to the value of R193 billion. The approved projects covered the following sectors: Education and Training, Economic Development, Good Governance and Democracy, Health, Rural Development, SMME, Urban Development and Special Projects.

In terms of other special funds, the Development Bank of South Africa in 2002 disbursed R2.5 billion, the Business Trust committed R900 million over a five year period and Umsobomvu Youth Fund in 2002/2003 committed R470 million to 61 projects (Trialogue, 2003). It is estimated that the entire spectrum of special funds had aggregated revenue of R33.8 billion between 1994 and 2004. This was made up of transfers from government (R27billion), donor funding (R489 million), loans (R152 million), returns on investment (R135.3 million), interest (R1.2 billion) and other sources (R4.2 billion). The difference between revenue and expenditure is due to interest-bearing savings, various investments, overheads and funds, although allocated, not yet transferred from Treasury to the fund (Swilling et al., 2008).

3.3.2.3. Private Foreign Donor funding

Private foreign donor funding encompasses international private and family foundations (IPFs), international grant makers in partnership with South African agencies, faith based foundations and international non-governmental organisations (INGOs). It was estimated in 2004 that approximately 70 foreign based private foundations and 60 faith-based foundations and INGOs were active in South Africa. These included the major grant makers such as: Atlantic Philanthropies, Bernard van Leer Foundation, Bill and Melinda Gates Foundation, Carnegie, Charles Stewart Mott, Ford Foundation, Kaiser Family, Kellogg and Open Society (Ewing, n.d.). Their presence in South Africa takes various forms: some have field offices, others have international headquarters in South Africa while others such and the Gates Foundation has no local office.

Support is offered in terms of grants or direct support to South African programmes, others run their own programmes or provide volunteers. Another form of giving is more knowledge orientated with professional services being provided or exchange programmes offered (Ewing, n.d.).

Similar to Official Development Assistance, post 1994 private donor funding tended to be mainly channelled to democracy, transformation and economic rebuilding initiatives. The reasons for their support to South Africa pre-1994 also extend towards the improvement of the lives of those marginalised by the apartheid government. Post 1994, the emphasis shifted to poverty alleviation and development in general. Specifically, from 1996 until 1999 education and research tended to move to the fore and post-1999, health issues came under the magnifying glass as the HIV/AIDS pandemic's debilitating effect on the attainment of development goals became a reality (Ewing, n.d.). Other popular sectors included: technology/ communications, capacity-building, environment, culture, justice/ women, children and peace/ conflict.

Between 1998 and 2003, this sector witnessed a 360% rise due to the increased funding appropriated by the Gates Foundation (Ewing, n.d.). Tracking the original source of funding of these private foundations is challenging as it originates from trust funds, corporate investment, ODA and individual donations. Many international NPOs receive their funding from multiple governments, for example in 1998 Oxfam and World Vision received more or less US$162 million and US$55 million respectively from the British Government and the European Union (Ewing, n.d.).

Figure 3.4 below provides a broad estimate of the funding provided to South Africa during 2003/04 by a range of private donor organisations. In total this amounts to R615 million, i.e. half of ODA for the same year (Ewing, n.d.). The accuracy of this amount is however questionable due to two reasons: some donors report on a sectoral basis and simply refer to Africa as the recipient country and secondly, although big private foundations might contribute to agencies outside of Africa, portions of that funding might invariably end up in South Africa. These very real situations make it quite difficult to track the exact flow of private donor giving and can significantly distort the figures.

Figure 3.4: Funding by largest private donors for 2003/04
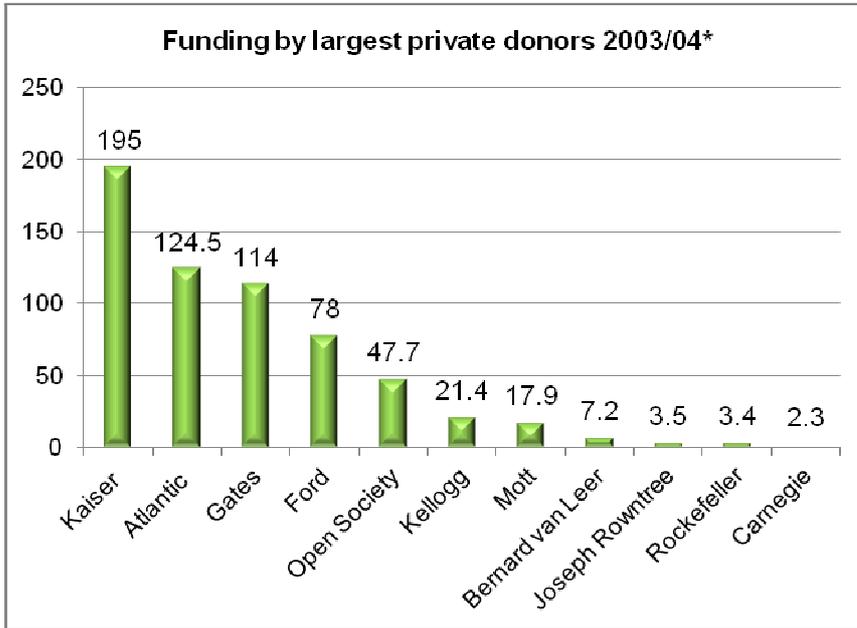
*Funding in millions of Rand, Source: Ewing, n.d.

3.3.2.4. Local private sector

The statistics reveal that the local corporate and private sector is another significant donor of the non profit sector. It is quite difficult to determine the true scope of giving: for instance where do sponsorships fit in and how do you quantify time, expertise, knowledge and relationships? In recent years, a number of studies and surveys have been conducted in an attempt to pin down the scope of spending. For instance, in 1999 The Centre for Development and Enterprise conducted two surveys: the first, among 75 of the largest corporations and the second, with a random sample of 545 organisations of all sizes (Trialogue, 2003). The South Africa foundation later repeated the survey but only sampled 25 organisations this time around.

One of the most consistent resources available that tracks the size of corporate social investment (CSI) is Trialogue's CSI Handbook. This publication was first released in 1998 and serves as a valuable resource on developments in the corporate sector. An extract from their 2003 publication shows the steady increase in CSI since 1994:

Table 3.2: CSI between 1990 and 2000

Year	Amount (Million)	% Increase per annum
1990	R840	N/A
1993	R1115	6.1%
1994	R1230	9.3%
1995	R1300	5.3%
1997	R1544	9.4%
1998/1999	R1630	5.5%
1999/2000	R1842	13.0%

Source: Trialogue, 2003

When compared with other countries our private and corporate sector in 2002 contributed the biggest single amount, at R2.2 billion (Trialogue, 2003:98). The educational sector received a substantial portion of that amount – approximately 36% (Zenex, n.d.). Some of the organisations that focus their initiatives in this sector include Otis, Xerox, IBM, Impala Platinum, Murray & Roberts, EDS SA (now HP) and African Merchant Bank (Trialogue, 2003:122). Initiatives span early childhood development, infrastructure support and financial assistance through bursaries. The interest in Education is however fading: the 2004 Trialogue figures reveal an enhanced interest in HIV/AIDS in recent years (Friedman, Hudson and Mackay, 2008).

A distinction is made between internal and external CSI. Internal CSI is aimed at the employees of the companies and their communities, whereas external CSI reaches beyond company employees. For many years CSI remained the concern of a few large companies in South Africa with many medium and small businesses not yet lending support.

In terms of institutional arrangements, pre 1994, the National Business Initiative[10] was the preferred vehicle through which funds were channelled. Between 1994 and 1998 the establishment of trusts caught on and after 1998 a more coherent and professionalised approach emerged (Friedman et al., 2008). This new era in CSI emerged as the corporate sector increasingly came to realise that CSI makes business sense. The new approach is supported by a number of recent initiatives which includes (Trialogue, 2003:8):
- King Report on Corporate Governance, 2002 which sets out the voluntary code of conduct relating to company governance

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[10] The National Business Initiative only came about in 1995 with the convergence of the Urban Foundation and the Consultative Business Movement. http://www.nbi.org.za/welcome.php?pg=107

- Global Compact which calls for organisations to embed values in the areas of human rights, labour standards and the environment
- Global Reporting Initiative (GRI) as an international body promulgates for standardised "triple bottom line reporting" around the world (i.e. social, environmental and economic)
- AA1000 as voluntary code guides the stakeholder engagement process
- SA8000 international code pertaining to workplace conditions
- SRI (Socially Responsible Investment) Index on the JSE that lists companies that conform to certain social, environmental and economic sustainability issues

3.4. Programme Evaluation in the NPO Sector

Prior to 1994, solidarity funding had very few strings attached and was "more relaxed" (Gordhan, 2010). After the first democratic election however donor funding became more structured and accountability started to play a more dominant role. NPOs had to adapt as their role changed from "apartheid struggle organisations to service providers" (Everatt, 2010). A direct result of the greater attention on accountability has been the emergence of systematic programme evaluation in South Africa.

Accountability mechanisms can be classified according to the following categories (Ebrahim, 2003):
- Reports and disclosure statements
- Performance assessments and evaluations
- Participation in making information available to the public and getting public and citizens involved in activities
- Self-regulation through the introduction of standards for behaviour and performance
- Social audits are a mixture of the tools and processes bulleted above. In essence this mechanism measures the organisation's social performance and ethical behaviour by means of stakeholder dialogue.

The literature, in addition to our own empirical research, will show that programme evaluation only took off from 1994 onwards. The programme evaluation activities that did occur before 1994 were piecemeal and often outsourced.

3.4.1. First wave of evaluation: Pre 1994

Before 1994, accountability allowed for creativity and flexibility (Bratton & Landsberg, 1999). Funding came without "very much strings attached" and at the most "donors would demand an

auditor report and an annual report" (Everatt, 2010). The political situation at that time had a huge influence on the way accountability was viewed:

> "I think accountability was always an issue but the kind of accountability changed. In the solidarity funding there was a fair amount of flexibility because those organisations were supporting anti-apartheid and the political environment and the risk for people and that too much documentation can cause someone to end up in prison" (Gordhan, 2010).

Qualifying for donor funding was linked to good governance which typically entails sound financial management and a good track record. Some of the bigger donor organisations such as USAID SA however undertook monitoring and evaluation on a continuous basis. According to one source, these studies were however not very rigorous and were mainly conducted by outside evaluators:

> "We required the grantees to have an evaluation line item and then to commission their own evaluations. Most of the evaluations were not particularly rigorous. They called upon the grantee to come in and look at formative responses; it really involved basic data collection with more document reviews, interviews, maybe some participatory interviews – it was mostly qualitative. It wasn't systematic and you couldn't generalise but of course NGOs were working in small areas anyway. A lot of time when evaluations happened, international experts would come in for the bigger projects" (Bisgard, 2010).

There were some exceptions, for example, the Kellogg Foundation which established a regional centre in the 1980s and made it a priority to mainly employ local people (Ofir, 2010). The European Union also kept track of its funding through full evaluations whereas DFID and the Netherlands financed local evaluations.

By and large the most common monitoring and evaluation tool employed during this time was the logframe. Logframes made their entry in the 1970s in North America through USAID and CIDA (Crawford, 2003). The introduction of approaches such as these can be directly linked to the growth of NPOs with donors increasingly seeking ways to measure processes and enforce accountability. The logical framework approach entails the identification of all project inputs, outputs, objectives and goal at the design phase. Via the performance indicators that are attached to these four dimensions, causal chains in reaching the programme goal are established (Crawford, 2003).

The GTZ is an example of an international donor agency that adopted the logframe approach and titled it ZOPP (Zielorientierte Projektplanung or translated as Objectives-oriented Project Planning). Their version of a logframe was introduced in the late 1980s to ensure efficient project management. ZOPP's history extends back to 1975 when GTZ was established as a corporation. With its renewed company status the need arose for a comprehensive management tool and BMZ (its principal commissioning agency) requested that the well known, most commonly applied

instrument at that stage – the logical framework – be tested on projects during the seventies already (Helming & Gobel, 1997). The logical framework was subsequently incorporated into ZOPP and from then onwards first introduced on a provisional basis in 1983, but with the GTZ regulation No. 4211 became part of the organisational manual (Helming & Gobel, 1997). In practice this means that all project management instruments (i.e. project briefs, project process reports and project reviews) needed to be aligned to ZOPP (Helming & Gobel, 1997). The European Union and Scandinavian countries were also strong supporters of ZOPP (Gordhan, 2010). The Kagiso Trust is one example of a local organisation where logframes and very structured application procedures became a reality in the early 1990s already (Swilling, 2009).

Some of the main principles of ZOPP are

- Cooperation and participation are key and extends to the level of active target group involvement. Possible tools include workshops in order to transfer knowledge and information. A major criterion for selecting partners is their approach to target groups and specifically the willingness to enter into constructive dialogue with the different target groups
- Planning entails that partner organisations and target groups develop a common understanding of 1) objectives, 2) the current situation, 3) strategies needed to achieve the objectives and 4) a concise action plan
- Objective setting guides decisions and provides the scope and boundaries of a study. Objectives need to be realistic and clearly worded
- Project planning includes an assessment of the situation of the participants, the problems and potential of the project and the greater environment or context
- A project strategy is needed to operationalise the project plans, i.e. it aims to answer the "HOW" question and includes results to be produced and resources required. This entails the development of indicators to assess the level of achievement
- Responsibilities and roles of all actors and parties is needed to ensure expectations are met
- The project planning matrix is used to record all project details during the project cycle and follows the structure of the Logical Framework i.e. a 4x4 matrix with strategy, indicators, assumptions and indicators of assumptions recorded horizontally and goals, purpose, results and activities listed vertically.

(Helming & Gobel, 1997):

The logframe, ZOPP approach and other management processes introduced during this time led to large scale capacity building initiatives in the sector. A plethora of agencies and consultants stepped up to build capacity – some from within the NPO sector:

"NPOs were getting funds to run ZOPP workshops which lead to a whole new generation of NPOs that services other NPOs….but there are a lot of consultants that got into this market. It became normal practice" (Swilling, 2009).

The local private sector also followed suite and required greater accountability. However, there was a high level of variance in terms of what these corporates required as illustrated by the quote below:

"And they all took over the logframe and programme management but they were all very different. So some of the SA corporates donated a large quantity of money with formal programme structure or evaluation, just a letter and a brief simple report, no logframe" (Swilling, 2009).

3.4.2   Second wave of programme evaluation: Post 1994

3.4.2.1. ODA Funding M&E requirements

Increasingly after 1994, donors began to attach more stringent criteria to their support. Being anti-apartheid was no longer "...a ticket to ride" (Hofmeyr, 2010). It was in particular those donors whose funding came from government sources rather than NPOs that tended to enforce accountability: i.e. more the DANIDAs and EUs as opposed to OXFAM and HIVOS (Gordhan, 2010).

Programme evaluation at that stage was still not common practice. A study conducted in 1999 by the South African Department of Finance Chief Directorate: International Development Co-operation (IDC) and United Nations Development Programme (UNDP) around donor evaluation reports revealed that evaluation-like activities were still not a common undertaking (Simeka Management Consulting, 1999):

- There was a focus on donor activities and technical assistance but not impact, indicating a need for crucial information
- Evaluations typically focused on activities (i.e. outputs) as opposed to outcomes and programme impact
- There was a lack of accurate impact evaluations as a result of poor co-ordination amongst the donor community and obstacles in government.
- Actual financial contributions were difficult to estimate and were therefore not found in the reports
- There was no or little involvement by impoverished sections of the populations when impact assessments or evaluations were conducted

Furthermore, very limited data on ODA and poor data capturing systems were other impeding factors to an effective monitoring system and evaluations were still mainly donor driven (Soni, 2000a). In terms of impact assessment, a mixed picture was presented. Many donors did not have the capacity to measure impact and therefore relied on donor recipients to monitor and report on impact achievement.

The literature suggests that monitoring and evaluation activities for many years were not executed by local NPO staff. Instead, Northern donors would typically appoint task teams and external evaluators to assess the effectiveness of their investment. There has been some criticism against donors that "parachute" into South Africa (Camay, 1998) with a limited partnership mentality and incompatible agendas. However, many examples exist where local partners have come on board to ensure efforts are combined and decisions are taken collaboratively. Examples include organisations such as the International Fundraising Consortium (INTERFUND), the Netherlands Organisation for International Development (NOVIB), OXFAM, Humanist Institute for Development Co-operation (HIVOS) and Ford Foundation.

> **More on INTERFUND**
>
> INTERFUND was established in 1986 with the aim of making a more significant contribution to development and democratisation in South Africa. The consortium's member agencies include IBIS Denmark, Norwegian Students and Academics International Assistance Fund (SAIH), Radda Barnen (Swedish Save the Children), The Joseph Rowntree Charitable Trust in UK and World University Service of Canada
>
> The consortium seeks effective collaboration among the Northern donors on the one hand and the development partners locally. In this way the challenges locally can be addressed more appropriately and effectively (Smith, 1994)

The changing face of accountability changed the way in which local funding consortiums operated themselves and the requirements their recipient organisations adhered to. INTERFUND is a stellar example in this regard. Their strategic direction became more focused and the manner in which they operated changed drastically because of their donor's influence:

"The big push for us came from our Danish funder (DANIDA) because of the seven year transition programme with South Africa post 1994 and it did commence in 1994 and it was for seven years. It required us to do a couple of things – we stopped funding so many organisations, we did it in a more programmatic way and we ended up with 8 programmes I think. So in this whole area of OD we might have been funding 6 or 8 organisations and we tried to put it all together and to have more clear objectives that are more cumulative rather than just very all over the place" (Gordhan, 2010).

INTERFUND introduced ZOPP and expected organisations to report more frequently than on an annual basis. INTERFUND recognised that their recipient organisations required training in these new accountability practices. Their internal capacity building division therefore contracted external

service providers to assist when needed. These service providers at the time included HAP (Human Awareness Programme)[11], ERIP (Education, Resource and Information Project)[12], CBDP[13] (Community Based Development Programme) and Olive (Olive Organisation Development and Training) which closed down in 2006 (Gordhan, 2010). Training was conducted on writing proposals according to new formats, staff development, assisting with planning, goal-setting, indicator development and putting in place monitoring and evaluation mechanisms.

The effectiveness and extent to which these project planning methodologies and evaluation tools have been integrated remains unclear. The view exists that many of these capacity building initiatives were of poor quality, uncoordinated and because it was piecemeal did not address the systemic issues:

"The piecemeal 'grafting' of capacity onto organisations, without addressing the systemic barriers to skills development, is bound to fail. These systemic barriers can only be addressed by reviving an organisational culture which values skills transfers, targeted training, career pathing, succession planning, internships and mentoring" (INTERFUND, 2001a:147).

The Logical Framework Approach (LFA) continued to be applied by most of the donor agencies. A modified version was however accepted in the mid 1990s due to the influence of new managerialism and New Public Management. In the public sector this movement led to a focus on performance measurement and greater efficiency (Kilby, 2004). In the development sphere, frameworks were amended to become more results-based and objectives oriented. For instance, CIDA's approach became known as "results-based management" (RBM) and USAID's approach "managing for results" (MFR) (Crawford, 2003). In both instances a stronger systems approach was taken. CIDA's MFR for example consisted of the Logframe, a performance framework and performance measurement framework. The link between the performance framework and performance measurement framework is set out below:

"The performance framework provides the anticipated cause and effect relationships from the level of activities upwards to strategic goals, including assumptions and risk assessments, while the Performance Management Framework provides a strategic plan for measurement and verification through performance indicators and data collection" (Crawford, 2003:80).

USAID, through their MFR approach, required that each country programme produce a regular strategic plan that covers a hierarchical framework of three levels of objectives: strategic objectives, intermediate results and sub-intermediate results. The causal hypothesis is constructed

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[11] The Human Awareness Programme offered three services: consultation, organisational development and training, and publications. The organisational development and training service created efficient working environments, relationships and administration. (http://www.saha.org.za/collections/the_human_awareness_programme.htm)

[12] ERIP was established in 1984 by Murray Michell, Trevor Manual and Cheryl Carolus and was classified as a resource centre. The project was based at the University of the Western Cape

[13] CBDP was established 20 years ago and provides capacity building to marginalised communities via its CEFD programme and DMC programme (http://www.cbdp.org.za/pdf/aboutus.pdf)

as the programme progresses through all levels, i.e. each level of objective is a prerequisite to the next level being obtained.

In contrast to the pre 1994 period, there is evidence that donor countries are increasingly drawing upon local M&E capacity when assessing programme activities. The Paris Declaration on Aid Effectiveness warrants mention here as it addresses the issue of "..assessing progress quantitatively and qualitatively under the leadership of the partner country" (Paris Declaration on Aid Effectiveness, 2005). The declaration follows a 2005 convention where a group of Ministers from developed and developing countries responsible for promoting development as well as the heads of multilateral and bilateral institutions met to discuss the delivery and management of aid against the background of the Millennium Development Goals[14]. The declaration has a strong undercurrent of greater partner country involvement in all aspects of aid assistance. The declaration urges for aid assistance to be done in terms of five principles:

- *Ownership*: partner countries to take ownership of their development policies and activities. Donor countries should play a supporting role in that they should respect and strengthen capacity
- *Alignment:* support should be aligned to partner countries' strategies. The partner country's systems and procedures will be used as far as possible and build capacity only where needed
- *Harmonisation:* efforts are harmonised, transparent and seek ways to simplify procedures and combine efforts
- *Managing for results*: resources are allocated based on results and evidence is considered to improve decision-making processes
- *Mutual accountability:* both donors and partners are mutually responsible for results

(Paris Declaration on Aid Effectiveness, 2005)

The advantages of accountability, specifically for NPOs include: a) increased confidence in the organisation's operations, b) opportunities for organisational learning to take place, c) addresses critiques of NPOs being surreptitious and having less rigorous standards of governance than for example the private sector and d) greater ability for NPOs to attain funding if its effectiveness and efficiency can be proven (Lee, 2004). The flip side - agenda-setting - can be problematic as some NPOs allow donors to "call the tune" (Moyo, 2001) because they provide the much needed financial support. It is not uncommon for NPOs to align their priorities with donor goals in an effort to secure funding - especially the smaller NPOs who have little or no leverage to resist donor demands.

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[14] The Millennium Development Goals (MDGs) are eight international development goals that all 192 United Nations member states and at least 23 international organisations have agreed to achieve by the year 2015. They include reducing extreme poverty, reducing child mortality rates, fighting disease epidemics such as AIDS, and developing a global partnership for development.

The results based approach has been critiqued for its lack of civil society participation. Kilby (2004) argues that "the rhetoric of decentralisation, empowerment, participation when combined with the New Public Management movement, leads to a paradox". The control effectively remains in the hands of the donor, killing any kind of beneficiary participation in the programme design and implementation process.

Despite this challenging environment within which these organisations operate, accountability is here to stay and most donors are no longer willing to accept pure anecdotal comments as sufficient evidence for programme effectiveness.

3.4.2.2. International private donor funding M&E requirements

Before accountability became an issue, the funding application process could be described as quite open with applicants reacting to published criteria. More recently, funding is awarded to the most successful interpreter of the Terms of Reference (TOR) by means of a tender process. International donor organisations are not oblivious to the local lack of skills and responded to this limitation by offering a range of workshops to address these much needed skills at rural and CBO level. This included proposal writing based on the Logframe approach and training on other skills such as project management (Ewing, n.d.).

General criteria for giving include proof of registrations, a formalised constitution, active board of directors/trustees (as proof of good governance) and sound financial management. Although these generic criteria constitute the basis of accountability and effective monitoring, other conditions include regular reporting on project activities against an agreed work plan. Many private donors have standardised M&E systems which typically require the delivery of narrative and financial reports at specific time periods. Although some of the larger donors require the development of qualitative and quantitative indicators, it appears that many donors leave the monitoring and evaluation activities in the hands of the recipient organisation. When site visits are conducted these are not devoted to assessing quality but merely confirming the existence of projects.

3.4.2.3. Local and corporate sector M&E requirements

The local private sector has shown commitment to programme evaluation quite early on as the examples provided below will show. The reason for their existence was however not donor driven as is the case with ODA funding but pertains rather to the profit driven nature of the private sector where results are always the main concern.

A buzzword in the social corporate landscape is that of social auditing. This entails assessing the organisation in terms of the socio-economic impact on staff, clients, consumers and the greater community. The notion of social auditing dates back to 1961 when it was introduced by American George Goyder. The concept was introduced in South Africa in 1972 already by Meyer Feldberg, Professor of Business at the University of Cape Town (UCT). The establishment of the Urban Foundation is a landmark in CSI history as it constitutes the first large-scale corporate commitment to the less advantaged (May, 2006). A consideration of the nature of social auditing reflects its close relatedness with programme evaluation (see enclosed text box)

What is social auditing?

Social auditing is a process that enables an organisation to assess and demonstrate its social, economic, and environmental benefits and limitations. It is a way of measuring the extent to which an organisation lives up to the shared values and objectives it has committed itself to. Social auditing provides an assessment of the impact of an organisation's non-financial objectives through systematically and regularly monitoring its performance and the views of its stakeholders.

Social audits are generated by the organisation themselves and those directly involved. A person or panel of people external to the organisation undertakes verification of the social audit's accuracy and objectivity.

Social auditing information is collected through research methods that include social bookkeeping, surveys and case studies. The objectives of the organisation are the starting point from which indicators of impact are determined, stakeholders identified and research tools designed.

Source:
http://www.caledonia.org.uk/socialland/social.htmhttp://www.caledonia.org.uk/socialland/social.htm

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Private sector companies are making strides in introducing evaluation-like practice into their CSI programmes. Trialogue's 2003 research shows that a third of organisations participating in the study[15] conduct formal evaluations and impact assessments:

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[15] A sample of 100 NPOs participated in the research presented in the 2003 Trialogue publication.

Table 3.3: Evaluation in private sector

Scale of evaluation adopted by CSI programmes	% respondents
Set indicators in place for CSI programme evaluation, formal and independent evaluation of all lead projects; open disclosure of successes and failure of projects	9%
Formal evaluation of CSI programme; measure and regularly monitor impact of select projects; select projects formally evaluated against defined criteria	36%
Informally benchmark CSI programme; ongoing monitoring of programme, review of current strategy; quantifiable evaluation of some projects	38%
No formalised evaluation of CSI programme; regular site visits; mostly qualitative feedback requested from major projects supported	9%
No formal evaluation of CSI programme; little feedback from projects supported; intuitive feel for success and status of programme and projects	8%

Source: Trialogue, 2003

Although the private sector did not play a significant role in the early years of programme evaluation, some organisations have been instrumental in establishing this practice. A brief sketch is provided of the Business Trust, Joint Education Trust and the Zenex Foundation to illustrate the activities undertaken and the time frames attached to the introduction of programme evaluation in the private sector:

Joint Education Trust (JET)

The Joint Education Trust was established in 1992 with the assistance of 14[16] leading South African organisations. Former Barlow Rand chairman Mr Mike Rosholt was pivotal in the process and managed to raise R500 million (R1 billion in today's currency). The funding was allocated to projects in the following sectors:

- Early childhood development (ECD)
- Adult basic education and training (ABET)
- Vocational and further education
- In-service teacher training and development (INSET)
- Youth development

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[16] AECI Limited, Anglo American Corporation [with De Beers Consolidated Mines and E Oppenheimer & Son], Barlow Rand Limited [now Barloworld], Caltex Oil [SA] Limited, First National Bank of South Africa Limited [now FirstRand], Gencor Limited [now BHP Billiton], Johannesburg Consolidated Investment Company Limited [now Johnnic Limited], Sankorp Limited, Sanlam, Sasol Limited, Shell South Africa, South African Breweries Limited, Southern Life Association Limited [now amalgamated into FirstRand], Standard Bank of South Africa Limited

The scope of JET's operations is evident in the amount disbursed to NPOs since 1992. It is estimated that approximately R56 million was disbursed to 98 NPOs working in the field of Teacher Development and Support (area four). Furthermore, it is estimated that in 1996 JET supported 70% of programmes in the teacher development sector and were providing one third of funding to these NPOs (JET, 1996). It is especially for this reason that accountability – and evaluation as a mechanism – was viewed as such an important activity in the organisation. Each of the five areas specified above have their own quality assurance mechanism attached. This provided opportunities for evaluations to be done with greater rigor and frequency, which in turn boosted the discipline locally. The two quotes below (Mouton, 2010) illustrate this:

> "So for teacher development we said we want external evaluation. For Literacy we said you have to subscribe to the EIB's external exam system – how many learners you passed on some sort of measure. On ECD you got to subscribe, there was an emerging ECD group setting up standards. So these were the kind of things. So we said quality assurance and we wanted to know what was going on in these sectors. I think we had quite a big influence on how evaluation began to develop because we attached these to our grants."

> AND "...you were thinking there must be an opportunity to do more evaluation work here and then people like JET started opening the door and individuals getting commissioned to do evaluation and then it became economically viable to do it."

Some of the historic activities of this organisation points to a commitment to evaluation that was uncommon at that stage. For example, in 1994 the Department of Education, through the Centre for Education Policy Development (CEPD) commissioned a teacher education audit. This review was sponsored by DANIDA. Penny Vinjevold employed at the Evaluation Division of the Joint Education Trust at that stage distributed a survey to approximately 99 NPOs to establish whether any evaluations had occurred. A total of 54 evaluations covering 33 INSET programmes were reviewed. This list provides some valuable information on the evaluation taskforce at that stage and the type of evaluations conducted (i.e. the split between quantitative vs. qualitative methods). Both these elements will be picked up again in Chapter 5. In essence it was found that of those that had conducted evaluations, only one collected objective data. The rest of the NPOs under review tended to consider only qualitative data and evidence was therefore mainly anecdotal (Mouton, 2010).

Following the National Audit of Teacher Education in 1994, a conference on INSET evaluations titled *Quality and Validity* was hosted by JET. The conference content drew heavily on the findings of the audit conducted and concurred that the South African evaluation landscape was very much in the early stages of development (JET,1996). The conference involved local experts who had been conducting evaluations themselves and those involved in the teacher education field. Internationally renowned scientist Professor Peter Weingart from Bielefeld University in Germany placed science under the spotlight and discussed some of the latest trends in science and the link with evaluation. The following people and their topics at this conference are listed below:

- Academic Research, Internal Validity and Programme Evaluation: Prof Johann Louw from UCT
- Does Teacher Development Work? True Confessions of a hardened evaluator: Prof Jonathan D Jansen, former University Durban Westville
- Science under the Spotlight: Prof Peter Weingart, Bielefeld University
- Impact Evaluation of the Independent Training and Educational Centre (ITEC): Ms Jennifer Bisgard, Khulisa Management Services
- Summary and Conclusion: "Putting the Stuff in Place": Prof Tony Morphet

The delegates included educational programme staff within the NPO sector, academics and private foundation staff members. Although this event covers only the education sector, it is a landmark event in the history of programme evaluation. Its significance pertains to the variety of people convening in order to critically reflect on evaluation practices in the educational sector.

Zenex Foundation

The Zenex Foundation was established in 1994 and initially continued with Zenex Oil's social investment programme. This entailed the management of 15 projects to the value of approximately R1.4 million. Over the next two years the foundation underwent a significant metamorphosis as it set out to establish its own identity separate from Zenex Oil. With the sale of the Zenex Foundation in 1997 to the Black Consortium, Worldwide Investment Holdings, a substantial amount of funding became available (Zenex, 2007). The focus of the Foundation has predominantly been on the field of education covering infrastructure, resources and capacity building initiatives. The work of the foundation has increasingly been aligned to the DOE's strategic agenda and whole school development approach. Between 1995 and 1997 the number of programmes the foundation invested in, doubled and financial support tripled from R3.12 million to R9.9 million.

From the start, the foundation recognised the importance of monitoring and evaluation. In the 1995 to 1997 time period the foundation required that project staff submit evaluation plans that contained clear outcomes and quantifiable indicators. Between 1998 and 2002 approximately 40 external evaluations had been conducted and all projects had impact indicators linked to them. During 2003 and 2005 the foundation supported 32 projects and external evaluations to the value of R80 million were undertaken. The incessant focus on evaluation and reflection accentuates the foundation's embedded evaluation culture.

Business Trust

This entity draws upon resources from the private and government sector to address common problems such as poverty, unemployment and a lack of overall capacity. The organisation came

about because of a group of business leaders' belief that a focused intervention was required to build a prosperous nation. The Business Trust, through the Big Business Working Group created a means by which business and government could liaise around key issues. It was initially envisaged that the life span of the Trust would be five years only. However in 2003, President Thabo Mbeki requested that the Business Trust continue as a private/public endeavour. A joint committee was established to investigate the mandate of this unique organisation.

The Trust's activities can be divided into four streams: support partnerships, undertake programmes, support policy dialogue and enhance perceptions. In their plight against poverty and unemployment six programmes are executed:

- Tourism Enterprise Partnership
- Business Process Outsourcing
- Infrastructure
- Skills
- Shared Growth Challenge Fund
- Local Economic Development
- Expanded Public Works

Quarterly reports for these programmes are available on the Trust's website dating back to March 2000.

From the outset the Business Trust took the lead with regard to providing for monitoring and evaluation within their budgets:

> "... this was a special and it sort of was – the Business Trust work that we did, where I worked in the 2000s and the last decade basically. There I think there was an important innovation which was that we set aside a portion of the budget for M&E and produced M&E plans and did them right from the time the programme started" (Gordhan, 2010).

The business sector's reason for introducing M&E, although not necessarily linked to international donor requirements, is very much related to internal (achievement as an organisation) and external accountability (to the Board). This rings true in the case of the Business Trust:

> "The Board wanted to know the impact of this – our work and to have independent evaluators/auditors to do that including for the whole of the Business Trust. In fact there was a budget set aside to look at them collectively as an organisation…between 1999 and 2004 there were 8 programmes. I think there was one or two that was difficult to do so we did different kinds of processes there. …We did a midterm review in 2003/2004 halfway through our programme; here are the evaluation reports of our programmes: how are we doing. And we did that at the end of the five years as well" (Gordhan, 2010).

3.5. Conclusion

The end of the Cold war and the demise of communism marked a pivotal point in the history. It was increasingly recognised that a democratic dispensation is the ideal way to bring about social stability and that a strong civil society constitutes the *means* to the ends of building a democracy. This coincided with the North channelling their funding to non profit organisations in order to strengthen civil society and allow the most neglected and disregarded people of the population to have a voice.

The emergence of programme evaluation can be directly linked to the South African political situation as well as the international context during the 1980s and 1990s. We have shown in this chapter that donor agencies have been the medium through which international movements reached South Africa which in turn was the catalyst for the emergence of a programme evaluation culture during the late eighties and early nineties. By distinguishing between the major political shifts in South Africa (pre and post 1994), one is able to quite clearly discern the influence of these organisations both before and after 1994. Some significant differences however exist between these two phases in terms of donor behaviour and practices. Donor behaviour and practices stem directly and indirectly from universal movements and trends. One direct influence has been the worldwide New Public Management movement and its link with accountability. Programme evaluation is but one mechanism through which accountability is promoted. The most salient points emerging from the two time periods under discussion will be synthesised below.

Firstly the way in which donor funding reached its ultimate beneficiaries differed significantly between pre and post 1994. Before 1994 donor agencies channelled solidarity funds to voluntary organisations directly or indirectly by means of religious organisations and the Kagiso Trust. After the first democratic election, funding channels became more sophisticated. Donors – in support of the first Democratic Party – either channelled all or some of their aid funds to government. This led to the establishment of the RDP fund through which all Official Development Assistance and some local government funds travelled before moving to the next level. Another tier of funds had to be created to allow for the aggregation of funds that now came not only from foreign donors but also the private sector and local government. The macro management of Official Development Assistance later became the task of the International Development Co-operation (IDC) unit, within the Department of Finance.

Secondly the size of funding changed tremendously after 1994 as portrayed in the figures: between 1985 and 1993 USAID provided $420 million while Sweden, Denmark and Norway collectively put forth $400 million between 1972 and 1993. Between 1994 and 1999 this jumped to approximately R2.3 billion annually.

Thirdly many more agencies came on board after the first democratic election. Initially support was restricted to the US, Sweden, Norway, Denmark, Germany, The Netherlands, UK and Japan. In terms of private international foundations, the assistance of the Mott and Ford foundations is explicitly mentioned in literature covering the pre 1994 stage. After 1994 all the above-mentioned countries continued their support, with the European Union, Canada, Australia, Ireland, the World Bank and a range of others joining the list of ODA countries. The biggest donors during the 1994 to1999 period were USAID, the European Investment Bank, the European Union, Germany and Sweden. On the private foundations' side their support has also escalated tremendously over the years with approximately 70 foreign based private foundations and 60 faith-based foundations and INGOs active in South Africa at that stage. Their assistance is significant: for instance in 2003/2004 their contribution came to about half of official development assistance (R615 million).

Fourthly, aid funding addressed different trajectories pre and post 1994. Before 1994 donors focused on democracy (America), civil society (America), education (Japan and America) and supporting specific political parties (Germany). After 1994 the focus areas became more developmentally inclined in order to address the specific challenges South Africa was facing. For instance Denmark supported HIV/AIDs and the environment while Sweden considered education, the private and cultural sector. The European Union regarded basic social services, private sector development, good governance and southern African regional cooperation while the Netherlands covered sectors such as justice, youth, education and local government.

The final point relates to the way in which recipient organisations were held accountable. Before 1994 very few regulations and stipulations were in place – often a sporadic report and an audited annual financial statement were deemed sufficient. Some of the bigger donor agencies (CIDA, USAID, DANIDA, SIDA and GTZ) introduced stricter accountability measures already pre 1994 by means of the logical framework and ZOPP. After 1994 accountability progressively came to play a bigger role with donors frequently commissioning programme evaluation as part of the project cycle. NPO capacity building organisations mushroomed during this time to meet the expectations set forth by donor agencies in terms of managing, measuring and reporting on their programmes. A major reason for the heightened focus on accountability was the New Public Management movement that gained prominence globally in the early 1990s.

Although not the main focus of this chapter, donor agencies' presence definitely contributed to the transformation of this sector. For instance, after 1994 the variety of avenues from which funds could now reach the voluntary sector required for it to become more organised and institutionalised. A direct outflow of this has been the Nonprofit Organisation Act of 1997 and the establishment of the South African National NPO Coalition in 1995.

The private sector did not play a significant role in bringing programme evaluation to South Africa. However, some organisations in this particular sector have been the forerunners in establishing the practice of programme evaluation. These include the Business Trust, Zenex Foundation and the Joint Education Trust. Their interest in programme evaluation stems directly from the need to provide board members and other stakeholders with evidence-based feedback. The Joint Education Trust stands out for their contribution in hosting one of the first conferences around programme evaluation in South Africa.

In conclusion, the pressure exerted from donor agencies throughout the mid 1980s up to the mid 1990s to move from authoritarian to democratic rule changed the way in which the NPO sector operated. The voluntary sector's reliance on donor funding has opened them up to international influences and practices, one of which has been programme evaluation. Linking to the previous chapter, it is evident that this is in direct contrast to the UK and USA where programme evaluation came about at the initiative of government. In the next chapter we will investigate the stance of programme evaluation in the South African public sector.

CHAPTER 4: THE EMERGENCE OF PROGRAMME EVALUATION IN THE PUBLIC SECTOR IN SOUTH AFRICA

4.1 Introduction

The particular focus of the ANC leadership over the subsequent three election terms was very different. The first term under President Nelson Mandela's leadership was characterised by policy development and rationalisation of the structure of government, while the second term with President Thabo Mbeki marked the implementation of new programmes. This is referred to as the Rationalisation and Policy Development Phase (1994-1999) and modernisation and implementation (1999-2004) phases respectively (PSC, 2008b).The logical next step under the current reign of President Jacob Zuma is a critical assessment of what has taken place thus far: i.e. measuring service delivery at the level of outcomes and impact. In the third term the focus shifted to effectiveness and impact assessment. Performance management, and more recently the results-based approach, mark a change towards service delivery and reporting on non-financial information such as outcomes. Performance management and the results based approach has become synonymous with slogans such as *"what cannot be measured does not count"* which epitomise the shift in thinking around public expenditure. This is not surprising considering the heightened media coverage around dismal service delivery and the general lack of accountability that has characterised the public sector for so long. South Africa is not unique in this regard. The notion of accountability and the rise of the New Public Management (NPM) movement as discussed in Chapter 2 has been a direct result of citizens' dissatisfaction with the way in which their hard earned tax money was spent. A review of the origins of public administration, show that public administration was never intended to become so removed from the citizens. The early literature of public administration and the early schools of public administration such as the Maxwell Graduate School of Citizenship and Public Affairs at Syracuse University very much reflected a civic perspective (Frederickson, 1982).

In the first part of this chapter we briefly reflect on how performance management and the results-based approach came to play such a prominent role in the local public sector. In essence this section will weave together the variety of influences, trends and movements worldwide and locally in an effort to better understand the increased focus on outcomes and results rather than on inputs and activities.

In the second part of the chapter we discuss the history of monitoring and evaluation in the public sector and the extent of application prior to 2005 and the introduction of the Government wide Monitoring and Evaluation (GWM&E) framework. The more recent history of this framework will be covered under the heading of The Presidency as they are the lead agency of this initiative. A

number of implementing agencies ensure that the framework cascades down to national, provincial and local government. We briefly consider each of the implementing agencies' mandated function in the execution of the broader GWM&E framework. Every sub section will be concluded with a short synopsis of how the particular agency contributes towards the advancement of programme evaluation.

To gain a sense of where national government currently stands in terms of M&E we have done a desktop review of all National departments to determine: i) the existence of a designated M&E unit, ii) the number of staff working in this unit and iii) the extent of programme evaluation activities that is being conducted. In some instances no information around M&E activities could be obtained from the departments' websites. Where we could not gain access to the information via the websites, we pursued alternative means such as searching the South African Monitoring and Evaluation Association (SAMEA) membership directory for the name of an M&E practitioner in that department or checking whether PSC and The Presidency have that information at hand. Under this heading we also consider the recent release of documents pertaining to the Outcomes Based approach that have been adopted by government and the 12 outcomes which have been developed to measure South Africa's wellbeing.

In the remainder of the chapter we consider some of the initiatives government has undertaken in an effort to bring about greater citizen engagement in policy processes. This includes "EXCO meets the people", "Community Development Workers", "Presidential working groups" and "Citizen Satisfaction Surveys" to name a few.

4.2. Accountability in the Local Public Sector

After the 1994 election a new public administration culture needed to be introduced. South Africa's supreme law, the Constitution and government policy point to a commitment towards development by acknowledging the key role of citizen participation and upliftment of the previously marginalised. The issue of accountability and transparency comes out clearly in Section 195 (1) of the Constitution. It calls for (Matshiqi, 2007):

- A High standard of professional ethics
- Efficient, economic and effective use of resources
- Public Administration that is development oriented
- Services that are provided impartially, fairly, equitably and without bias
- People's needs to be responded to and greater participation in policy-making processes

- Accountable public administration
- Transparency to the public with timely, accessible and accurate information
- Good human resource management and career-development practices to maximise human potential

On the local front, public administration was very much shaped by debates at the time around good governance in relation to the developmental state and what democracy entails. Hyden and Bratton (as cited in Cloete, 2005:1) list four criteria to assess the style of governance in a society:

- Degree of trust in government
- Degree of responsiveness in the relationship between government and civil society
- Government's degree of accountability to its voters
- Authority government exercises over society

Good governance is therefore viewed to be "the achievement by a democratic government of the most appropriate developmental policy objectives to sustainably develop its society" (Cloete, 2000 as cited in Cloete, 2005). Both the notions of a developmental nation and the value attached to democracy have been instrumental in bringing *accountability* under the magnifying class. The evidence for this statement is discussed below.

Firstly, the South African state is often classified as being developmental; however whether local government has the capacity to bring about an improved quality of life has been questioned. There is a very strong emphasis on the role of the state in South Africa, largely because of the ANC's link to socialist politics (Edigheji, 2007). After the 1994 election the ANC with its dominant party status is viewed to have removed itself from civil society. Instead through political centralisation, it has enhanced its managerial authority and market modes of accountability (Heller, 2001). South Africa has succumbed to a neoliberal economic development strategy where the bureaucracy has subdued the once strong social movement sector. It is recognised that bureaucracy is not all negative. A democracy requires bureaucracy to ensure that the allocation of resources become "routinised" and formalised. It is also not always possible to move from centralisation to decentralisation in developing countries where uneven socio-economic conditions and weak state capacity prevails. Having said that, decentralisation can strengthen a democracy's scope and depth of citizen participation:

"Expanding the depth means incorporating previously marginalized or disadvantaged groups into public policy. Expanding the scope means bringing a wider range of social and economic issues into the authoritive domains of politics" (Heller, 2001:140).

It is however important to not only be a developmental state in name but to have the institutional arrangements in place to achieve the set goals. According to Evans (as cited in Edigheji, 2007) this manifests as an embeddedness where state, business and civil society work in unison. South Africa has not yet reached this point and many of its reform programmes (such as Growth, Employment and Redistribution, shortened as GEAR) was implemented devoid from business and civil society sector involvement. The conclusion is therefore reached that whereas the ANC's commitment to democracy is undeniable; its relationship with civil society in the early years following the establishment of the democracy was unsatisfactory (Heller, 2001). South Africa could therefore rather be classified as an *emerging* developmental state that is yet to restore the public's confidence in its abilities.

Secondly, the onset of democracy has pushed the notions of performance measurement and productivity to the fore. The need for improved service delivery accelerated as the population increasingly voiced their dissatisfaction with the pace and quality of service delivery (Matshiqi, 2007). The major impediment to this process is the bureaucracy associated with government and to date remains one of government's major challenges in "creating a better life for all". s the public is faced with continuous negative publicity around government corruption and exuberant expenses the answer becomes clear: get rid of extravagant and unnecessary spending, strive to attain value for money, supply essential services and expose and eliminate all forms of corruption and fraud.

International trends have played a huge role in how the local public sector adopted performance measurement and results-based management practices. Both performance measurement and the results-based approach have been a direct outflow of the NPM movement that has been introduced in Chapter 2. At the core of NPM lies the issue of trust as it questions whether centralised government and strong executive powers are the best device for efficient public administration (Manning, 2001). In terms of epistemology the NPM promulgates privatisation, contracting out, decentralisation, partnerships, management by results and customer orientation. The values that underpin the NPM are effectiveness, efficiency, economy, service, dynamism and flexibility (Gow & Dufour, 2000).

The results-based approach further gained momentum in the public administration sphere because of the adoption of the Millennium Development Goals (MDGs). The MDGs is a worldwide effort, led by the United Nations (UN) against poverty reduction and development. A framework to measure progress towards the MDGs was developed by UN secretariat, International Monetary Fund (IMF), Organisation for European Economic Co-operation (OECD) and the World Bank. It consists of eight goals, 18 targets and 48 indicators (Cloete, 2004). Results based management is viewed as an effective public management tool that assists policy makers to track outcomes and impact of a policy, programme or project.

In South Africa the measurement of performance initially took precedence over outcome and impact assessment. In the next section we divide the discussion around Monitoring and Evaluation into two periods: before the GWM&E initiative came about and after.

4.3. Monitoring and Programme Evaluation in the Public Sector

4.3.1 Before the GWM&E initiative

The GWM&E should not be associated with the start of monitoring and evaluation activities in the public sector. However, the initiative is viewed as a milestone in that it draws together the different role players in an effort to standardise the way in which M&E is practiced in government. Before the conceptualisation of the GWM&E initiative, various reforms were introduced by National departments to track their performance. The biggest critique of these reforms was the fact that they lacked integration with other spheres of government (The Presidency, 2007b).

One of the National Departments that became involved in M&E quite early on was the Department of Land Affairs. In 1995 Mr Indran Naidoo joined the Department as M&E Director. He set up an extensive Geographical Information System to assist with project monitoring. In order to assist with this task, consultants such as Dr Richard Levine (now Director General of Department of Public Service and Administration) was contracted to assist with this task. Under Naidoo's tenure the M&E Unit grew extensively. When he left the Department in 2000, the staff complement of this unit was 35 people. Policy evaluation activities were undertaken to "zoom in" (Naidoo, 2010) on specific projects. These were referred to as diagnostic studies. Two examples of these studies conducted in the 2003/2004 year include i) an investigation into the challenges faced by Labour tenants and Land owners who acquired land through the land reform programme and ii) an evaluation of the restitution process where methodologies included desktop research, interviews and discussions with relevant officials (Department of Land Affairs,2004). The Department of Environmental Affairs and Tourism (DEAT) is another governmental agency that has been involved in policy performance assessment. In 1996 this Department already participated in a UN indicator testing project where 134 indicators were tested (Cloete, 2004).

In 2004, Thabo Mbeki in his State of the Nation Address (SONA) promulgated for the first time that M&E take a more formal place within government (Morkel, 2010). By that time the performance monitoring and reporting functions were firmly established to comply with Treasury requirements; however M&E terminology was not being used (Morkel, 2010). It was recognised that the power had to be balanced and that decisions around resource allocation could not solely be based on one agency's (Treasury) assessments and findings. Other push factors that

contributed towards the development of a government wide monitoring and evaluation system included (Cloete, 2009:298):

- A need to report back on UN Millennium Development Goals
- A lack of a national M&E system even when South Africa was hosting the World summit on Sustainable Development in 2002
- No platform to provide feedback to citizens about government's Programme of Action
- Increased pressure from donors for more systematic assessment of programmes
- The importance attached to M&E systems worldwide in enhancing governance

Following the 2005 Cabinet Memorandum the Governance and Administration cluster of the Forum of South Africa's Directors-General (FOSAD) was mandated to develop a government-wide monitoring and evaluation system. It was anticipated that this system would contribute to improved governance and enhance effectiveness of the public sector. The term "system" needs clarification here. The GWM&E system is not a single, overarching automated IT system for government as each accounting officer is stipulated by law (Public Finance Management Act) to develop their own appropriate M&E system. Instead, when referring to this system it is rather the way in which information is extracted from existing institutional systems and integrated to derive at a top-level dashboard of the entire government's performance (The Presidency, 2009b).

Implementation of this system was led by an inter-departmental task team which was headed by the Department of Public Service Administration (DPSA). The activities were divided into the following work streams (IEG, 2010):
- Principles and practices: led by The Presidency
- Reporting and databases: led by DPSA
- Capacity building: led by Public Administration, Leadership and Management Academy (PALAMA)

The first work stream, principles and practices, involved a review of international best practices. From this work stream emerged the Green Book which contained lessons from various countries on how best to approach the development of such a system (The Presidency, 2005a). The next step involved conducting a situational analysis of what current M&E practices and capacity existed in all national departments. The results indicated that this was an underdeveloped, resource strained area, yet the necessity and willingness to rectify this situation were evident from the responses received (The Presidency, 2005b). A number of consultative workshops among stakeholders took place to discuss the system. The third consultative workshop for example included 10 minute presentations of all implementing agencies' existing transversal systems, a

review of the M&E training strategy, the implementation plan going forward as well as a review of the proposed development indicators (The Presidency, 2005a).

Given the above, it was anticipated that the new system would standardise the manner in which M&E is conducted throughout government to allow for information to be extracted from systems in all spheres of government (PSC, 2008a). This would allow for M&E's place in the policy cycle to become firmly embedded. The anticipated outputs of this system are listed as follow (The Presidency, 2007a):

- Improved quality of performance information and analysis at programme level within departments and municipalities (inputs, outputs and outcomes)
- Improved monitoring and evaluation of outcomes and impact across the whole of government
- Sectoral and thematic evaluation reports
- Improved monitoring and evaluation of provincial outcomes and impact in relation to Provincial Growth and Development Plans
- Projects to improve M&E performance in selected institutions across government
- Capacity building initiatives to build capacity for M&E and foster a culture of governance and decision-making which responds to M&E findings.

The enthusiasm for this task however waned quickly and for more than a year very little progress was made. Many government departments embarked on their own M&E activities with various mechanisms and systems organically emerging during this time (The Presidency, 2007b). It was decided in 2007 that the Policy Coordination and Advisory Service (PCAS) Unit in the Presidency would take over the work of the initial task team. The GWM&E initiative then became the responsibility of PCAS located within The Presidency. We will commence with a review of this governmental agency due to their lead role and from there continue to discuss the other role players and implementing agencies in the GWM&E initiative.

4.3.2. The Presidency and the GWM&E

The first step the PCAS took when handed over the responsibility of the GWM&E was to replace the task team with a GWM&E Coordination Forum. The Forum consisted of representatives from the initial core coordinating departments such as the Presidency, the National Treasury, the Department of Public Service Administration (DPSA), the Statistical Agency of South Africa (StatsSA), the Department of Cooperative Governance and Traditional Affairs (COGTA)[17] and PALAMA. It was later decided that the insight from the service delivery departments were also

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[17] Previously called the Department of Provincial and Local Government

needed and the Department of Education (DoE) and the Eastern Cape provincial Premier's Office were subsequently asked to join the Forum (IEG, 2010). A reflection of the lessons learned from other countries shed some light on the manner in which this system was ultimately implemented (IEG, 2010):

- Political leadership is crucial. The joint leadership by National Treasury, Statistics SA and The Presidency as well as other agencies have ensured longevity of the GWM&E system

- Incentives should be provided for carrying out effective M&E, ideally at the departmental and individual level by means of performance agreements

- The integration of M&E across all levels of government remains one of the biggest challenges. An embedded M&E function is reliant on a firm place in the planning, budgeting, in-year reporting and auditing processes.

- Many countries have firstly focused on monitoring – putting the "M" before the "E" and South Africa has followed suit. With monitoring systems in place the next step would be to enhance data quality in order to conduct meaningful evaluations.

- Linked to the limited focus on data collection, the construction of baselines has fallen by the wayside. A renewed focus is however placed on this aspect by means of raising awareness on the importance of building national data repositories.

- The implementation of an M&E system requires a variety of skills such as social and economic research, statistics, data management and project management. The supply of such individuals will have to be created internally to keep up with the demand

- Change management is crucial in ensuring civil servants maintain a positive attitude towards M&E. Instead of viewing this function with suspicion and as a "policing system" officials should be encouraged to use the data and findings in a critical manner to improve practice

- Ownership of M&E system at all levels is necessary to ensure proper application of the GWM&E system. Locally, ministries have realised that M&E is not just an accountability mechanism but can add great value to managerial decisions.

As mentioned above the Government wide M&E framework is not a single automated IT system but instead draws upon different data terrains. A specific institution is responsible for each of the three data terrains but can partner with other relevant institutions to develop standard and policy documents (The Presidency, 2009b). The following graphical representation of the different components of this system has become synonymous with the GWM&E as it is found in most documents pertaining to this topic:

Figure 4.1: The components of the GWM&E
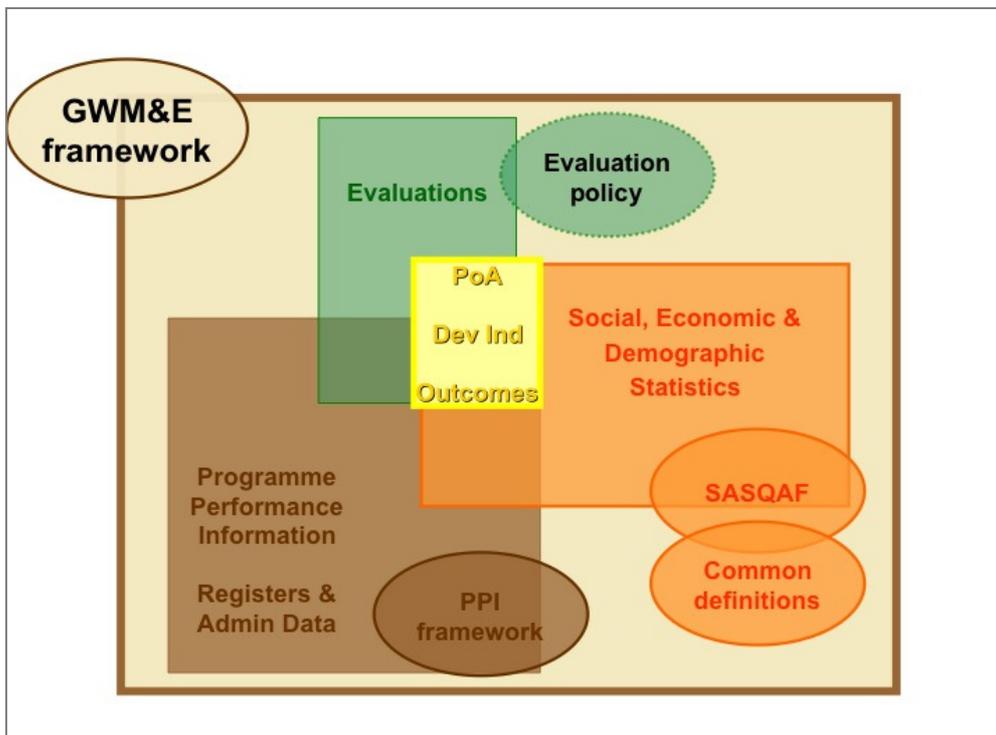
Source: IEG, 2010

At the intersecting points of the three data terrains of evaluations, statistics and performance information one finds the Government's Programme of Action (POA). The Programme of Action constitutes the President's annual set of priorities as communicated during the State of the Nation Address. The Programme of Action is currently being revised and the way in which the information feeds back to Cabinet has also changed with the introduction of the Outcomes Approach (see Section 4.3.3.2). In the past, the information gathered through the 400 project cards were communicated to the Cabinet on a bi-monthly basis, where after it was collated according to the six government clusters. The three frameworks that govern the information structure are indicated by the oval shaped circles in Figure 4.1 and are: the South African Statistical Quality Assessment Framework (SASQAF), Framework for Managing Programme Performance Information (FMPI) and the Evaluation Policy framework. The FMPI and SASQAF were both issued in 2007 by National Treasury and Statistics South Africa respectively (PSC, 2008a) and will be further discussed under the respective implementing agencies' section below. The Presidency in collaboration with National Treasury is currently busy developing the Evaluation Policy framework. The time has now come to focus on evaluation. Accompanying guidelines on how to implement this framework are also being developed.

The aims of the framework will be to (The Presidency, 2007a):

- Encourage all government institutions to evaluate their programmes on a regular basis
- Provide guidance on the general evaluation approaches
- Provide for the publication of the results of evaluations.

The system's anticipated achievements are directly aligned to the different components of this system (The Presidency, 2005b):

- To provide accurate and reliable information on progress during the implementation of government and other public sector programmes
- To collect and present information on outcomes and impact achieved by government and other public bodies
- To continuously improve the quality of monitoring and evaluation practices in government and public bodies.

In order to add legislative backing, The Presidency developed an overarching Government-wide Monitoring and Evaluation Policy framework. This document underpins the mandate of each of the implementing government agencies and contains a set of principles, key monitoring and evaluation concepts, the system goals, a description of the three components of the framework and clarity on the roles of departments and the legal mandates that are supporting these roles and responsibilities (IEG, 2010). In terms of the Presidency's legal mandate, Section 85 of the Constitution applies. This section specifies that the President and Cabinet members exercise their executive authority by ensuring the implementation of national policy and the optimal functioning of state departments and administrators. This in essence entails the coordination, monitoring and evaluating of government policies and programmes in order to alleviate poverty and redress past inequalities (The Presidency, 2007a). The Presidency is not prescriptive as far as individual institutions' M&E strategies and institutional arrangements are concerned. It is however recommended that M&E systems be integrated with existing systems, that M&E strategies adopt a sectoral approach and that the M&E structure is visible and carry sufficient authority (The Presidency, 2009b). The legal mandate guiding each of the implementing government agencies will be discussed in the respective sections below.

The Presidency's extensive mandate includes a capacity building dimension which is the responsibility of the M&E coordination forum. The forum continues to meet around M&E activities in government. Technical guidance is provided on a continuous basis through the release of guideline documents to assist the various implementing agencies to better understand M&E. Two such documents were the *From Policy Vision to Implementation Reality document* (published in 2008) and the *M&E Guidelines for Premiers' Offices.* The first document provided information on

how the M&E function would transpire in the core coordinating departments and agencies in order for them to align their M&E systems and other initiatives (IEG, 2010). Given the location of the Premier's offices and their relative independence in developing M&E systems, the second document aimed to address these complex structures and urge for the alignment of M&E reporting in order to avoid duplication.

A more recent publication includes the *Guidelines to National and Provincial Departments for the Preparation of an M&E Framework* which sets out the 10 step process for developing frameworks. The data forum project assists particular sectors in applying this generic framework (The Presidency, 2009b). A guideline booklet on IT systems is also in the pipeline (IEG, 2010) as well as a series of service delivery seminars in six sectors which evaluates where service delivery has gone wrong and what reforms can be undertaken (The Presidency, 2009b).

The Presidency' contribution to the advancement of programme evaluation:

- The PCAS undertook a Ten Year Review (TYR) to assess the impact of government since 1994
- It is envisaged that the new PME department will further the advancement of programme evaluation in government
- The evaluation framework is currently under construction and should lead to more rigorous assessment of programmes
- There is concern that the focus up to now has largely been on the "how" to monitor and evaluate and not the "what". Many line function departments still have their own strategic vision and action plans that are not synchronised (Cloete, 2009). The lack of guidance from The Presidency and capacity constraints is currently restraining full implementation by provinces and municipalities
- The Presidency released the Guideline to Outcomes Approach in June 2010 which signifies a move towards increased evaluation activity in government (see section 4.3.3.2)

4.3.2.1. The National Treasury

National Treasury is concerned with fiscal policy and ensures that funding is allocated efficiently and effectively. The Treasury's mandate is informed by Sections 215 and 216 of the Constitution as well as the Public Finance Management Act (PFMA) of 1999 and the Municipal Finance Management Act (MFMA) of 2003. Sections 215 and 216 of the Constitution specifies National Treasury's role (National Treasury, 2007a):

- Developing standards that may be required to facilitate the Implementation of the FMPI
- Developing standards for accountability reporting, including strategic plans, corporate plans, annual performance plans, budgets, in-year reports and annual reports

- Developing the core sets of performance information in collaboration with sector departments to ensure uniform information is produced to measure service delivery across provinces and municipalities
- Developing guidelines on the use of performance information.

The PFMA has changed the way in which the different spheres report to National Treasury. Prior to this Act the focus was mostly financial in nature. Now, measurable objectives must be specified by all departments and Annual Reports must report progress on achievement of these objectives (IEG, 2010). The introduction of the FPMA has shifted the focus to "value for money" and effectiveness and efficiency analysis. The sole reliance on financial information was therefore expanded to include non-financial service delivery information as well (The Presidency, 2007b).

In an attempt to streamline performance information the Treasury released a document in May 2007 that clarifies the importance of performance information. This document outlines the framework for the third component of the GWM&E system and is titled: *Framework for Managing Programme Performance Information (FMPI)*. The guide includes a description on how the Framework for the Management of Performance Information aligns with GWM&E; the role of performance information in planning, budgeting and reporting; key concepts; and, how to construct performance indicators, etc. The framework combines the information collected at provincial (through annual performance plans and budgets) and local level (through Integrated Development Plans and Service Delivery and Budget Implementation Plans).

In terms of process flow, the required information for the FMPI is drawn from the quarterly reports that are sent to Treasury. All financial flows at national, provincial and local government are measured on a quarterly basis by means of integrated frameworks. All national departments provide the Accountant General with breakdowns of income and expenditure per programme. The Public Finance Division subsequently monitors programme performance using this data. From this the Accountant General publishes monthly income and expenditure statements of national departments (The Presidency, 2009b).

Recent initiatives at provincial level include a review of performance measures of service delivery departments. Through participative processes fixed formats for five year strategic plans and annual performance plans have been developed to measure spending against plans and to monitor service delivery achievement. The *Annual Performance Plans and Service Delivery Indicators* clarifies service delivery targets and indicators for all expenditure programmes in the nine provincial sectors of health, social development, education, transport, agriculture, public works, arts & culture and sport, local government and housing. This translates into 500

performance targets that are reported on to Provincial Treasury who in turn channels this information for analysis to National Treasury.

At Municipal level, Treasury is providing support where needed and has released comprehensive budget regulations and reporting standards. Work is underway with COGTA and national sector departments to identify core indicators in order to further streamline reporting (The Presidency, 2009b). At National level a pilot has been undertaken with non-current departments to refine indicators for the Estimates of National Expenditure (ENE) in 2007. Lessons learned from this informed the 2009 ENE and all national departments provided information this time around. Treasury has furthermore developed indicators for service delivery monitoring in the case of national concurrent Departments such as Department of Education (DOE), Department of Social Development (DSD) and Department of Health (DoH).

Most of the analysis is conducted in-house but consultants have been commissioned to assist with the development of M&E frameworks. As recipient of all data, the Treasury acts as an Early Warning System to possible bottlenecks in the service delivery process. National Treasury further compiles the national budget and implements financial management policy.

Treasury's contribution to the advancement of programme evaluation:

Treasury undertakes a mainly monitoring role: financial performance monitoring is done against integrated national, provincial and local frameworks. This agency is concerned with standardisation in terms of reporting and the way in which performance indicators are developed. No evaluations are undertaken.

4.3.2.2. Public Service Commission

The Public Service Commission was established in 1996 *to enhance excellence in governance within the public service* (PSC, 2010a). This government agency is mandated by sections 195 and 196 of the Constitution, to monitor and evaluate the organisation and administration and personnel practices of the Public Service (PSC, 2008a).

As stipulated by the Constitution, PSC comprises of 14 Commissioners: five Pretoria-based Commissioners and one Commissioner Resident per province. The Office of the Public Service Commission (OPSC) supports the PSC and is headed by the Director-General, who is also the Accounting Officer. The Head Office is based in Pretoria with one Regional Office in each province (PSC,2010a). The PSC reports to the National Assembly on an annual basis as well as to the Legislature of each province. The six key performance areas - divided across four line function branches - of the PSC are i) leadership and Human Resource, ii) Labour Relations Improvement,

iii) Governance Monitoring, iv) Service Delivery and Compliance Evaluations, v) Investigations and vi) Professional Ethics (PSC, n.d.).

The PSC's annual Service Delivery Improvement Plans (SDIP) reflect the plans for the year ahead as well as the progress made towards achieving certain standards. The 2008/2009 Annual citizen reports on the commission's key services which include: i) conducting research on labour relations, ii) investigating irregular or inefficient public administration practices, iii) evaluating departments against constitutional values and service delivery and iv) monitoring HOD performance management. The PSC's medium term strategic plan is aligned to the MTEF, and focuses the activities of the Commission and is used to assess its performance (PSC, n.d.).

It is evident from the PSC documents reviewed that the Commission has evolved tremendously from its inception in 1999. Throughout the different electoral terms, the priorities of the PSC have always been closely aligned to the particular President's priorities. The current governmental phase of accelerated implementation is reflected in the PSC's transformation priorities "of beefing up the capacity of the state to deliver, strengthening public management, fostering and nurturing Public Service leadership, accelerating service delivery and achieving social development and addressing poverty through mechanisms that promote greater public participation" (PSC, 2008b:11).

Nine guiding principles of PSC:

- A High standard of Professional ethics must be maintained
- Efficient, economic and effective use of resources must be promoted
- Public Administration must be development oriented
- Services must be provided impartially, fairly, equitably and without bias
- People's needs must be responded to and the Public must be encouraged to participate in policy-making
- Public Administration must be accountable
- Transparency must be fostered by providing the public with timely, accessible and accurate information
- Good Human Resource Management and Career Development Practices, to maximise human potential must be cultivated
- Public Administration must be broadly representative of the SA people, with employment and personnel management practices based on ability, objectivity, fairness and the need to redress the imbalances of the past to achieve broad representation
(PSC, 2008b)

In 2000 the need for an internal PSC M&E system became inevitable. The biggest impetus for such a system came from the realisation that although the commission's activities were M&E oriented, projects were mainly undertaken on an ad-hoc basis and not to inform the PSC's broader strategic goal which is to better overall governance and service delivery. The system is based on the nine Constitutional values and principles of public administration. The PSC monitors itself and other government agencies and

department agencies against this set of criteria. The results of this assessment are contained in the annual *State of the Public Service Report.* The report systematically covers the nine principles (see enclosed text box) by providing results in most instances at provincial level. Key observations and suggestions from previous SOPs reports are referred back to in an effort to track progress.

The M&E system was implemented in different phases to limit resistance and to ensure that staff had enough time to become accustomed to the system. The final phase of the system was the development of a Knowledge Management System, funded by GTZ, which assisted with project management, information storage and financial management (PSC, 2004).

The Public Service Commission contributes extensively towards the growth of M&E in the public sector by means of publications, evaluation and meta-evaluation studies and capacity building initiatives. In terms of publications, a guide was published in February 2008 to clarify M&E terminology (*Basic Concepts in Monitoring and Evaluation*). The Commission frequently conducts evaluation and meta evaluation studies such as the Evaluation of Service Delivery at the Department of Home Affairs: Visa Applications and Port Control, made available in 2009 and, for example, the *Fourth Consolidated Public Service Monitoring and Evaluation Report* that was released in 2007 (PSC, 2010a). Another substantial way in which the PSC has advanced M&E locally and on the African continent has been their involvement in a variety of conferences and capacity building initiatives. These include (PSC Newsletter, 2007b):

- Co-hosting of the 3rd African Evaluation Conference in Cape Town
- Continued support (financial and by means of human resources) to the South African Monitoring and Evaluation Association (SAMEA). This includes representation on the SAMEA Board, sponsorship of both the 2007 and 2009 SAMEA conferences and attendance of government officials at ad hoc events such as the Andy Rowe seminar in 2010.
- Hosting a meeting with Secretaries of African Public Service Commissions and other Service Commissions in Johannesburg in 2007. As a result the establishment of the Association of African Public Service Commission and Other service Commissions (AAPSOCs) are being further investigated

When undertaking evaluations or measuring citizen satisfaction, the PSC employs a variety of methodologies in order to collect data. This includes for instance inspections and review of departments and customer satisfaction surveys. The PSC utilises a number of frameworks such as the organisational performance assessment framework, a case management system framework and the Public Service Monitoring and Evaluation System framework (The Presidency, 2009b).

PSC's contribution to the advancement of programme evaluation:

The PSC has by far made the most significant contribution to the advancement of programme evaluation in the public sphere:

- The commission frequently conducts programme evaluations and not only relies on secondary data sources (such as reporting)
- The commission encourages and supports programme evaluation activities through publications and involvement in various events. Financial support is lent to the South African Monitoring and Evaluation Association
- In-house infrastructure and capacity are geared towards the undertaking of regular evaluations: An internal M&E Unit with a staff complement of 20 and an M&E framework is in place.

4.3.2.3. Statistics South Africa

StatsSA collects and analyses key economic and socio-economic data for instance GDP, inflation, the national census and the annual household and health surveys. A distinction is made between national statistics and official statistics. National statistics are generated in the public domain by means of surveys, registers and administrative data sets from tripartite government, NGOs, private sector and research institutions but has not yet been certified as official. Official statistics on the other hand are certified by StatsSA and are reviewed periodically by the Statistician General (The Presidency, 2007a).

A lack of reliable statistics can seriously impede the planning and M&E functions of government and is therefore a core component of the GWM&E initiative (PSC, 2008a). The policy framework for the GWM&E initiative lays out the legal mandate of StatsSA which encompasses the: i) the Statistics Act (No.6 of 1999); ii) 2002 January Cabinet Lekgotla; and, iii) State of the Nation Addresses, 2004 and 2005. The Statistic Act specifically affords the Statistician General the authority to:
- Advise government officials on the application of quality criteria and standards
- Declare statistics produced by other government agencies as official statistics
- Comment on the quality of national statistics of other departments or state agencies (The Presidency, 2007a).

The theoretical backing for this data terrain of the GWM&E system is provided by the *SA Statistical Quality Assurance Framework* (SASQAF) which is based on the *International Monetary Fund's Data Quality Assessment Framework.* The social, economic and demographic statistics contained

in the SASQAF provides a repository of data that forms the foundation of subsequent studies and analyses. SASQAF assesses government statistics against eight dimensions in order to be certified: relevance, accuracy, timeliness, accessibility, interpretability, coherence, methodological soundness and integrity (IEG, 2010). All statistical products, in terms of this framework can be categorised along a continuum of one (poorest) to four (quality). The Statistician General established a Data Quality Assessment Team in order to make recommendations for the improvement of these statistics. Once the Statistician General is satisfied that indicators can be labelled as quality indicators, this data will labelled as *official statistics* and will be subject to periodic reviews (Statistics SA, 2008).

This government agency critically reflects on its methodologies, strategies and tools on a continuous basis by means of reviewing processes followed when conducting population and household surveys. The need has also been identified for a National Strategy for the Development of Statistics in the National Statistics Systems. The strategy will be rolled out in phases and capacity audits will be undertaken at key departments such as Health, Education and Home Affairs (The Presidency, 2009b).

StatsSA's contribution to the advancement of programme evaluation:

- Dedicated M&E Unit working on the Population Statistics Cluster - Consists of 12 staff members
- Evaluations undertaken frequently for example process evaluation for Census 2011 Mini Test done in Limpopo and in 2010/2011 the population census pilot will be evaluated (The Presidency 2009b).

4.3.2.4. Department of Public Service and Administration (DPSA)

The DPSA's legal mandate is framed by the Public Service Act which states that this department is responsible for public service effectiveness and improved governance (The Presidency, 2007a). The Act further affords power and duties regarding performance management to each Executive authority. The DPSA at macro level assists government departments to implement management policies, systems and structural solutions in order to modernise the public service (National Treasury, 2007a). Although this department's jurisdiction extends beyond human resources management, the DPSA still takes responsibility for the Human Management Resource Policy and the development of the conditions of service (PSC, 2008a).

DPSA's approach to performance management is: firstly, to increasingly delegate the managerial responsibility to departments and within departments and, secondly, to decentralise all human resource management to the departments yet within the confines of the national framework. It is

recognised that monitoring and evaluation serves an important purpose in that all stages of performance management (planning, implementation, outputs, outcome and impact) require continuous monitoring and periodic evaluation. The measurement of Batho Pele principles (discussed in section 4.4) fall within the scope of the DPSA. The Performance Management and Development System (PMDS) require the incorporation of Batho Pele principles into work plans and performance agreements (PSC, 2008b). The stronger implementation focus ensures accountability becomes a more concrete endeavour.

The DPSA not only considers organisational performance management but also individual performance management. Existing M&E initiatives in this regard include a quarterly Public Management Watch where personnel and payroll data, obtained via PERSAL is monitored. The Public Management Watch covers thirteen categories of human resource data including turnover rates, replacement rates, vacancy rates, vacant posts, leave trends and employment termination (IEG, 2010). As soon as the data moves outside the allowable ranges, a colour coded dashboard indicates this. Additionally, the DPSA obtains departmental annual reports on posts filled, vacancies and other human resource related issues. Although mandated to consider E-government issues and digitisation of government's service delivery (undertaken by State Information Technology Agency), very little has happened in this regard (Cloete, 2005).

Future projects include a review of the basics of administration and monitoring these basics. Possible duplication and overlap of policies will also be identified and addressed through this project. DBSA is ultimately working towards a single reporting system for Human Resources, Information and Communication Technology, service delivery improvement and corruption reporting (The Presidency, 2009b).

DPSA's contribution to the advancement of programme evaluation:

The mandate of this governmental agency necessitates a strong M&E focus. A variety of M&E products are employed to measure individual performance (Public Management Watch) and organisational performance (Performance Management and Development System).

In terms of programme evaluation there are indications that this will be taking place soon (The Presidency, 2009b)

4.3.2.5. Department of Cooperative Governance and Traditional Affairs (COGTA) and provincial departments of local government

Collectively Chapters 3 and Chapter 7 of the Constitution, the Municipal Structures Act of 1998 and the Municipal Systems Act of 2000 puts the former Department of Provincial and Local Government in charge of national policies and legislation pertaining to provinces and local government (The Presidency, 2007a).

COGTA is responsible for the monitoring of performance of local and provincial governments. It is therefore tasked to develop an integrated monitoring, reporting and evaluation system for local government while simultaneously ensuring that the implementation of the GWM&E system is supported (National Treasury, 2007a). Close consultation with The Presidency and National Treasury is taking place to ensure alignment with the FMPI and GWM&E framework. Cloete (2005) believes that up to 2005 COGTA (DPLG at that stage) has only given a "cursory glance" to evaluation activities at provincial level. Evidence suggests a change in this status with some activity taking place to instil an M&E culture. Currently, a set of seven core legislated indicators are being expanded to develop an integrated framework against which to assess provincial and local government performance. A Monitoring and Evaluation Policy is also underway. Metropolitan regions such as Cape Town, Durban and Johannesburg have implemented systematic performance assessment systems that include key performance indicators (output and outcome) for their respective development priorities and objectives (Cloete, 2005). The monitoring and evaluation function is performed by the monitoring and evaluation unit within COGTA (established in 2006), the Urban Renewal Programme, Free Basic Services, Municipal Systems and Capacity Building branches (The Presidency, 2009b).

The Offices of the Premiers as well as the Provincial departments of local government play a crucial role in the alignment of data flow from the municipalities upwards through to national level (The Presidency, 2007b). Specific activities of COGTA include the monitoring and reporting on the implementation of the Five-Year Local Strategic Agenda (YLSA)[18] by all three spheres and the Presidential Imbizo which occurs quarterly. The Five-Year Local Strategic Agenda sets out three priorities of reform of which the second priority focuses on performance and accountability in municipal governance. In total, municipalities report on 108 indicators (The Presidency, 2009b).

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[18] Five Year Local Government Strategic Agenda is a government-wide program approved by the Cabinet Lekgotla in January 2006. This strategic agenda ensures that the three spheres of government consolidate the government resources and focus on improving local government service delivery and development programmes (limpopo-dlgh.gov.za/.../Publication%20of%20the%20LG%20Strategic%20Agenda.doc).

Provincial performance and the Five-YLSA is reported to intergovernmental forums[19]. Municipal performance is presented to parliament via an annual report. The Presidential Imbizo is reported on bi-annually to the Cabinet Lekgotlas (The Presidency, 2009b). It is expected that this reporting will change with the new outcomes based approach that has been introduced in June 2010.

COGTA's contribution to the advancement of programme evaluation:

COGTA measures the performance of local and provincial governments. A number of activities to support M&E have been undertaken:

- An M&E unit has been established (consisting of 5 people) and a Monitoring, Reporting and Evaluation framework has been developed
- Close consultation with StatsSA, Treasury and The Presidency is being undertaken to ensure alignment with the GWM&E and the other frameworks
- The development of an integrated system of monitoring and reporting on the performance of provinces and municipalities is underway.

COGTA is planning to evaluate the impact of programmes at the local level in the near future (The Presidency, 2009b).

4.3.2.6. Offices of the Premiers

The Premier is the executive authority of a province (as per Section 125(1)) and is responsible for the development and implementation of provincial policy, the implementation of national policies in concurrent function areas and the coordination of the provincial departments. In July 2008 the Presidency released *The Role of Premiers' Offices in Government-wide Monitoring and Evaluation: A Good Practice guide.* This document is not prescriptive but aims to locate the Premier Offices within the GWM&E initiative and to inform Premier offices of the implications of this framework on their M&E tasks. It furthermore sets out the challenges the M&E officers can face and provide recommendations when developing M&E strategies and plans for the province (The Presidency, 2008). As the political head of provincial government, the Premier takes the lead in the development and implementation of Provincial Growth and Development Plans (The Presidency, 2007a). The Provincial Growth and Development Strategy (PGDS) guides the planning and M&E function within each province.

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[19] 'Inter-governmental relations' refers to the relationships between the three spheres of government. Although these three spheres are distinctive, interdependent and interrelated', they exist in a unitary South Africa and have to work together in certain areas such as decision-making and coordination of budgets, policies and activities. Inter-governmental bodies exist in national and provincial spheres (Source: http://www.etu.org.za/toolbox/docs/govern/inter.html).

All provinces have an M&E function in the Office of the Premier with only the Western Cape's M&E unit operating at Chief Directorate level. The title of the Office of the Premier's M&E units in each province is as follow:

- Eastern Cape: Monitoring and Evaluation Unit
- Free State: Policy Coordination, Monitoring and Evaluation Unit
- Gauteng: Information Management and Monitoring
- KwaZulu-Natal: Monitoring and Evaluation Unit
- Limpopo: Monitoring, Evaluation and Impact Analyses Unit
- Mpumalanga: Monitoring and Evaluation Unit
- North-West: Monitoring and Evaluation Unit
- Northern Cape: Policy Evaluation and Implementation Unit
- Western Cape: Chief Directorate: Monitoring, Evaluation and Review (The Presidency, 2008).

In order to execute the Provincial Growth and Development Strategy, all provinces (except Northern Cape) have established an M&E forum to ensure the M&E and planning functions are coordinated at provincial level. These forums are ultimately tasked to develop a single provincial M&E framework that is aligned to the GWM&E initiative. The names of these forums in the eight provinces are provided below:

- Eastern Cape: Provincial Planning, Monitoring and Evaluation Technical Task team (PMETT)
- Free State: Provincial MRE Forum
- Gauteng: Provincial M&E Forum
- KwaZulu-Natal: Provincial M&E Forum, IDP planning forum
- Limpopo: Provincial M&E Forum
- Mpumalanga: Provincial Planning & ME Forum
- North-West: Provincial M&E Forum, local government and planning forum
- Western Cape: Provincial M&E forum (The Presidency, 2008).

These forums are not always fully operational. The Eastern Cape forum (PMETT) was revived in recent years to embark on the development and institutionalisation of the Monitoring, Evaluation and Reporting function in the Province. The PMETT consists of Planners, M&E Practitioners of all provincial departments, Office of the Premier Public Entities and District Municipalities (Eastern Cape Office of Premier, 2009). The major catalysts for this forum's revival are stated as the commitment shown to M&E by the Presidency through the establishment of the National Planning Commission and the Ministry for Performance, Monitoring and Evaluation (Eastern Cape Office of Premier, 2009). One of the objectives of this forum is to "close the gap between planners and M&E

practitioners, the individuals responsible for reporting in provincial departments and the beneficiaries/end users of such plans" (Eastern Cape Office of Premier, 2009). The greater strategic alignment should hopefully cultivate a strong M&E culture in the province.

In the Western Cape, the Chief Directorate: Monitoring, Evaluation and Review in 2010 conducted an M&E Readiness Assessment at provincial level. This study was preceded by two audits to establish the readiness of the Western Cape Provincial Government to implement a provincial wide M&E system (Western Cape Office of the Premier, 2009). The questionnaire items of the assessment study were based on the Provincial Wide Monitoring and Evaluation System (PWMES) 7-Phase model. This results-based monitoring and evaluation system is aligned to the GWM&E system and uses a 7-phase model. The seven phases are the following:

- Phase 1: Readiness Assessment and Stakeholder Engagement
- Phase 2: Overarching Frameworks for PWMES
- Phase 3: Indicator Definition Process and Indicator Frameworks
- Phase 4: Monitoring and Results Frameworks
- Phase 5: Data Management and Data Assessment
- Phase 6: Information Architecture
- Phase 7: Planning to Implement and sustain the PWMES (Western Cape Department of the Premier, 2010).

The provincial Programmes of Action with cluster targets are also overseen by the Premier (The Presidency, 2008). In terms of local government, municipal planning is done by means of the Integrated Development Planning (IDP) process. This five stage process commences with a situational assessment at municipality level, followed by development of appropriate strategies and subsequently programmes to address these problems. The fourth and final phase entails the integration of all strategies followed by obtainment of approval by the council (The Presidency, 2008). The Municipal Finance Management Act (MFMA, No 56 of 2003) stipulates the production of a number of other reports which include monthly financial reports, mayor's quarterly reports, mid-year performance assessment reports and annual reports.

Office of the Premier's contribution to the advancement of programme evaluation:

Monitoring and Evaluation is increasingly gaining prominence in the respective provinces

- All provinces have an M&E Unit
- All provinces, except Northern Cape has an M&E Forum in place
- The M&E forums are actively advancing the monitoring and evaluation function in the respective provinces through the development of Provincial monitoring and evaluation systems
- Some evaluations are taking place, for example, the Expanded Public Works Programme (EPWP) that has been assessed in KZN and Limpopo. Western Cape is planning an evaluation of EPWP. Eastern Cape, Free State, Gauteng, Mpumalanga are also aiming to start evaluations soon (The Presidency, 2009b).

4.3.2.7. Auditor General

The Auditor General of South Africa as the Supreme Auditing Institution in South Africa is tasked to "*enable oversight, accountability and governance in the public sector, thereby building public confidence. The Auditor General is accountable to the National Assembly where amongst other things the Auditor-General's Budget and strategic plan, as well as the* <u>Annual report</u> *are tabled annually*" (AGSA, 2008).

Mandated by the Public Audit Act of 2004, the auditor-general is required to express an opinion on "reported information of the auditee against pre-determined objectives" (Section 20(1)c of Public Audit Act). This stipulation entails a close link to National Treasury which is the lead agency of the Programme Information data terrain. The Municipal System Act and Municipal Finance Management Act at local level afford the same role to the Auditor General (The Presidency, 2007b). This agency currently focuses primarily on financial and compliance auditing by:

- Auditing the accounts and financial statements of three spheres of government as well as other government institutions or accounting entities
- Conducting performance audits to ensure three Es have been adhered to (economy, efficiency and effectiveness)
- Auditing and expressing an opinion on the quality of performance indicators in departmental strategic plans and in the *Estimates of National Expenditure* (PSC, 2008a).

In essence the Auditor General verifies that financial and non-financial information contained in annual reports adequately reflect service delivery status (The Presidency, 2009b). The Public Finance Management Act of 1999 sets out the timeframes as far as the auditing of financial statements are concerned. Financial statements should be produced no later than three months after the conclusion of the financial year and need to be audited within seven months after year end. Following international trends, national and provincial departments are now required to include audited financial statements and statements on programme performance, lending an additional function to the Auditor General in verifying service delivery achievements of departments.

It is envisaged that the Auditor-General will start auditing performance information in the 2011/12 financial year audit cycle to enhance the quality and credibility of the data (IEG, 2010).

Auditor-General's contribution to the advancement of programme evaluation:

The AG fulfills a "checking" point in auditing all performance information. The contribution of the AG is therefore indirect in that performance audits will reveal whether policy programmes at national, provincial and local level are adhering to the three Es. The assessment of performance indicators will further encourage departments to develop well-conceptualised M&E systems.

4.3.2.8. Line departments with national oversight functions

National policy departments for concurrent functions are responsible for ensuring that policy pertaining to M&E within the specific sector is not only developed but accompanied by norms and standards. The national department must oversee the development of a standard set of performance indicators against which to measure the performance of the sector (PSC, 2008a).

Every government institution is expected to develop an M&E strategy. This document should address a number of issues:

- Their approach in how the M&E strategy will be created and operated on a daily basis
- How the strategy will link to existing management and decision-making systems
- The way in which the findings will inform strategic and operational decisions, budget allocations and reporting mechanisms
- A review of current M&E practices and systems, where the gaps are and how these gaps will be addressed
- A clear capacity building plan indicating how a lack of skilled M&E staff will be addressed (The Presidency, 2007a).

The M&E strategy should link to the GWM&E Policy Framework and the supporting frameworks and should clearly indicate where the central data will be lodged and stored. A culture of transparency is encouraged through the placement of results and findings on the internet, the establishment of M&E Forums, learning circles, etc. (The Presidency, 2007a).

As mentioned above, in order to assist national and provincial departments to develop an M&E framework, a guideline document titled: *Guidelines to National and Provincial Departments for the Preparation of an M&E Framework* has been released by The Presidency. The guide assists government officials to develop an M&E framework in order to assess progress against policy goals by linking indicators to policy imperatives. The document sets out step by step how national departments should develop an M&E framework. The ten step system commences with a situational assessment, followed by a listing of administrative data sets and systems, indicator development (where necessary) and concluding with the development of a capacity building plan in order to implement its M&E plan and a communication plan.

4.3.2.9. PALAMA

PALAMA, previously SAMDI, provides and commissions M&E training for public service officials in order to ensure standardisation and quality of training. This agency's legal backing is found in the

Public Service Act, 1994, Chapter II, Section 4(2). Through this mandate, PALAMA is further granted permission to issue diplomas and certificates for successful candidates (The Presidency, 2007b). An M&E curriculum was developed in consultation with a number of key role players including those involved in the GWM&E framework.

The detail of the different programmes that have been developed as well as the accreditation obtained for some of these courses are further discussed in Chapter 5.

4.3.3. Recent developments in M&E in government

4.3.3.1. Establishment of the Performance Monitoring and Evaluation department

In May 2009 President Jacob Zuma announced a new government structure. One of the changes included the creation of a dedicated Performance Monitoring and Evaluation (PME) Department. The Director-General of the Performance Monitoring and Evaluation Department has the task of overseeing the management and implementation of government's monitoring and evaluation frameworks. The functions include:

- Management of outcomes through Ministerial accountability for improving delivery performance
- Institutionalising the Government-wide Monitoring and Evaluation system (GWM&E)
- Unblocking service delivery (The Presidency, 2010b).

The Department consists of three branches: Performance Monitoring and Evaluation, Public Sector Administration Oversight and Strategic Management. The Monitoring and Evaluation branch coordinates and manages the implementation of Government's performance monitoring and evaluation systems and delivery improvement programmes. Broken down further, this branch consists of three divisions: sector performance improvement and programmes division, data systems division and delivery intervention division. If all the positions are filled within the Performance Monitoring and Evaluation branch, it would mean the occupation of approximately 40 permanent positions and 16 contract positions (The Presidency, 2010a).

The PME department is headed by minister Ohms Collins Chabane and marks a pivotal point in the South African public sector history. Only the US comes close to such an appointment with Jeffrey Zients appointed by Barack Obama as chief performance officer. However, Zients's position is not at the cabinet-level (Asibey, 2009). It is envisaged that this Ministry will address the growing concern around sub standard service delivery through a focus on outcomes

4.3.3.2. Outcomes-based approach

The new focus on outcomes is addressed in the *Policy Paper on Improving Government Outcomes.* This policy paper encourages the establishment of linkages between inputs, activities, outputs and outcomes. By having an understanding of the different elements, an early warning system will be put in place to timeously react to blockages in the delivery chain.

In June 2010, the Presidency released the *Guide to the Outcomes Approach* which sets out the government's performance monitoring and evaluation system as well as the outcome based approach that has been approved by Cabinet (The Presidency, 2010b). The guide, amongst other things, explains the process followed in order to arrive at the 12 outcomes that will be their strategic focus for the next four years. These outcomes are:

- A long and healthy life for all South Africans.
- All people in South Africa are and feel safe.
- Decent employment through inclusive economic growth.
- A skilled and capable workforce to support an inclusive growth path.
- An efficient, competitive and responsive economic infrastructure network.
- Vibrant, equitable and sustainable rural communities with food security for all.
- Sustainable human settlements and improved quality of household life.
- A responsive, accountable, effective and efficient local government system.
- Environmental assets and natural resources that are well protected and continually enhanced.
- Create a better South Africa and contribute to a better and safer Africa and World.
- An efficient, effective and development oriented public service and an empowered, fair and inclusive citizenship (The Presidency, n.d.e).

Figure 4.2 below shows how the initial Electoral Mandate's five strategic priorities and the 10 priorities from the Medium Strategic Framework were reworked into 12 outcome areas.

Figure 4.2: Process of Outcomes Based Approach

Development of high level outcomes, outputs, activities & metrics	Develop and implement detailed inputs, outputs, activities, metrics and roles & responsibilities

Ruling Party Election manifesto: 5 priority areas

STEP 1

MTSF: 10 priority areas

12 strategic outcomes (based on consultation process)

Performance agreements with Ministers:

STEP 2

- Based on outcomes
- High level outputs, indicators, targets and activities per outcome
- Request to work together in Implementation Forum to produce a delivery agreement per outcome

Establish Implementation Forum

STEP 3

Negotiate detailed inputs, activities, metrics and role & responsibilities

Delivery Agreements

Coordinate Implementation

Monitor & Evaluate

STEP 4

Feedback loop to annual revisions of Delivery agreements

Source: The Presidency, 2010b

MTSF and MTEF

The Medium term Strategic Framework (MTSF) encapsulates the medium priorities of government. The Medium Term Expenditure framework (MTEF) was introduced by Treasury in 1998 as a three year rolling budget to the MTSF.

The 12 outcomes culminated in performance agreements that were signed with the 34 Cabinet Ministers in April 2010 (Step 2 in Figure 4.2). It should be noted that these performance agreements are not punitive in nature but should be used as a management, coordination and learning tool (The Presidency, 2010b). The president is also planning to enter into protocol agreements with the Premier.

This new outcomes based approach marks a change in the cabinet cluster system and the role of the Forum for South African Directors-General (FOSAD) in the planning stages.

In the past, six Cabinet clusters were responsible for the development of the MTSF. These cabinet clusters were established to address the sectoral-specific challenges and included: social sector; economic sector; investment and employment; international relations; peace and security; justice; crime prevention and security; and, governance and administration. Six Director-General clusters were subsequently established to ensure that departmental resource allocation is aligned with the agendas set by the six Cabinet clusters (DPSA, 2003). The FOSAD as intergovernmental structure has played a crucial role in ensuring enhanced coordination between the DGs. The mandate of FOSAD included the coordination and implementation of national policy, providing a forum where national and provincial DGs can share experiences and exchange ideas.

With the new process, the performance agreement stipulates the establishment of Implementation Forums for all 12 Cabinet Lekgotla outcomes. The implementation forum comprises an executive implementation forum and a technical (administrative) implementation forum. The technical implementation forum implements the service delivery agreement (Step 3 per Figure 14) while the executive forum reviews, adjusts and report back to Cabinet.

The delivery agreements should clearly indicate activities, the detail of resources and the roles and responsibilities (The Presidency, 2010b). The DPME will lend support in the development of these service delivery agreements. The *Guide to the Outcomes Approach* sets out the process for developing these agreements. The DPME will also provide a senior outcome specialist for each implementation forum.

With the new process, FOSAD and the cluster system will remain intact for five of the 12 outcomes. Existing government structures will be added to the existing FOSAD clusters in order to constitute the technical implementation forum. Implementation forums will refer policy issues to these FOSAD clusters (The Presidency, 2010b).

The short term planning product of government, the Programme of Action, is also currently under review. The PoA reporting system will produce the data for the Implementation forums.

Monitoring and evaluation constitutes an important function as it is envisaged that regular evaluation will provide feedback on the delivery agreements (Step 4 per Figure 4.2). At grassroots level, concern is expressed around the capacity in Government to conduct evaluation studies, in particular, integrated evaluation studies in, for example, the area of rural development (Morkel, 2010). In the interim, provinces are executing their own approaches to evaluation: for example the Eastern Cape Office of the Premier is proposing comprehensive evaluations to be done. This government body has furthermore developed a kind of "checklist" when deciding which

programmes to evaluate. For example, costly programmes, programmes with huge political implications and programmes which may have far reaching effects for beneficiaries will take precedence when evaluations are commissioned (Morkel, 2010). The main challenge in the Eastern Cape (and most likely some of the other provinces) has been to bring about an understanding of the link between monitoring and evaluation. Because monitoring has been undertaken as a compliance function for so many years, its link with evaluation and how it fits into the programme theory has been neglected and misunderstood. Treasury continues to view non financial data from an auditing perspective and not necessarily how the monitoring data builds up towards the achievement of outcomes.

4.3.3.3. M&E Units, staff and reporting within government

The table below considers the current stance of monitoring and evaluation within some National departments in terms of a number of dimensions. These include the existence of an M&E framework, monitoring tools and the kind of data collected, who undertakes the M&E activities, whether evaluation in particular is conducted and how information is managed. The information contained in this table has primarily been obtained from the PCAS within the Presidency. Only certain national departments' data was available and a desktop review for those instances where data did not exist, only rendered information on the level at which M&E activities is undertaken (column 2). A further search was undertaken of the national departments' latest annual report to check for references to evaluation activities. Neither the national departments' websites nor their annual report provides detail on M&E unit size.

Table 4.1: Stance on M&E in National departments

Dept	M&E Unit and staff size	Who undertakes M&E activities?	Evaluation activities
Education*	Yes: 8 employed, 2 vacancies	National level the Chief Directorate Information Monitoring and Evaluation	Yes, for example Dinaledi project evaluation
Environmental Affairs & Tourism*	Yes, 26 strategic posts in total	M&E Coordinated by the Office of the Chief Operating Officer but units undertake own M&E work. Consultants contracted where needed	Yes, ongoing, environmental studies
Health*	Yes, 12 employed and 1 vacancy	Coordinated by Monitoring & Evaluation directorate with M&E activities undertaken by M&E unit staff	No, due to budget constraints currently
Social Development*	Yes, number of staff not available	Chief Directorate consisting of 4 functional units: institutional monitoring, service delivery monitoring, strategic information monitoring and analysis impact assessment and evaluation Each national level programme has M&E person that coordinates M&E within the programme	Impact studies and diagnostic evaluations done intermittently. Output evaluations take place more frequently
Agriculture, Forestry and Fisheries**	Information not available	Directorate Monitoring and Evaluation	No mention of programme evaluation studies. Directorate is assessing M&E capacity at provincial level and finalising a M&E framework (DWAFF, 2009)
Arts & Culture**	Information not available	Directorate Coordination, Monitoring and Evaluation	No mention of programme evaluation activities (DAC, 2009)
Communications**	Information not available	Programme: Governance and Administration/ Strategic Planning and Monitoring	Sub programme for Policy Evaluation and Impact Assessment. Unclear to what extent evaluations/ impact assessment has been undertaken (DOC, 2009b)

Public Works**	Yes, number of staff not available	Monitoring and Evaluation Unit within the Policy, Strategy, Monitoring & Evaluation sub programme of the National Public Works Programme	M&E Policy under development. No mention of evaluation beside Expanded Public Works Programme in 2008/ 2009 Annual report (DPW, 2009b)
Transport**	Information not available	Chief Directorate for Policy Analysis and Impact Monitoring	Information not available
Tourism**	Information not available	Directorate Monitoring and Evaluation	Information not available

*Source: The Presidency, 2009b

** Respective departments' websites

During the development of this Master's thesis, the Public Service Commission commenced with the compilation of an M&E database. The database, although in its early stages reflects data for six provinces and at this stage primarily provides information pertaining to the level of M&E reporting. The PSC includes the highest level of M&E reporting in their database as this reflects the level of commitment attached to the M&E function. This data in essence indicates the number of levels (and hands) M&E reporting needs to pass through to reach top management, which is level 14 and up.

An understanding of the levels in government is needed in order to interpret Table 4.2:

- Level 12: Manager /Deputy Director
- Level 13: Senior Manager/ Director
- Level 14: General Manager/ Chief Director
- Level 15: Deputy Director General (DDG)
- Level 16: Director General (DG)

The lowest level of M&E reporting occurs at the Deputy Director level and the highest at the Head of Department level. A trend within the provinces is evident with most M&E reporting in KZN taking place at HoD level while in Gauteng, reporting happens at level 13 in most instances. Unfortunately not much data could be obtained for Free State and the PSC were still in the process of accumulating data from the Western Cape, Limpopo and Northern Cape.

Table 4.2: Level of M&E Reporting in six provinces

	KZN	Eastern Cape	North West	Gauteng	Free State	Mpumalanga
Agriculture, Environmental Affairs & Rural Development	HoD	Manager	No designated M&E component	Deputy-director	N/A	Not currently but structure is under consideration
Arts and Culture	HoD	Part of Sport & Recreation	No designated M&E component	Director	N/A	Not currently but structure is under consideration
Community Safety and Liaison	HoD	Deputy Director	No designated M&E component	Director in HOD office	N/A	Deputy Director
Economic Development and Tourism	HoD	Senior Manager	Deputy Director	Director	N/A	Director
Education	Deputy Director	Chief Director	Deputy Director	Director	Director	Deputy Director
Health	HoD	N/A	Deputy Director	Director	Director	N/A
Human Settlement	HoD	Director	Director	N/A	N/A	Director
Local Government and Traditional Affairs	14	Director	Director	Director (Local Gvt & Housing)	N/A	Deputy Director
Office of the Premier	HoD	Chief Director	Director	Director	Director General	Director
Provincial Treasury	HoD	Senior Manager	No M&E at this stage	Finance: Deputy Director	N/A	Finance: no designated M&E Unit
Public Works	HoD	Senior Manager	Deputy Director	Part of Transport	N/A	Director
Social Development	HoD	Director	Deputy Director	Part of Health	N/A	N/A
Sports and Recreation	HoD	Deputy Director	N/A	Part of Arts & Culture	N/A	Part of Arts & Culture
Transport	HoD	Senior Manager	Part of Public Works	Director	N/A	Part of Public Works

Source: PSC, 2010b

Through the database, the PSC is also attempting to document the total number of M&E practitioners in government. At the time of the finalisation of this thesis, the most complete M&E practitioner data was obtained for the North West and Mpumalanga Provinces. In terms of the

departments reflected in Table 4.2, 42 of the 63 planned M&E positions have been filled in the North West Province. In Mpumalanga, half the M&E positions were filled (31), leaving 32 positions vacant. The main reasons for this discrepancy are, firstly, the pending finalisation of an M&E unit in the Department of Agriculture, Rural Development and Land Administration and, secondly, – although funded – a large number of M&E positions are yet to be filled.

4.4. Other accountability measures in the Public Sector

In order to regain the public's trust and confidence, government increasingly seeks closer engagement with citizens and communities. Citizen participation is an alternative accountability mechanism to programme evaluation in that it encourages transparency in the public sphere. The impetus behind the creation of public participation programmes are found in constitutionally inspired initiatives such as the Batho Pele principles and the "People's Contract". The People's Contract is a manifesto that aims to strengthen democracy and existed alongside GEAR in an effort to tackle unemployment and poverty (Edigheji, 2007:39). The Batho Pele[20] principles were introduced as a possible measure to bring about better service delivery and accountability. The Batho Pele Principles of Consultation urges for greater citizen participation in the earlier phases of policy development. On closer inspection these principles speak directly to the issue of citizenship and government's responsibility to the citizenry. The Batho Pele objectives are:

- To introduce a new approach to service delivery which puts the people at the centre of planning and delivering of services
- To improve the face of service delivery by fostering new attitudes such as increased commitment, personal sacrifice, dedication, and
- To improve the image of the public sector (Matshiqi, 2007).

In recent years a number of initiatives have been undertaken to promote the involvement of citizenry in the decision-making process that ultimately influences policy. The Public Service Commission as the custodian of good governance is particularly concerned with public participation initiatives in the public service. Subsequently, the Commission in 2008 undertook an assessment to determine the extent of public participation implementation within some provincial and national departments. At the time of this study, 25% of those that participated in the study had public participation guidelines/policies in place and 44% had functional public participation units in place (PSC, 2008c). Lack of such initiatives were attributed to budgetary constraints, lack of feedback from citizens, insufficient human resources and poor planning, to name a few.

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[20] Batho Pele means "People First"

The study assessed a number of initiatives since 1994 which include:

- Imbizo (Presidential and ministerial)
- Exco-meets the people
- Public hearings
- Ward committees
- Community development workers
- Citizen satisfaction surveys and forums

The above and a few additional initiatives will be further discussed below:

4.4.1. Presidential Imbizo[21]

In an attempt to bridge the gap between government and civil society, Mr. Mbeki revived the Presidential Participation Programme. Imbizo means gathering and encapsulates the essence of this programme. The political leadership (including president, deputy president and members of Cabinet, premiers and member of the Executive Council) would meet with citizens on home ground and discuss service delivery and their experience as to the quality of public services in general. This programme aims to eradicate the perception that government is a solitary actor in the political arena (Hartslief, n.d.; PSC, 2008c). The Ministerial Imbizo has the same purpose but as its title suggests, is conducted by ministers and covers matters of a specific portfolio (PSC, 2008c). This programmes has achieved a certain level of success but more can be done to ensure the public is kept up to date on how their concerns are being addressed (PSC, 2009a).

4.4.2. Presidential working groups

Mbeki established a number of presidential working groups (for example Presidential Youth Working Group, Presidential Black Business Working Group) to ensure constant engagement with these interest groups (Edigheji, 2007).

4.4.3. EXCO meets the people

Undertaken at provincial level by the Premier and Members of the Executive Council, this allows citizens to have a say on policy and public service delivery issues (PSC, 2008c).

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[21] Izimbizo is the plural of Imbizo – both terms feature in the literature

4.4.4. Public Hearings

Public hearings are organised by different government agencies to ensure engagement with broader public on certain policy and service delivery issues (PSC, 2008c).

4.4.5. Ward Committees

Ward committees, established in terms of the Municipal Structure Act (act 117 of 1998), consist of community members. Headed by a democratically elected ward councillor, this committee ensures that needs within a particular community are heard (PSC, 2008c).

4.4.6. Community Development Workers

The Community development workers (CDWs) ensure that the most disadvantaged communities access all government services as the poorest communities are often not aware of all the services available to them (PSC, 2009a). The CDWs are able to do this through collaboration with other community workers (PSC, 2008c) and are expected to:

- Assist in the smooth delivery of services by identifying and removing obstacles
- Strengthen the social contract between government and communities
- Link communities to government services
- Pass community concerns and problems onto relevant government structures
- Support and nurture the increased exchange of information
- Improve government-community networks (PSC, 2009a:15).

In 2009, approximately 3152 community workers were deployed to the different wards across all nine provinces (PSC, 2009a:15).

4.4.7.

4.4.8. Citizen Satisfaction Surveys

This methodology is frequently applied by departments to establish satisfaction with service delivery. The aims of these surveys are to:

- Generate feedback on the level of satisfaction with services provided by various agencies
- To catalyse citizens and civil society organisations to demand more accountability
- To facilitate assessment and find solutions to service delivery problems
- To encourage public service agencies to adopt and promote citizen friendly practices in order to enhance transparency (PSC, 2009a:15).

By the beginning of 2009 the following sectors were surveyed: social sector, criminal justice sector, economic and infrastructure sector, Department of Home Affairs, Trade and Industry, Provincial Transport Services and Provincial Agricultural Services (PSC, 2009a)

4.4.9. Citizen Forums

Citizen forums facilitate public participation and are just another mechanism to assess service delivery and the accompanying processes. This allows for areas where improvement is needed to emerge and be addressed timeously (PSC, 2008c). To ease implementation of these forums, the Public Service Commission has developed a toolkit containing a video and step by step guide on how to organise these forums. The citizen forums are programme-specific and allow for citizens to not only identify problems but to also seek solutions (PSC, 2009a).

4.4.10. Hotline: 17737

The Service Delivery Hotline was the brainchild of President Zuma and was launched in September 2009. The aim of the hotline is stated as follows by The Presidency:

> "The hotline is a service delivery improvement intervention that assists with planning, monitoring and evaluation of government performance in the delivery of services. The increased interaction with the public enables government to be better informed on where the problem areas are in service delivery" (The Presidency, 2004).

On the first day of operation the call centre received 7261 calls. Calls are dealt with in all 11 official languages and the call agents route the complaints to the relevant official in the presidency, national and provincial departments. Citizens are encouraged to use this hotline when all other attempts at assistance from government have failed.

4.5. Conclusion

The African National Congress was faced with the very difficult task of instilling an entirely new culture in the public sector. The particular focus over the subsequent three election terms was very different The first term under President Nelson Mandela's leadership was characterised by policy development and rationalisation of the structure of government, while the second term with President Thabo Mbeki marked the implementation of new programmes. The logical next step under the current reign of President Jacob Zuma is a critical assessment of what has taken place thus far: i.e. measuring service delivery at the level of outcomes and impact.

The above trajectories from the respective presidents are directly aligned to local and international influences. Locally, the onset of democracy has brought about greater responsibility towards the

citizen and an improved focus on good governance and effectiveness of the public sector overall. Internationally, the new public management movement and initiatives such as the Millennium Development Goals have been instrumental in pushing notions such as performance measurement and results based approaches to the fore.

The chapter shows how, for at least the first 10 years of democracy, most of the public sector did not engage extensively with programme evaluation. Monitoring of performance seems to have a longer history as evident through the work undertaken by the National Treasury. The Medium Term Expenditure Framework introduced in 1998 assisted Treasury in making decisions around resource allocation that was aligned with medium term strategic priorities. There are however some exceptions to the rule and departments such as the Department of Land Affairs should be singled out here. Not only did this Department have a fully fledged M&E Unit but the department was also undertaking Diagnostic Studies which is very similar to Programme Evaluation at quite an early stage.

The Government wide M&E framework was the first attempt by government to formalise and streamline monitoring and evaluation activities in government. Initially the Department of Public Service and Administration drove the development of this initiative but this responsibility was later transferred to The PCAS Unit within the Presidency. To assist the Presidency in developing and executing this framework a number of implementing agencies came on board. The Policy framework for the GWM&E initiative clearly sets out the mandate of each implementing agency: National Treasury takes the lead in all issues pertaining to performance information, whereas the Auditor General is tasked with expressing an opinion of reported information. COGTA is concerned with the impact of government programmes at provincial and local levels. StatsSA sets standards to which social, economic and demographic data needs to adhere to in order to build a repository of quality data. The DPSA looks after reporting requirements and databases and specifically sees to it that departments report on human resources and service delivery. The Public Service Commission is a watchdog organisation that monitors and evaluates the overall performance of the public service. Each of these governmental organisations plays a vital role in ensuring the GWM&E initiative filters down to all levels of government. In terms of programme evaluation specifically, The Public Service Commission conducts by far the most number of studies.

Although not compulsory, many government bodies have established M&E Units. M&E Reporting is also located at quite a high level within some of the provinces for instance KZN. The appointment of M&E staff is expanding at a rapid pace and the Presidency with its new Department of Performance Monitoring and Evaluation is looking to fill approximately 40 permanent positions.

Programme Evaluation is only one tool to assess service delivery. Over the past year various initiatives have been undertaken by government to gain greater citizen participation in the policy making process. The latest initiative commonly referred to as the "Zuma hotline" provides an alternative for those who have not been able to solve their complaint directly with the relevant authority. The call centre agents reroute the complaint to the officials and follow through until the complaint has been addressed.

Some of the most recent developments pertaining to M&E have been the establishment of the National Planning Commission and a designated Department of Monitoring and Evaluation in The Presidency. The Monitoring and Evaluation branch will coordinate and manage the implementation of government's performance monitoring and evaluation system and delivery improvement programmes. The National Planning Commission is chaired by the Minister Trevor Manual and is tasked to develop a long term vision and strategic plan for South Africa. The 25 Commissioners appointed to serve on this Committee represents a variety of sectors such as finance, industry, telecommunications, biotechnology, energy, education, food security and climate change (n.a., 2010). The Outcomes based approach and accompanying 12 outcomes marks a concerted move in government towards a stronger outcome focus. It remains to be seen whether the capacity exists at government level to conduct the evaluation studies needed to inform the delivery agreements.

It can be concluded that government is increasingly streamlining its activities in an effort to bring about better service delivery. As a high order activity in policy formulation, programme evaluation is gaining popularity. Supporting this has been the recent surge in formal and informal M&E training opportunities. The next chapter will consider the skill set of those first generation evaluators before moving on to the variety of training opportunities at the disposal of current existing and aspiring M&E practitioners.

CHAPTER 5: THE PROFESSIONALISATION OF PROGRAMME EVALUATION IN SOUTH AFRICA

5.1. Introduction

Locally, the discipline of Programme Evaluation faced many of the same growing pains encountered in the US. The chapter will be divided into two parts: The first generation evaluator and the second generation evaluators.

The first cohort of scholars and researchers involved in evaluation studies (which we will term the "first generation evaluators") had to rely on their own resources to establish themselves in the field. A lack of formal training in M&E meant that they had to rely on their own abilities and initiatives and had to adopt their methodologies through application and practice. Evaluation theory, design options and methodology were largely self-taught, with some scholars creating opportunities to engage with international experts in evaluation on their home turf. A handful of people initiated visits of these experts to South Africa in order to infuse some of their knowledge locally. These events and the different ways in which the first generation of evaluators gained their knowledge are described in this chapter based on in depth interviews conducted with selected first generation experts in the field.

The latter part of the chapter will reflect on the more recent history of the field and its level of professionalisation locally. Typical criteria associated with the status of professionalisation include the variety of training programmes offered, the number of conferences being facilitated, the establishment of an Evaluation Association, discussions around minimal standards for practice and performance as well as debates around ethics (Sechrest, 1980). Three of these criteria will be covered in the second part of this chapter. Firstly, the presence of an Evaluation Association, secondly the development of standards for evaluation practice and finally the offering of evaluation training courses and programmes. Each of these "criteria" of professionalisation will be discussed in some detail.

This section will show that in recent years the field of evaluation studies in the country grew because of the work and involvement of a variety of different role players. These include the South African Monitoring and Evaluation Association's activities such as conference events, seminar series and the advertisement of informal short evaluation courses via SAMEATalk. The African Evaluation Association (AFREA) conferences will be mentioned briefly because of its role in the establishment of SAMEA and their ongoing efforts in establishing solidarity amongst the continent's evaluators From the formal academic side, programme evaluation evolved from being a course or module within a bigger academic programme to a fully fledged loose standing

programme on its own. Another driver in building capacity on the African continent has been the African Development Bank and World Bank Operations Evaluation Departments. The two conferences hosted respectively by these two multilaterals in 1998 and 2000 was just another way in which awareness was raised around evaluation capacity development in Africa.

5.2. First Generation Evaluator Workforce

As very limited data exist on the first generation evaluator workforce we had to undertake quite extensive empirical research. The following methods were employed to gain a sense of where these evaluators came from, how their interest in programme evaluation came about and how the field gradually moved towards greater professionalisation:

- Interviews with recognised experts in the field and a subsequent examination of their Curriculum Vitae
- A visit to the Joint Education Trust's library and subsequent analysis of a random sample of reports
- Desktop analysis

Collectively these sources provide a good synopsis of how the field moved from a loose unordered configuration to a more organised, professional discipline.

5.2.1. The "first generation evaluators": 1988- 2000

This section aims to document the work and contributions of some of the prominent South African scholars in the evaluation field between 1988 and 2000. As mentioned above we classify these early year evaluators as the first generation evaluators. We will focus on a number of issues as far as the first generation evaluators are concerned:

- The origin and reasons for their interest in the field,
- Their educational and professional background as well as the positions they held before "evaluator" became a recognised job description
- The identification of the first cohort of South African evaluators and when the first programme evaluation studies were conducted
- The strategies employed to enhance their skills
- The application of qualitative and quantitative methodologies

5.2.2. Reasons that sparked an interest in programme evaluation

Some of the interviewees report that their interest in programme evaluation was triggered first and foremost by their exposure to social programmes and the need to better understand its

performance (or lack thereof). Linked closely to this, was the reigning political climate in 1994 and the realisation that the way in which programmes were implemented and assessed were bound to change. The first reason pertains therefore to the need to be more involved in applied research. The verbatim quotes from some of the interviews conducted provide a case in point:

> "The real motivation was a lot of frustration – you could see things that were not working. And I think also with me I was coming out of a period of everything was about commitment and part of struggle and that set the tone for everything you did…" (Eric Schollar in Mouton, 2010).
> "We did it to be very close to the point of implementation. I didn't want to do what I am doing now which is quite academic research. I always wanted to be doing applied work and that is how you get into M&E" (Everatt, 2010).

A second explanation presented by some of the interviewees is a chance encounter with the field during their postgraduate studies. During their educational training years, they were exposed to research methodology and some of the big names in the field. Respectively, Prof Ray Basson (2010) and Prof Johann Louw's (2010) comments reflect this:

> "I met David Hamilton who came down to the University where [name] Bennett was – that was two big names in the field at the time. And David Hamilton made a very different case for the way in which evaluation was done to what [name] Bennett was doing. He was doing traditional statistical methods and Hamilton was drawing from Social Anthropology. I suppose that was when the interest brew. Meeting the people and reading the literature and my postgraduate studies at Lancaster and then doing research..."
> "My initial training was in Psychology and I was one of two people who, during my Honors study, selected the Experimental Design course as one of the two options we had. We used the world renowned book by Campbell and Stanley on quasi-experimental designs as our prescribed textbook"[22]

A third reason emerges from the interview conducted with Johann Louw (2010). He states that his interest in programme evaluation was driven by the realisation in the late 1980s that he needed to pursue other areas. His focus on the History of Psychology at the time, was becoming a "*luxury*" and could not be his sole focus anymore. He then made the decision to invest in programme evaluation and at that stage already predicted that this is "*something for the future*". Subsequently he established contact with Prof Johann Mouton, then employed at the Human Resource Council, to enquire about the best way forward[23]. Johann Mouton recommended that he establish contact with Dr Mark Lipsey and that led to a one year trip to America which Louw describes as his "*turning point towards programme evaluation*".

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[22] Translated from Afrikaans

[23] Prof Johann Mouton and Prof Johann Louw have worked together on previous occasion when Prof Louw wrote a book on research methodology.

5.2.3. First wave evaluator's primary disciplines and educational background

Both the educational background and professional history of the people interviewed played a role in steering them in the direction of programme evaluation. In terms of an educational background many of the first generation evaluators come from a social science background and hold a Master's degree or Doctorate which implies exposure to research methodology. Some of the early year evaluators with their highest postgraduate degrees are shown below:

- Johann Louw: PhD in Psychology (University of Cape Town)
- Johann Mouton: PhD in Philosophy (University of Stellenbosch)
- Tony Morphet: Mphil in Education (Consultant)
- Jennifer Bisgard: Masters in Social Tensions from John Hopkins University (Khulisa Management Services)
- Raymond Basson: PhD in Curriculum Studies (University of the Witwatersrand)
- Eric Schollar: Masters in Sociology (Eric Schollar and Associates)

For some, the movement from a postgraduate degree in the social sciences, to programme evaluation happened quite naturally. Some excerpts from the interview demonstrate this:

"I did a Masters in Social Tensions from John Hopkins University and that degree looked at how to create non violent tension, so you looked at behavioural changes and what are the drivers of behaviour change. I took a year of in the middle of my Masters and went to West Africa and a lot of the work I was doing there was looking at how do you actually ensure behavioural change and how do you measure it. So I was very interested in that. My first professional job was with USAID, Pretoria – September 1988 and I was in charge of Basic Education" (Bisgard, 2010).

For others, the move towards programme evaluation happened gradually as their career evolved. Dr David Everatt, director of an M&E consultancy Strategy & Tactics is a good example: he holds a Bachelor of Arts and later achieved his Doctorate in Philosophy. His employment history dates back to Rhodes and UCT where he lectured in the Department of History and Economic History respectively. Shortly thereafter he joined CASE (Community Agency for Social Enquiry) as a senior researcher and moved up from there to the position of Director. Louw (2010) and Schollar (Mouton, 2010) on the other hand recognised programme evaluation as an alternative career path, when faced with a crossroad in terms of opportunities. This is evident from Louw (2010) and Schollar (Mouton, 2010)'s interview transcripts:

"No, everyone does a BA Sociology but that is completely useless so you have to get a teaching diploma to get a job. And that is how I got into Education – because I couldn't get work as a practicing Sociologist" (Mouton, 2010).

"And after 1989 I was thinking to myself – I was involved in the History of Psychology most of the time and this is becoming a luxury. I was not convinced that it could be justified as the only thing one is busy with" (Louw, 2010[24]).

Given the interdisciplinary nature of the field there are exceptions to the rule. Dr Zenda Ofir, formerly president of the African Evaluation Association, completed her undergraduate and postgraduate studies in the field of Chemistry. The start of her career as evaluator can be directly linked to her exposure to social programmes in her position as the Director of Research at the University of Pretoria between 1996 and 2000.

"I was first the manager of programs at the Foundation for Research Development which is now the NRF and later I was the director of Research at UP. And during this time because I was engaged with programmes I got very interested in how I could understand what my performance is and the performance of my programmes and how I was doing" (Ofir, 2010).

5.2.4. Identifying some first generation evaluators and evaluation studies

In order to expand the list of first generation evaluators, we had to be creative in our approach. Aside from the interviews conducted, the only resource available to assist in this regard was the Joint Education Trust's library which contains evaluation reports dating back 20 years; making it a very useful resource of South Africa's programme evaluation history in the education sector. Table 5.1 provides a breakdown of the spread of reports between 1988 and 2000 that is available in the Joint Education Trust's library.

Table 5.1: Breakdown of JET evaluation reports annually since 1988

Year	Count
1988	2
1989	1
1990	1
1991	4
1992	8
1993	25
1994	56
1995	57
1996	32

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[24] Translated from Afrikaans

Year	Count
1997	23
1998	31
1999	49
2000	60

Source: JET, 2010b

The first 10 years (1988-1998) of evaluation reports in the JET library were analysed in terms of authors in order to identify the main educational evaluators or entities at that stage. The next table contains the detail of those entities and individuals who were involved in three or more evaluation studies in the 1988 to 1998 time period:

Table 5.2: Names of early year evaluators and organisations involved in evaluations

Name of organisation/ individual	Number of Evaluation Reports						
	1	2	3	4	5	6	7
Eric Schollar & Associates	■	■	■	■	■	■	■
Khulisa Management Services	■	■	■	■	■	■	■
Mehl, Merlyn	■	■	■	■	■	■	
Le Roux, Neill	■	■	■	■	■		
Volmink, John	■	■	■	■	■		
Pro-Civitas Education Consultants	■	■	■	■	■		
Vinjevold, Penny	■	■	■	■			
De Jong, Terry	■	■	■	■			
Angelis, Desi	■	■	■	■			
Ashley, Michael	■	■	■	■			
Gordon, A	■	■	■				
Muller, Johann	■	■	■				
Shongwe, Siza	■	■	■				
Peacock, Michael	■	■	■				
Hardman, SG	■	■	■				
Mercorio, Getti	■	■	■				
McLean, Hugh	■	■	■				
Cachalia, Coco	■	■	■				
Atmore, Eric	■	■	■				
Bateson, David	■	■	■				
Futhane, Cindy	■	■	■				

Name of organisation/ individual	Number of Evaluation Reports						
	1	2	3	4	5	6	7
Social Surveys	■	■	■				
Welch, Tessa	■	■	■				

Source, JET, 2010b

We also attempted to establish when the first programme evaluation study was conducted in South Africa. Once again we relied heavily on the JET library as resource and augmented this list with the information shared during the key informant interviews. The earliest reference to a programme evaluation study was traced to Tony Morphet, an academic and independent consultant who was born in England and came to South Africa in 1963 to start his academic career at the then University of Natal.

It should be noted that some of the evaluation studies mentioned below will not necessarily be classified as programme evaluations today. Those involved in these early studies were heavily reliant on their own understanding of what programme evaluation entails. This very "loose" nature of what constituted *Programme Evaluation* in those early years was well put by Prof Tony Morphet during our interview (2010): "They called it an Evaluation. I didn't know what evaluation was. Evaluation was an elastic term". The project referred to here was the Science Education Project that was funded by the Urban Foundation. Tony Morphet was contracted to render a judgement as to when the Urban Foundation funding should cease as an expectation existed among project staff that the funding will continue indefinitely. In an effort to answer this question he studied "reams and reams of paper". Although he did render a judgement in the sense that a conclusion was reached, it is highly probable that this study does not constitute a programme evaluation in the true sense of the meaning. The following table shows a list of early year reports that was classified as programme evaluation studies:

Table 5.3: List of early year evaluation reports

Year	Evaluation Study Title	Evaluator/Author
1983	Innovative Policy Study in Education. Evaluation of the Science Education Project, Johannesburg: for The Urban Foundation and Anglo American (published Cape Town 1986)	Tony Morphet
1984	Evaluation of the CHUFT Saturday Science School: for The Urban Foundation, Cape Town	Tony Morphet
1985	Evaluative Study of the Alexandra Township Childminder Project, Johannesburg: for the Genesis Foundation	Tony Morphet
1987	Evaluative Study of the Primary Physical Science Programme for the Urban Foundation	Tony Morphet

Year	Evaluation Study Title	Evaluator/Author
	Evaluative Study of The Funda Centre, Soweto: for the Director	Tony Morphet
1988	Evaluative Study of the Community Arts Project, Cape Town: for Director and Trust	Tony Morphet
	Evaluative Study of the Academic Support Programme at UCT: for the Director	Tony Morphet
	Metal and Engineering Industries' Education and Training Board pilot project in Industrial Literacy 1987/8: a critical evaluation including suggestions about future directions	Edward French (HSRC) (Source: JET Library)
	Enthusiasm and commitment: Khululeka Community Education Development Centre	Michael Whisson (Rhodes University, Institute for Social and Economic Research) (Source: JET Library)
1989	Programmatic Evaluation of the Education Support and Training Project (ESAT): United States Agency for International Development: South African Mission.	Tony Morphet with Dr. R.H. Lee
	The MATHS Centre for Primary Teachers: its impact on Soweto teachers and their pupils	A Gordon ((HSRC) and the National Institute for Personnel Research (Source: JET Library)
1990	Evaluation of Uptrail Trust	HSRC with team consisting of Nico Claassen, David van der Vyver, Johann Mouton and Rudolph Botha
	Evaluation of the Teachers Learning and Resource Centre	University of Cape Town by Johann Muller (Source: JET Library)
	Standard three general science research 1987-1988: a final report of the Threshold project	CA MacDonald (HSRC) (Source: JET Library)
1991	Evaluation of the tuition project of the Interchurch Education Programme, Witwatersrand Council of Churches	Penny Vinjevold, Siza Shongwe, and Johan Muller (Source: JET Library)
	Final report on the evaluation of the READ Organisation: courses, material and monitoring	Michael Peacock (Source: JET Library)
	O reason not the need: a history of the ELTIC farm schools project. (1985-1991)	Lynette Taitz, Paul Musker and ELTIC farm schools project. (Source: JET Library)
	An Evaluation of the Adult Learning Project for Interfund, London	Tony Morphet and Mastin Prinsloo

5.2.5. First generation Evaluator skills

The first generation evaluators' programme evaluation knowledge was mainly self-taught. These individuals resorted to many different strategies to build their own M&E capacity. This included:

- Doing extensive reading on the field
- Attending international conferences

- Utilising learning aids from development organisations such as the World Bank
- Through contact with international experts, locally and abroad

Louw (2010) recalls the significant influence of Mark Lipsey and how his exposure to the giants in M&E while abroad has contributed to his professional development. Mark Lipsey provided him with an extensive list of literature to work through and set aside time to discuss these readings with him:

"Mark would tell me where to start reading and then we would talk about it and then I would read again and then we would talk. It went on like this: read and chat, read and chat. And he gave me contact details of a lot of people. Amongst others, I had meetings with people like Howard Freeman, in Chicago I met Emil Pozavec. And where Mark really put in a lot of effort was when he organised a month with Tom Cook. So for a month I sat in Cook's laboratory...And it was fantastic to spend time with Cook – it doesn't get better than that"[25].

A handful of local evaluators took the initiative in "importing" evaluation theorists to South Africa for the purpose of sharing their expertise at conferences, workshops, seminars and other events. These local pioneers and the person(s) they invited to South Africa are presented chronologically below:

Table 5.4: Visits of international M&E experts to South Africa

Year	Initiative Detail	Initiator
1988	A Research Utilisation Seminar was presented at the University of the Witwatersrand (WITS). Carol Weiss delivered a paper at this seminar (Hofmeyr, 2010)	Jane Hofmeyr and Johan Muller
1990	Mark Lipsey came to South Africa to facilitate a programme evaluation workshop.	Johann Mouton (then employed at The Human Sciences Research Council)
1993	Carol Weiss, was hosted in South Africa by the Education Foundation (Hofmeyr, 2010)	Jane Hofmeyr
	Partially funded by the Human Sciences Research Council David Fetterman was invited to deliver a keynote address at a 1993 two-day symposium on programme evaluation in Cape Town	Johann Louw and Johann Mouton
1994	Mark Lipsey return to South Africa for another series of seminars	Johann Louw and Johann Mouton
1996	Prof Peter Weingart from the University of Bielefeld was invited to deliver a conference paper at the JET conference titled *Quality and Validity in 1996*	Nick Taylor

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[25] Translated from Afrikaans

Year	Initiative Detail	Initiator
2002	Michael Quinn Patton visited South Africa for the first time on invitation	Zenda Ofir

The 1993 initiative by Johann Louw and Johann Mouton, where David Fetterman delivered the keynote address, had two purposes. Firstly, it marked the first attempt to establish an evaluation network in South Africa and secondly to bring together the first generation evaluators in order to establish the level of M&E at that stage (Louw, 2010). Approximately 25-30 people were invited to attend this event at the then Lady Hamilton Hotel in Oranjezicht in Cape Town. Following this event three individuals were appointed to drive the establishment of the evaluation network. Johann Louw chaired this small committee. He reports that the main reason why this network did not get off the ground was that for many of the attendees evaluation was still a "side issue" and not their main area of focus. The time was not ripe for programme evaluation yet. In the textbox below is an extract from David Fetterman's book where he referred to this visit to South Africa and the value of empowerment evaluation, in his mind, for South Africa.

Empowerment evaluation can also be liberating on a larger sociopolitical level. Johann Mouton, executive director of the Centre for Science Development at the Human Resource Council, and Johann Louw from the Department of Psychology at the University of Cape Town invited me to speak about empowerment evaluation and conduct workshops throughout South Africa after apartheid had ended but before the elections. ..Over a third of the participants in the workshops were black. This was a historic achievement by South African standards

He (Johann Louw) invited me to work with him, assisting in the evaluation of various programs administered in an impoverished black community near Cape Town

(Fetterman, Kaftarian & Wandersman,1996:17).

A decade passed before the idea of an Evaluation Network was pursued again. In 2002, Zenda Ofir organised an event which Michael Quinn Patton attended. This event is a landmark occasion in that it brought together the biggest group of people around M&E in South Africa to date. It should also be recognised that this event marked the first step to what later became the South African Monitoring and Evaluation Association.

Many more evaluation theorists and scholars have over the past 8 years been invited to present seminars and papers at events organised in South Africa. Johann Louw and Joha-Louw Potgieter at the Institute for Monitoring and Evaluation at UCT have invited scholars such as Mark Lipsey, Stewart Donaldson and Christina Christie. The two latter mentioned individuals were at that stage (and still are) affiliated with School of Behavioural and Organizational Science (SBOS) from Claremont Graduate University. According to Louw they presented workshops in Cape Town and Johannesburg. Unfortunately no further detail could be obtained from the SBOS website. The

establishment of SAMEA has also led to invitations to people like Michael Patton, Patricia Rogers, Dr Hazel Symonette, Jennifer Greene and more recently Howard White and Jim Rugh.

5.2.6. Application of Evaluation Paradigms in South Africa

Various resources confirm a strong qualitative tradition among the first generation evaluators: Meyer and Hofmeyr in their 1995 article in the Evaluation and Program Planning state that beside some Afrikaans-speaking universities and parastatals such as the Human Sciences Research Council and the Development Bank of South Africa (DBSA), very few quantitative (scientific) evaluations were conducted.

Another 1995 event, the Joint Education Trust Audit of teacher development evaluations, show the propensity of employing mainly qualitative methodologies. The data used to make inferences are typically self-reporting by teachers or principles; lack rigour in that very limited fieldwork is taking place and no or little triangulation of results are taking place (JET, 1996). It is this stand-off between quantitative/qualitative paradigms that has brought about a "deep epistemological reef" that ultimately paralyses the field (JET, 1996).

Another source confirms this statement. We randomly selected 10 evaluation reports from the JET library and reviewed their evaluation methodologies. The table below summarises the findings:

Table 5.5: A review of 10 JET evaluation reports based on their main data-collection methods

Title of Evaluation	Aim of Evaluation	Methods				
		Document Analysis	Interviews	Observations/ site visits	Teacher scores	Learner scores
Evaluation of In-service Education of Teacher programme: 1993	To assess Impact and determine areas of improvement for programme	X	X	X		
The Maths Centre for Primary Teachers: Its Impact on Soweto Teachers and their pupils(1)	To evaluate the influence of the programme on teachers' classroom management techniques and pupils conceptual understanding of Mathematics		X	X		X
Evaluation of the Smile Programme: 1995	To gather teachers' viewed on their effectiveness and to gather suggestions for improvement		X	X		
School Science Project 1993 (2)	Formative assessment of project and to develop an approach to INSET	X	X	X		
Education Support Project	Mid-term evaluation of the teacher development project	X	X			
An Investigation into the Influence of an INSET Programme on Teacher cognitions:1995 (3)	To research effects of INSET on teacher cognitions				X	
Science and Teachers: An evaluation of the Science Education Project: 1995 (4)	To judge the merit/worth of the Science Education Project	X	X	X		X
Independent Evaluation Report on Centre for Cognitive Development: 1992	To assess the Skills programme in terms of its philosophy, design, structure, quality, implementation and impact	X	X	X		
An Impact Evaluation of the 1995 and 1996 Junior Primary Open Learning Studies Modules:1998	To determine impact of the Junior Primary Open Learning (JPOL) Studies course on JPOL graduates (teachers)		X	X		

Title of Evaluation	Aim of Evaluation	Methods				
		Document Analysis	Interviews	Observations/ site visits	Teacher scores	Learner scores
An evaluation of Maths Centre for Primary Teachers: 1994 Instructional Materials (5)	To assess usefulness of the instructional materials in educational practice , teacher and curriculum development	X	X	X		X

Notes to Table 12

(1)The learner performance assessment was conducted on the hand of a qualitative assessment procedure instead of a standardised test. To quote from the document: "this was in line with the programme's aim of furnishing pupils with an understanding of mathematical procedures they used rather than to teach them to apply procedures mechanically"

 (2) This report includes a Project Framework with Indicators of Success and Sources of Evidence. This study drew heavily from data collected in previous evaluations pertaining to this project. The approach used in this study is described as naturalistic ie qualitative

(3) A quasi-experimental research design was followed

(4) A sample of students was assessed on their cognitive achievement. To quote from the report: "In order to get a picture of the actual impact of the SEP program on students, the Student survey of some background information. Attitudes and cognitive achievement was administered to a selected group of about 90 schools, approximately half of were SEPT schools and the other approximate half were not officially SEP schools but were matched to the participating SEP schools in terms of general school variables"

(5) A textual analysis of the mathematics educators' guides and student textbooks were undertaken. The pupil performance was assessed as follow: The evaluator wrote questions on the chalkboard, explained them and then asked children to write down their answers

The table's content reflects the predisposition towards the qualitative paradigm, with predominant application of qualitative data-collection methods (structured and semi-structured) and classroom observations. Three studies collected information on learner scores but no inferences can be made around the degree of rigour of the data collection and analysis process without a more in-depth investigation. It is also unclear as to whether a baseline was conducted. The only exception to this is the study titled: *An Investigation into the Influence of an INSET Programme on Teacher cognitions* where a quasi experimental design was employed as explained in some detail in this Master's thesis by David Ian Bell under the supervision of Dr George Euvrard.

Two reasons are presented for this support in favour of the qualitative paradigm. The first reason emerges from the interview conducted with Hofmeyr. She links the preference for the qualitative paradigm to a specific ideological stance: "because we were already aware of this huge problem that because apartheid was seen as social engineering and within a positivist framework anything to do with quantitative framework was regarded as bad. Statistics were used by government to lie.

You never got the rich texture of programmes etc. So in fact it was almost unacceptable to think of quantitative quasi-experimental evaluation" (Hofmeyr, 2010). The supporters of quantitative methodologies were viewed with suspicion by the qualitative crowd. The second reason for the lack of quantitative studies pertains also to a lack of skills to conduct these kinds of studies. At that stage very few evaluation courses existed to address this lack of skills.

When considering the disciplines of Psychology and Education some exceptions emerge: evaluators such as Eric Schollar, Johann Mouton and Johann Louw have been employing quasi-experimental design and mixed method approaches already during the early years of programme evaluation. For them, their original discipline of study played a crucial role. It is indeed during Louw's training in psychology that he was introduced to the quantitative paradigm, which instilled a preference towards this type of methodology. He does however recognise that Stellenbosch University was at the forefront of introducing this quantitative dimension in their course work. Psychology is one of the sub disciplines of the social sciences that have always been associated with a more quantitative stance because of the use of measurement instruments such as psychometric testing.

The field of Education has been a mixed bag. Some scholars believe that the qualitative tradition is a good fit to educational projects because of its highly contextual nature: The naturalistic paradigm is well loved and well used in South African evaluations. Most of our best evaluations in education are full of "thick description" and illuminate many layers of meaning, as the evaluations have attempted to produce the texture and complexity of South African reality (Meyer & Hofmeyr, 1995:360).

Other evaluators argue that rigorous testing is the only way to assess whether an educational project is achieving its goal, which is usually to improve learner performance. The earliest quantitative study in South Africa dates back to 1990 which reviewed the Uptrail Trust project. Another study by Dyrenfurth in 1995 of RSA Protec stands out for its quantitative methodology. Schollar (Mouton, 2010) refers to the latter mentioned study as a pivotal point in the Education sector: "It was basically the interest in what was happening in Education because Protec RSA designed it. It was a brilliant design because you could see changes in learners quite soon…we had 80% of the kids from the branch were passing".

The 1996 JET conference and 1995 Audit raised awareness around the need for more objective data to be collected. The mainly qualitative paradigm that dominated the educational sector for so long was challenged by this event. In comparison to the USA, it is interesting that South African evaluators first supported a qualitative paradigm and only in later years did quantitative studies gain its rightful place. This is direct contrast to the USA where the positivist tradition enjoyed

popularity for many years before the constructivists made their entry. In terms of similarities, South African evaluators, just as the Americans have been involved in quantitative/qualitative debates since the inception of the discipline and agreement has been reached that both paradigms carry merit. The ultimate decision around which methodologies to employ should depend on the project under review and not the preference of the evaluator.

5.3. Second Generation Evaluator Workforce

The field of programme evaluation experienced its greatest growth towards the end of the previous century. The past decade marks a period where the field has moved from a loose configuration to a more organised professional structure. This is evident in, firstly, the rise of numerous M&E consultancies, secondly the establishment of the South African Monitoring and Evaluation Association, thirdly the development of M&E standards and fourthly through the multiple initiatives that were launched to address the lack of M&E skills. It is not surprising that the advancement of indigenous M&E capacity came from multiple directions – some more formalised than others.

5.3.1. The rise of the M&E Consultancy

The rise of the M&E Consultancy followed as the field grew and the demand for evaluators increased. It is quite difficult to trace the origin of the first M&E consultancies as for many years such organisations presented themselves as strategic planning, management or research consultancies. Khulisa Management Services for example was established in 1993 and very soon got involved in programme evaluation. It was not the intent of the founder to be an M&E firm:

> "At the outset we didn't intend to be the M&E firm. We were kind of general management consultants and that is why it is called Khulisa Management Services" (Bisgard, 2010).

Strategy & Tactics (headed by David Everatt) in 1998 from the outset identified and promulgated their M&E focus: And Strategy & Tactics was set up to put Research right up to the point of implementation and designing M&E systems and doing evaluation and being part of programme management and implementation (Everatt,2010). It was only in later years that other consultancies started advertising monitoring and evaluation products and services:

> "If you looked at how companies advertised themselves in 2000 compared to 2004/2005 there is a giant swing. I am thinking of companies like Khulisa, InsideOut Research – they were completely research and they changed later to evaluation" (Ofir, 2010).

To verify the information obtained from the interviews conducted we randomly selected 19[26] M&E Consultancies listed on the SAMEA Membership directory (SAMEA, 2010a). We subsequently did a search on the Internet with the aim of tracking their establishment date. Of these 19 consultancies selected, eight do not have a website. Of the remaining 11, five consultancies do not supply their establishment date on the website. The earliest establishment date of the remaining eight consultancies is Umhlaba Development Services founded in 1998, followed by the Evaluation Research Agency and InsideOut in 2000.

As can be expected the number of individual evaluators and academics involved in programme evaluation expanded as well. Exact numbers in this regard are however not available. An approximation of the evaluator task force at any given time would require a study that covered multiple sectors as evaluators tend to concentrate their efforts in certain sectors. Two sources can be referred to for the purpose of this study: one historic and one more recent. The Joint Education Trust 1995 Audit of Evaluations in the field of Education provides a restricted, yet useful insight into the active evaluators at that stage. The second source is the SAMEA website. Although the membership directory by no means reflects the current evaluation work force it does serve as a valuable source of information.

SAMEA Board

The SAMEA board members are rotated every three years. At the time of writing this (May 2010), the current board members and their portfolios are:

- Prof Fanie Cloete: Chairperson and Academic Education
- Ms Candice Morkel: Deputy Chairperson and Public Sector liaison
- Mr Kola Jolaulu: Treasurer
- Ms Anzél Schönfeldt: Secretariat and Website
- Prof Ray Basson: Research and Evaluation Journal
- Dr Donna Podems: General capacity building and training and International Liaison
- Mr David Molapo: Policy development and General Business Sector Liaison
- Ms Christel Jacob: NPO Sector Liaison
- Dr Zodwa Ngobese: Corporate Health sector and Liaison
- Dr Sefiso Khumalo: Regions, chapters and TIGs
- Mary Tsigoida: Fundraising coordination and Treasury support

5.3.2. The Establishment of the South African Monitoring and Evaluation Association

The first attempt to form an Evaluation Association followed a 1993 symposium that was organised by Johann Mouton from the Human Resource Council and Johann Louw at UCT. David Fetterman – well known for his evaluation theory on empowerment evaluation –

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[26] Consultancies reviewed: Africa Strategic Consulting, African Information Institute (Pty)Ltd, ASG Consulting Solutions (Pty) Ltd, Better Results M & E Consulting, CJ Development Research Consulting, ConsultADAM & Associates, Dr. More Chakane Institute of Evaluation, Evaluation Research Agency, Feedback Research and Analytics, Goals and Performance Analysts, Inkwazi Consulting, InnoTact Consulting, Impact Consulting, InsideOut, Southern Hemisphere, Linkages Development Agency, Mataifa Consulting, Tshikululu Social Investments, Umhlaba Development Services

delivered a keynote address at this symposium. Although an Evaluation Task Group was formed after this event the proposed goals and activities never materialised. The perception that The Association for the study of Educational Evaluation in Southern Africa (now called Association for the Study of Evaluation and Assessment in Southern Africa (ASEASA) might contribute to the advancement of programme evaluation in South Africa also didn't materialise (Potter & Kruger, 2001). ASEASA is mainly concerned with educational assessment and improvement of assessment through evaluation (ASEASA, n.d.).

Another 10 years passed before the establishment of a South African Evaluation Association was pursued again. Under the initiative of Zenda Ofir, Michael Quinn Patton visited South Africa in April 2002. The attendance and wide spread country representation of this event exceeded the expectations of the organisers:

> "I worked out if we got about 70 people attending his courses then we would sort of make it. And we got 350 people and we were astounded – you know people were calling from places as far as Ghana and Burkina Faso when they heard Michael Patton was coming to South Africa" (Ofir, 2010).

The result of that event was the establishment of South African Evaluation Network (SAENet), which was an informal network.

The drive to formalise this network followed the 2004 AFREA conference that was held in Cape Town. A meeting was convened with 70 South Africans to discuss the formalisation of the South African Evaluation Network and a task team was assembled to take this forward. In 2005 the South African Evaluation Association was launched (SAMEA, 2010b). The objectives of SAMEA are the following:

- To provide a platform for interaction and information sharing among all those interested in M&E.
- To promote high quality intellectual, ethical and professional standards in M&E.
- To increase the use of M&E theory and practice.
- To promote the development and adoption of M&E approaches and methods suitable to a South African and development context.
- To promote post-graduate education and continuing professional development in the field of M&E.
- To increase the profile of South African M&E at national and international level.
- To help build understanding of international developments and trends in M&E.
- To be a resource on M&E in South Africa (SAMEA, 2008).

5.3.3. Developing of evaluation standards

The first meeting around the SAMEA Evaluation Standards and ethics was held on the 3rd of August 2006. The aim of the meeting was to start a discussion around standards and ethical guidelines for African evaluators. Dr Hazel Symonette from the University of Wisconsin shared international experience of ethics and standards and Mr Bongani Magongo (a SAMEA board member at the time) led the discussion on the African evaluation guidelines. Mr Bongani has also been involved in discussion around the AFREA's evaluation guidelines where the appropriateness of the current African Evaluation Guidelines were reconsidered taking into account obstacles experienced by African evaluators (SAMEA, 2008). SAMEA does not have their own set of evaluation standards but instead support the African Evaluation Standards.

5.3.4. Building Indigenous M&E capacity

The advent of an evaluation culture in South Africa over the past twenty years or so had led to new career opportunities for many. Once the field of evaluation began to expand and grow in South Africa, multiple initiatives were launched to address the lack of M&E skills. It is not surprising that the advancement of local M&E capacity came from multiple directions – some more formalised than others. The growth and expansion of the development of evaluators will be presented chronologically as far as possible, commencing with the formal training opportunities.

5.3.5. Formal academic training courses

Very few formal training opportunities existed in the early 1990s; in fact only four evaluation courses could be tracked:

- Department of Education, University of Witwatersrand (Ray Basson)
- Department of Organisational Psychology at University of Western Cape (Rumilla Naran)
- Department of Organisational Psychology at University of Cape Town (Johann Louw)
- Department of Sociology at University of Stellenbosch [first offered in 1996] (Johann Mouton)

Further information on three of the four courses was obtained through interviews with the person indicated in brackets (Louw, 1998). A course not mentioned on this list – the Evaluation course within the Department of Psychology at WITS that was headed by Charles Potter has also been added here:

5.3.5.1. Department of Education, WITS

From the interview with Ray Basson it is clear that the first evaluation course emerged as part of the new School of Education's curriculum programme at Master Level. Evaluation was already introduced in the 1980s as part of these programmes. In those years only about 2-3 students attended this course. Later the evaluation component was trickled down to Honours level, making up the second "axis" of the programme:

> "That happened in the mid 1990s. We put everything in place and we trickled the evaluation down into the Honours programme. It was a very small component…it was very nice because it worked through a frame which helps to conceptualise the Honours specialisation programme where we had two axis. One was design curriculum, development and implementation and evaluation the other axis".

The content of the first master's level evaluation course came from a variety of sources as seen from the following extensive extract from the interview with Ray Basson (2010):

> "The original course was based on David Hamilton's book which was Titled "Program Evaluation" (1996). And then we looked around for different approaches and seminal papers .. So we used to look around for evaluation examples of evaluation work that has been done and which have been published or where we could get our hands on reports. So we got some out of the University of Lancaster. We looked at several local ones that was done by local people. ...We used to try and bring in people who was working into the field and to get a dialogue going between the students and that kind of literature. And then as my interest grew I used to wind that out to people in the American Evaluation Association – people like David Fetterman and Abraham Wonderman, Michael Patton and Andy Rowe. So the course changed and widened through multiple kinds of approach and … so the course became a course that was less a course in methods than a course in evaluation frameworks. And then we looked at some theory driven work which was Carol Weiss and World Bank for a conference where evaluation was being done using those kinds of things .. So it became a study of evaluation frameworks, not methods. And then we tried to link methods to the research design course and off course there was a whole range of people doing a variety of things there. And that is how it grew over the years. So it became quite an in-depth look at evaluation beyond a lot of work that was being done – my colleagues taught evaluation but it was another form of their theoretical enterprises."

The current course outline is structured according to seminars which students need to prepare for in advance by reading a predetermined list of literature provided. The seminars cover the following:

- Seminar 1 and 2: *A Context for Evaluation in Africa, Definitions, Overview of Course*
- Seminar 3 and 4: *Developments in Evaluation – The new millennium through the seventies*
- Seminar 5 and 6: *Utilization-Focused Evaluation*
- Seminar 7 and 8: *Connoisseurship Evaluation*

- Seminar 9 and 10: *Ethnographic Evaluation*
- Seminar 11 and 12: *Illuminative Evaluation*
- Seminar 13 and 14: *Theory based evaluation* (WITS, 2008).

On average, 10-12 students go through the Master's course annually (Basson, 2010). Of this student complement, 2-3 students typically come from outside of South Africa. Current collaboration and agreements with Malawi, America, Europe, Zambia, and Mozambique have opened the way for students from these countries. Other African countries whose students have attended due to established relationships with organisations or government included Botswana, Tanzania, Lesotho, Swaziland, Botswana and to a lesser extent Mozambique. These students were expected to gain skills which they could apply in their country's Ministries, Colleges and Schools. Due to the fact that Honours or Master's degrees are linked, students are able to attain two degrees for the same amount of money.

5.3.5.2 Continuing Education Unit and Department of Psychology, WITS

The introduction of evaluation in the Continuing Education Unit came about when Charles Potter joined the institution in 1994. He was instrumental in introducing programme evaluation in existing projects that was running and also introduced an evaluation unit that worked extensively with NPOs and government organisations outside (Potter, 2010). The course is described as an "*in service training course*" (Hofmeyr, 2010) whereby existing evaluators got access to evaluation theory and were exposed to the quantitative paradigm. The content of that course came primarily from the exposure Jane Hofmeyr (2010) had during her visit to the US in 1986 to both qualitative and quantitative methodologists:

"I went over in 1985 to 1986 just as the total onslaught was declared and my husband then had a sabbatical year and we went to visit North Western University and while I was there – I was already involved with Mobil Foundation and the Urban Foundation had another project so I thought programme evaluation was something I needed to find out more about. So I did two PhD courses – one at North Western with Bob Boruch and he wrote one of the books with Cook on quantitative. He is very much a quantitative evaluator and then I went to the University of Chicago and did a qualitative evaluation course with a woman called Susan Studolzky who is very good. So by the end of that year I picked up two totally ad hoc courses but very interesting".

In addition, Potter has been teaching a postgraduate evaluation course in the Department of Psychology at WITS since 1994. Basson (2010) from the Department of Education describes this course as a content free course where students are tasked to do many readings and report back and share these with the rest of the class:

> "The students can get a spread across different approaches and what they then need to do is their area of specialisation and the readings pertaining to their area of specialisation and so it goes that way around and then they share those across".

The profile of these students is viewed to be different from the students in the Education department who are described as being a "more professional kind of student" (Basson, 2010) as opposed to Psychology department students who are "more academic" and where the approach followed by Potter would work well.

In terms of student numbers, approximately 16 students passed through annually – except for when the course was taught in Community Psychology as well. That year 35 students were enrolled. In total, approximately 200 students have completed this course since it started in 1994[27].

5.3.5.3 Department of Psychology and Organisational Psychology at UCT and UWC

In 1994 Johann Louw introduced an elective module titled *An Introduction to Programme evaluation* to the UCT Honours and Master's programme for Psychology and Organisational Psychology. At Honours level, the prescribed textbook for the Department of Psychology course was the 1992 published *Program evaluation: Methods and case studies* by Posavac and Carey. The same textbook was used for the Organisational Psychology module except for two years when Louw prescribed Chen's book titled *Practical Program Evaluation*. At Master's level, the well known textbook by Lipsey, Rossi and Freeman, titled *Evaluation: A systematic Approach,* have been the prescribed book from the start (Louw, 2010).

The number of students varied between 6 and 8 a year. The student complement did not only comprise research psychology students but outside individuals as well. These individuals often enrolled for non degree purposes for instances people from the Medical Research Council.

Later, he also facilitated the same course at the University of Western Cape within the Organisational Psychology department. Student numbers were in the region of 10-12 as this was

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[27] This is calculated by multiplying 16 x 10 years (1994 – 2009) and adding the 35 students mentioned in the one year

also an elective module. Louw only presented this course for a small number of years and it is not clear whether this course is still continuing at UWC.

5.3.5.4. Department of Sociology at Stellenbosch University

In 1996, the Department of Sociology launched three post-graduate programmes: A post-Graduate Diploma in Social Science Methods, the Masters (M.Phil) and Doctoral Programme (D.Phil.) in Social Sciences Methods under the initiative of Johann Mouton. The course syllabus in 1996 for these three qualifications consisted of the following options:

- Understanding social research (Compulsory/110/211)
- Introductory social statistics (111)
- Introductory survey methodology (112)
- Principles of research design in social research (212)
- Review of programme evaluation (213)
- Review of qualitative research methods (214)
- Interviewing methods (215)
- Computerised qualitative data analysis (216)
- Social research data management and data analysis (217)
- Research management (311)
- Advanced survey methodology (312)
- Experimental and quasi-experimental methods for programme and policy evaluation (313)
- Experimental studies (314)
- Historical studies (315)
- Themes in the sociology of science (316)
- A historical overview of twentieth century philosophy of social science (317)
- Knowledge and public policy (318)
- Themes in the philosophy of social research (319)
- A historical overview of modern social theory (320)

> **Reading list for Programme Evaluation Course:**
>
> - Weiss, Carol H.1991.Evaluation research in the political context. In M.W. McLaughlin and D.C. Phillips (Eds), *Evaluation and education: A quarter century.Ninetieth Yearbook of the National Society for the Study of Education*, Part II. Chicago: University of Chicago Press.
> - Stecher, B.M. and Davis, W.A.1987.*How to focus an evaluation*. Newbury Park: Sage, Chapter 2.
> - Lipsey, Mark W. 1993. Theory as method: Small theories of treatments. *New Directions for Program Evaluation*, 57, 5-38
> - Lincoln, Y.S. and Guba, E.G.1986. But is it rigorous? Trustworthiness and authenticity in naturalistic evaluation. *New Directions for Program Evaluation*, 30, 73-84.
> - *Guiding Principles for Evaluators*, American Evaluation Association.
> - Campbell, D.T.1969. Reforms as experiments. *American Psychologist*, 24, 409-429.
> - Guba, Egon G.1987.Naturalistic evaluation.*New Directions for Program Evaluation*, 34, 23-43.

- The politics and ethics of social research (321)

- Knowledge, politics and intellectuals (322) (Department of Sociology, US, 1996a).

Each of the three courses had its own set of admission and course requirements. Course 213 (Review/ Introduction of programme evaluation) was facilitated by Johann Louw. Some of the course readings are contained in the enclosed text box. As can be seen it covers many of the well-known evaluation theorists works as set out in the section above. The schedule of topics in 1996 of Course 213 included the following:

- Programme evaluation: An introduction

- Planning evaluations

- Criteria and standards

- Measurement

- Ethics of evaluation

- The assessment of need

- Monitoring the operation of programmes

- Non-experimental approaches to outcome evaluation

- Quasi-experimental designs

- Controlled experimental designs

- Qualitative evaluation

- Integrating qualitative and quantitative evaluation?

- Reporting evaluations and encouraging utilisation (Department of Sociology, US, 1996b).

In 1997, Course 213 was once again facilitated by Johann Louw. The higher level course (313) facilitated by Mark Lipsey changed title: *Advanced methods for programme and policy evaluation*. The description of this course is set out as follow:

This module covers the design of quantitative research investigating the effects of intervention and treatment programmes in human services including such areas education, mental health, health, crime and delinquency, substance abuse, poverty, employment and the like
(Department of Sociology, US, 1997)

In the early 2000s Johann Mouton and Lauren Wildschut took over the facilitation of both programme evaluation courses. Course 313's new title became "Programme Evaluation Design". The course content of Module 213 changed quite significantly to a more theory driven approach as can be seen below:

- The history of programme evaluation

- What is programme evaluation?

- The purposes of evaluation

- Evaluation research as a distinct research design type
- The logic of evaluation (Fournier)
- Units of evaluation: A focus on interventions
- Types of evaluation (different typologies)
- Principles of implementation evaluation
- The logic of outcome evaluation
- Paradigms in evaluation research
- Clarificatory evaluation
- Examining a theory driven evaluation approach: GET AHEAD case study
- Programme theory
- Using logic models for clarificatory evaluation (Department of Sociology, US, n.d.).

Course 313 focused increasingly on different design options. The course content covers the design of outcome evaluations, Instrumentation design, triangulation and fieldwork in evaluation studies, report writing and analysis as different methodologies such as observation and interviewing methods (Department of Sociology, US, 2002).

The dynamic nature of the MPhil and DPhil qualification is evident in the variety of changes enacted in the courses over time. Beside a solid base of university staff, many experts in the field (locally and internationally) have contributed to the facilitation of the respective courses. Aside from Mark Lipsey, these included Peter Weingart (Institute for Science and Technology Research at the University of Bielefeld), Martin Bulmer (Foundation Fund Professor of Sociology at the University of Surrey, UK), Raymond Lee (Department of Social Policy and Social Science, Royal Holloway University of London) and Mike Procter (Department of Sociology at the University of Surrey).

Table 5.6 and Table 5.7 reflect further information about the students in the MPhil course. Table 5.6 compares the enrolments and graduates from 2000 up to 2007. Table 5.7 provides a gender breakdown of graduates showing a far greater female student complement. In terms of racial profile, African students are in the majority followed by White and Coloured students.

Table 5.6: Enrolments and Graduates of MPhil Social Science Methods course

Year	Enrolments	Graduates
2000	15	6
2001	7	6
2002	7	5
2003	3	5
2004	8	7
2005	4	2
2006	3	2
2007	3	3
TOTAL	**50**	**36**

Source: Department of Sociology, US, 2007

Table 5.7: Demographic profile of graduated students

	African	Coloured	White	Total
Female	9	5	10	24
Male	8	1	3	12
TOTAL	**17**	**6**	**13**	**36**

Source: Department of Sociology, US, 2007

5.3.5.5. Department of Sociology, Stellenbosch: Postgraduate Diploma in Monitoring and Evaluation Methods

In 2006, under the auspices of Johann Mouton a dedicated Postgraduate Diploma in Monitoring and Evaluation Methods was developed and introduced for the first time to address the growing demand for such a specialised programme. The target group of possible benefactors of such a course was defined as anyone tasked with the monitoring, evaluation and implementation of public programmes and interventions (CREST, 2010a).

The programme is made up of six modules plus a research report. The six modules are:

- Module 1: General principles and paradigms of evaluation studies
- Module 2: Clarificatory evaluation
- Module 3: Process evaluation and programme monitoring
- Module 4: Data collection methods for evaluation research

- Module 5: Statistical and qualitative methods for evaluation studies
- Module 6: Impact assessment designs (CREST, 2010a).

Two intensive compulsory one week schools in April and September allow for direct contact time with students. In addition, an orientation contact session in January was introduced in 2010. Throughout the year contact is maintained through WEBCT, the e-learning platform of Stellenbosch University. Students are expected to hand in assignments for each module as well as a research report at the end of the year. This report should cover an evaluation of the student's programme of choice.

Currently 53 students are enrolled for the postgraduate Diploma – the biggest group since the start of this diploma. The interest in this qualification has been phenomenal, resulting in many applications not being successful. From 2006 to 2010, of the 549 students who applied, 206 students have enrolled for the Diploma. Table 5.8 contains the detail:

Table 5.8: Profile of students in the Postgraduate Diploma in Monitoring and Evaluation methods at Stellenbosch University

Year	Nr of Applications	Nr of applicants from outside SA	Enrolments	Graduates
2006	80	24	35	19
2007	65	38	28	26
2008	75	21	42	20
2009	161	52	48	32
2010	168	59	53	
Total	**549**	**194**	**206**	**97**

Source: CREST, 2010b

A few further statistics obtained from the Centre for Research on Evaluation, Science and Technology (CREST) around the students attending the diploma course are presented below:

Gender breakdown
The figure below shows a more or less even gender split in the first three years. In 2009, ten more males were accepted for the course than females and in 2010 this split was swapped around in favour of female students

Figure 5.1: Gender breakdown of participants since 2006
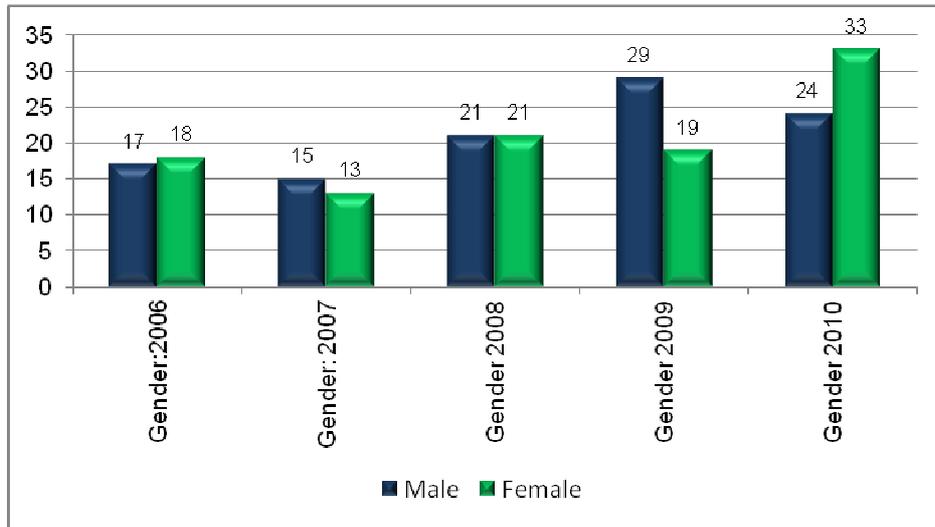
Source: CREST, 2010b

Nationality breakdown

The table below shows the wide spread representation of participants enrolled in the course. In 2006, the 35 participants came from eight countries, whereas in 2010 the 57 participants represented 11 countries. The course not only draws student from African countries but also Europe and America.

Table 5.9: Nationality breakdown of participants

2006		2007		2008		2009		2010	
Nationality	Count	Nationality	Count	Nationality	Count	Nationality	Count	Nationality	Count
Other (including Netherlands, Irish, UK, Trinidad & Tobago)	5	Africa (Kenya, Mozambique, Swaziland, Tanzania & Zimbabwe)	7	Africa (including Lesotho, Liberia, Swaziland, Tanzania & Zimbabwe	6	Africa (including Cote D'Ivoire, Ethiopia, Kenya, Lesotho & Namibia)	6	Africa (Lesotho, Kenya, Nigeria & Rwanda)	4
South African	22	Ghana	2	Ghana	3	Ghana	3	Ghana	2
Tanzania	3	Nigeria	6	Namibia	2	Nigeria	2	Namibia	3
Uganda	5	South Africa	9	Nigeria	4	South Africa	24	Netherlands	1
		Uganda	4	South Africa	27	Tanzania	3	South Africa	33
						Uganda	2	Tanzania	3
						Zimbabwe	8	USA	3
								Zimbabwe	8
Total	**35**	**Total**	**28**	**Total**	**42**	**Total**	**48**	**Total**	**57**

Source: CREST, 2010b

5.3.5.6. Institute for Monitoring and Evaluation UCT: Masters in Monitoring and Programme Evaluation

The Institute for Monitoring and Evaluation located within the School of Management Studies offers two postgraduate degrees in Programme Evaluation: A Masters Degree in Monitoring and Programme Evaluation and a PhD in Programme Evaluation. The Masters consists of coursework and a dissertation. The coursework covers the following:

- Principles of Programme Evaluation
- Research Design for Impact Evaluation
- Monitoring
- Statistics for Evaluation
- Programme Theories

The course requires students to attend two classes per week and extend over a year. Prospective students are required to hold an Honours degree and have a basic knowledge of descriptive, quasi-experimental and experimental designs and statistics (School of Management Studies, UCT,

2010). This programme commenced in 2007 and approximately 10 students are enrolled annually (Louw, 2010). The PhD in programme evaluation is by dissertation only, ie there is no coursework involved.

5.3.5.7. Raymond Mhlaba Institute at Nelson Mandela University: Diploma in M&E

From 2011 The Raymond Mhlaba Institute of Public Administration and Leadership from the Nelson Mandela University in Port Elizabeth will also be presenting a Diploma in Monitoring and Evaluation. The development of this Diploma will be done in conjunction with The Academy of Coaching and Training[28].

5.3.6. Informal Training initiatives

The most growth has been witnessed in the area of informal training opportunities. The M&E workforce can now choose from a variety of initiatives which includes:

- Activities undertaken by SAMEA, including their conferences
- The platform offered by SAMEA through which other institutions/ consultancies can advertise their training and initiatives
- PALAMA
- International conferences

5.3.6.1. Activities undertaken by SAMEA

Some of the activities SAMEA engage in to build indigenous expertise include:
- Hosting of events such as SAMEA conferences and seminar series (SAMEA, 2010b)
- Open Learning Opportunities through SAMEATalk, which allows for everyone with an interest in M&E to engage in discussion and debates and for evaluators and consultancies to advertise their professional development programmes
- Making available M&E resources on their website. This includes a SAMEA newsletter that was launched in February 2009 and "Fast Facts for evaluation role players" (SAMEA, 2008)
- Establishment of regional chapters whereby members of SAMEA living in that specific geographic area can meet to discuss topical M&E matters and concerns (SAMEA, 2008).

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[28] E-mail distributed via SAMEA Talk, 5 May 2010

- Updating a repository of member evaluators that can be accessed for a variety of purposes. The membership fee is currently R200 (R80 for student membership) (SAMEA, 2010b)
- Opportunity to participate in topical discussions

Beside the more structured activities, SAMEA portfolio board members engage in a number of other activities to fulfil their mandate. This includes a presence at training events, round table discussions with government stakeholders such as PSC and Statistics SA and assisting with large scale evaluation projects (SAMEA, 2008). It is also through these events that the Association have recruited members and ensured visibility of the Association.

The two SAMEA conferences held thus far are discussed in more detail below:

2007 SAMEA Conference: Evaluation in Action

The inaugural SAMEA conference took place in 2007 and drew more than 400 people from across South Africa and the continent. The event was sponsored by GTZ, DfiD and the Public Service Commission (SAMEA, 2007). The conference kicked off with 18 pre conference training workshops. Bearing the topic of "Evaluation in Action" in mind the conference focused on utilisation of evaluation practices and findings in programme development, management and implementation, knowledge management within organisations and programmes; the challenges of building evaluation systems for tiered, multi-sectoral and multi-partnered programmes and building evaluation capacity (SAMEA, 2007). Keynotes were delivered by the following individuals:

- Prof Stan Sangweni (Chairperson of PSC): *Evaluation as a Means for Transforming Society: Making Evaluation Work.*
- Dr Sully Gariba (President of African Evaluation Association): *Towards a Decade of African Evaluation.*
- Dr Zenda Ofir (Board member of AEA): *Shaping M&E in the Developing World: Our Response, Our Responsibility, Our Challenge.*
- Dr Mark Orkin (Director-General of SAMDI): *The SAMDI Capacity Building Strategy*
- Dr Patricia Rogers (Director of the Institute for Research, Consulting and Learning in Evaluation): *Strategies for Improving the Quality of M&E* (SAMEA, 2007).

2009 SAMEA Conference: eVALUation

The second SAMEA Conference was held in August 2009 at Emperors Palace. The 13 pre conference workshops were attended by 264 participants and spanned over three days. The conference itself was attended by 266 delegates from countries such as Botswana, Uganda, Zimbabwe, Tanzania, Canada, Sweden and The Philippines. The majority of participants came

from NPOs and private companies (44%), followed by 42% attendance from government bodies and 9% academic staff (PSC, 2009b).

The keynote address was delivered by Prof Jennifer Greene, well known for her work on mixed methodology. The other local and international experts that contributed to this event were the following:

- Dr Florence Etta, the newly elected Chairperson of the African Evaluation Association
- Dr Ralph Mgijima, Chairperson of the Public Service Commission, delivered a keynote address
- Prof Johann Mouton, Director of the Centre for Research on Evaluation, Science and Technology presented a keynote on Impact evaluations
- Dr Howard White, Executive Director of the International Initiative for Impact Evaluation (IIIE) presented workshops on Theory-based Impact Evaluation
- Prof Jim Rugh, presented two interactive workshops on how to conduct M&E under real world conditions (SAMEA, 2010b)

The second conference was sponsored by the Public Service Commission, PALAMA, GTZ, SAS and the Zenex Foundation.

The relationship between the Public Service Commission and SAMEA is quite noteworthy as often time associations such as these tend to exist separate from government. An interview conducted with Dr William Trochim show that the American Evaluation Association did not engage with government around pertinent issues until quite recently (see enclosed text box below for excerpt from Dr William Trochim's interview). It is particularly the involvement of key people such as Mr Indran Naidoo from the Public Service Commission that has brought about this engagement of government officials in SAMEA. Naidoo served on the first SAMEA Board in the capacity of International and Government Liaison. It is within this portfolio that an awareness around SAMEA has been elevated through the distribution of SAMEA information and facilitating presentations to high profile individuals responsible for M&E in government (SAMEA, 2008). The Public Service Commission as an independent watchdog agency has been a strong supporter of and collaborator with SAMEA as is evident in the financial support provided. It is for this reason that the majority of participants attending these workshops are public sector officials that are exposed to M&E in some form. A memorandum of understanding has subsequently been signed with the Office of the Public Service Commission (OPSC). The memorandum of understanding specifies the areas of cooperation:

- Arrangement, organisation and co-hosting of conferences and workshops;
- Training of M&E specialists and capacity building;

- Promotion and stimulation of debate among policy makers, M&E practitioners and researchers around M&E;
- Professionalisation of M&E, and
- Encouragement of stakeholders to publish M&E material (SAMEA, 2010a).

Background to the excerpt below, from an Interview with Dr William Trochim: current President of the American Evaluation Association (Trochim, 2010):

In the late Clinton and Bush administration the experimental tradition gained increasing interest because of the advances made in biomedicine in terms of Randomised Control Trials (RCT). The supporters of the quantitative tradition saw the recorded successes in biomedicine as a way to regain the ground they lost to the qualitative methodologists. They proceeded by presenting the biomedicine model to US Federal government. US Federal government at that stage wanting to remove the Department of Education as federal agency perceived the randomised experimental design method as a possible method to strengthen their case. They anticipated that educational programmes would not meet the rigours standards of this methodology, providing a plausible reason for federal government to opt out of education. Not long thereafter DOE released its standards stipulating that RCTs were the gold standard in assessing effectiveness of education. In Biomedicine at the time a group named after the British statistician titled the Cochrane collaboration came about to conduct meta analyses in the field of biomedicine. Soon thereafter a comparable group led by Bob Boruch established the Campbell collaboration advocating for the same as the Cochrane collaboration but within an education and applied social research environment. It is the Campbell collaboration that approached federal government.

And Dr Trochim explained how the American Evaluation Association's involvement unfolded

…because they had the power of the Bush administration they were able to set up a very successful lobbying effort that got the DOE to change their regulation and then they were able to work this lobbying organisation called "Coalition for Evidence-based practice" and moved up the ladder from the Federal government to the Office of the President of the USA.

…And in the Bush administration the office of OMB was trying to set standards for the entire US government – all the agencies around evaluating federal programmes that were funded. These folks were able to convince them that the appropriate standard for quality of evaluation should be the randomised experimental design so in the OMB regulations they also advocated that kind of design structure based on this very powerful lobbying group led by the Campbell crowd and the Coalition for Evidence-based practice.

The AEA which is the largest and most diverse association in the world has many international members even though it is called the AEA had never had its act together to put a coherent lobbying effort together. So one of the things I was bound and determined to do was to get us into the game and at the table on these debates because we had several constructive debates in the profession itself around it and I thought there was broad consensus among evaluations for the need for multiple methodologies, the need to be sensitive to multiple stakeholders and so on and so on and so on. So what we did is we approached the OMB early on and began a dialogue with them around their over advocacy of experimental design.

I remember going to the building right next to the white house – the Executive Office building for my first meeting, two doors down from vice President Chaney's office into the heart of the Bush administration when they were in power. And sitting down with the guy that was in charge of the evaluation standards for the OMB and I got in there and say we are in here to argue for a much more balanced view of the role of research design than your over advocacy of experimental design. And the first thing he said to us was: where have your people been?

5.3.6.2. M&E Capacity building initiatives advertised via the SAMEA platform

Many evaluation consultancies and evaluators use the SAMEA listserv to advertise their training programmes and M&E capacity building initiatives such as the Andy Rowe seminar series and the virtual conference on methodology. Each of these initiatives will be discussed in further detail below.

Training programmes

Between January and April 2010 the following training events were advertised:
- Evaluation Research Agency: Monitoring and Evaluation courses
- Southern Hemisphere: project planning, monitoring and evaluation; Implementing a results-based M&E system; Dynamic Facilitation Skills for participatory processes
- Regenyses: Monitoring and Evaluation Course
- WITS School of Economic and Business Science: Multiple Regression From Scratch, Further Skills In Multiple Regression, Structural Equation Modelling (SEM): (Source: SAMEA List Serv).

Initially a rating process was developed to endorse the quality of the courses advertised on the SAMEA ListServ but was soon discontinued as it was realised that more work is needed in this area. SAMEA is not an accreditation or regulatory authority and for the time being the Association will only focus on promulgating training and education.

Andy Rowe Seminar Series

The Andy Rowe seminar series was hosted by SAMEA and the Public Service Commission and stretched over four days in February. The programme was compiled in such a manner that the event took place in a different town every day. This allowed for participants from areas surrounding Johannesburg, Pretoria, East London and Stellenbosch to attend. The following topics were covered[29]:
- Evaluation Use and its Implications for Evaluation in South Africa
- Programme Evaluation, Conservation and Use
- Evaluation, Developmental Evaluation of Science Programs and Use
- Multi-level Evaluation Systems and Conflict Resolution in Environmental Settings
- Evaluation in Conservation Settings
- Evaluation in Environmental and Conservation Settings

This event drew participants from the academic, private and public sector.

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[29] E-mail correspondence via SAMEA List Serv, 26 January 2010

<u>Virtual Conference on Methodology</u>

One of the latest initiatives advertised via the SAMEA ListServ have been the virtual conference on methodology in Programme evaluation by the Wits Programme Evaluation Group of the University of the Witwatersrand. This initiative is led specifically by Charles Potter and Raymond Basson.

As a first step invitations were extended to a wide audience which included experts in the field, appropriate university departments, educational networks and associations, donor agencies and NPO's involved in programme evaluation, personal contacts of the Programme Evaluation Group and networks locally and abroad to encourage the submission of papers, case studies and workshop or teaching materials between 7 and 9 April 2010[30]. Following this stage ongoing contact will be established with contributors where after discussions will take place during November 2010. All discussions will take place online. The conference proceedings will be published in due course. Case studies of evaluation designs as well as case studies of completed evaluations are also available on the conference website (http://wpeg.wits.ac.za).

5.3.6.3. PALAMA

PALAMA's main task is to build M&E capacity in all government institutions and to create an enhanced understanding of the Government Wide Monitoring and Evaluation framework. In response to the above PALAMA has undertaken the development of some programmes as well as the facilitation of an orientation session around the government wide monitoring and evaluation policy framework. By February 2010, approximately 1500 government officials have completed the orientation session (Naidu, 2010).

The title of the first programme developed by PALAMA reflects the target group: *Using M&E to support good governance: a programme for parliamentarians and those in oversight bodies as well as executives and senior managers*. The respective courses of this programme include the following:

- Basic M&E orientation course targeting senior managers, political heads, parliamentarians
- M&E and strategic planning course targeting senior managers and planners
- M&E and performance mangers course targeting senior managers and planners (Naidu, 2010).

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[30] E-mails distributed via SAMEA ListServ. First e-mail sent 16 February 2010 and followed up on 10 March 2010

The second programme is geared towards M&E practitioners and their supervisors and is titled *Apply M&E principles in the public sector: a programme for the M&E practitioner.* The course components reflect the more in-depth M&E focus:

- Orientation to Monitoring and Evaluation
- Managing Performance using Monitoring and Evaluation findings
- Monitoring and Evaluation and Information Management
- Quantitative Methods for Monitoring and Evaluation
- Qualitative Methods for Monitoring and Evaluation
- Data Analysis for Monitoring and Evaluation
- Report Writing for Monitoring and Evaluation (Naidu, 2010).

The latter mentioned programme has been accredited and aligned to two South Africa Qualification Authority (SAQA) accredited unit standards:

- Demonstrate knowledge and insight into the principles of monitoring and evaluation in assessing organisation and/or programme performance in a specific context (National Qualification Framework (NQF) level 5, 5 credits).
- Apply monitoring and evaluation approaches and tools to assess an organisation's and/or programme's performance in a specific context (NQF level 5, 10 credits) (SAQA, 2010).

5.3.6.4. African Evaluation Association (AFREA)

A total of five AFREA conferences have taken place over the past decade. The third AFREA conference held in 2004 is of particular interest for two reasons: this event was the main catalyst in formalising SAMEA and secondly, it marked the biggest convention of local evaluation expertise under one roof with 250 South African attending this conference. The work of SAMEA has always been connected with that of AFREA in an effort to strengthen cohesion across the continent. As mentioned above task teams and delegates from SAMEA have often consulted with AFREA on key issues. Another example of the close linkage with this association has been local evaluator Zenda Ofir's time as President of AFREA between 2002 and 2004.

AFREA preceded the establishment of SAMEA by quite a number of years. The inaugural conference took place in 1999 in Nairobi and attracted 300 evaluators from 35 countries. The first conference goal was: "Increasing Evaluation Capacity in Africa". The achievement of this goal was evident in that eleven national associations or networks of evaluators in Africa were established as a result of this conference and the African Evaluation Guidelines were developed (AFREA, 2002b). Michael Quinn Patton, renowned utilisation evaluation theorist delivered a series of

training workshops and made available the training text "Utilisation Focused Evaluation in Africa" to all who attended.

The second AFREA Conference was held in Nairobi, Kenya on 10-14 June 2002. The event was organised by the AFREA Organising Committee and UNICEF. Approximately 300 people participated, which included: evaluators, researchers, policy makers, evaluation users and donors across the African, European and American continent. The Conference covered five areas: i) opening and closing sessions and plenary discussions, ii) training on evaluation theory and methods, iii) presentations and strand discussions ,iv) working group activities by evaluation leaders and v) networking and fellowship development (AFREA, 2002c).

The third AFREA conference was held in Cape Town and was attended by a record number of 550 people from 56 countries. The pre conference sessions were also well attended totaling more than 250 participants. The conference was hosted in conjunction with the Public Service Commission and had the support of 21 local and international organisations which included: SIDA, DFID, GTZ, the World Bank, the Nelson Mandela Foundation and the African Capacity Building Foundation (AFREA, 2002d). The title of this conference was "Evaluation Matters, Africa Matters- Joining Forces for Democracy, Governance and Development". Presentations were made in nine parallel strands (AFREA, 2002a). Plenary addresses were made by high profile people such as Prof. Stan Sangweni from the Public Service Commission, Dr Sulley Gariba, Executive Director of the Institute for Policy Alternatives, Ghana and President: IDEAS, Dr Elliot Stern, President: IOCE and Editor of Evaluation, Dr Craig Russon, Evaluation Manager, WK Kellogg Foundation and AEA Board Member; and Dr Mahesh Patel, Regional Social Policy and Economic Analysis Advisor for UNICEF, East Asia and Pacific Region, Dr Noeleen Heyzer, Executive Director, UNIFEM, USA and Dr Richard Levin, Director-General, Department of Public Service and Administration, South Africa (Ofir & Kriel, 2005).

Some of the high quality workshops conducted during this event included:

- Introduction to Assessing Organisational Performance (conducted by Nancy MacPherson, IUCN Switzerland, and Mine Pabari, IUCN Kenya)
- Designing and implementing a Results-based M&E System in the Public Sector

- Managing for Results using the ProLL Integrated Performance Management Framework (conducted by Arunaselam Rasappan, ARTD Malaysia, Jerome Winston, PPSEI, Australia, and Mufunani Khosa, Zimbabwe)
- Designing and Building Performance-Based Monitoring and Evaluation Systems: A Tool for Managing Programmes and Policies (conducted by Ray C Rist, World Bank, USA)

- Contracting for Evaluation (facilitated by Lauren Wildschut, Evaluation Research Agency, South Africa)
- Participatory M&E Tools for Building Capacity of Parliaments in Poverty Monitoring (facilitated by Sulley Gariba, Institute for Policy Alternatives, Ghana)
- RealWorld Evaluation: Conducting Evaluations under Constraints of Time, Budget and Data (conducted by Jim Rugh, CARE International, USA)
- Building National Capacity through effective Evaluation Associations and Networks (conducted by Jean-Louis Dethier, Perspective Consulting, Belgium, Oumoul Kharyi Ba Tall, Mauritania, and Zenda Ofir, Evalnet, South Africa)
- An Introduction to Programme Theory and Logic Models and
- Using and Teaching Logic Models (conducted by Nancy Porteous, Health Canada) (Ofir & Kriel, 2005).

The fourth AFREA conference took place in Niamey Niger in January 2007 and had the theme of Evaluating Development, Developing Evaluation: A Pathway to Africa's future. Slightly more people attended this event compared to the previous conference: 573 participants from 57 countries were recorded. Of those presenting African countries, 17% were government officials (AFREA, 2002e).

The fifth AFREA conference in April 2009 was hosted in conjunction with the Networks on Impact Evaluation (NONIE) and the International Initiative on Impact Evaluation (3ie). Titled "Perspectives on Impact Evaluation: Approaches to assessing Development Effectiveness", this event took place in Cairo, Egypt (AFREA, 2002f). 780 people registered for the conference. The most delegates came from Niger. The conference was attended by 15 South Africans. The 15 South Africans represented government (4), NPO sector (2), local donor and partner organisations (2). The balance of the 15 people was made up from academics (3) and evaluators (4) (Compion, 2010).

5.3.6.5. Multilateral agency conferences

In November 1998 the Evaluation departments within the African Development Bank and the World Bank organised a Seminar on *Evaluation Capacity Development in Africa*. Delegates from 12 African countries attended this seminar. The seminar is part of a series that originated from discussions held in March 1987 between national governments and Development Assistance Committee (DAC) of the OCED around M&E capacity. It was decided after this event that a series of seminars were needed to stimulate dialogue around evaluation capacity in developing countries. The first seminar was held in Abidjan in May 1990, the second in Asia and the third in Latin America. The one under discussion – the fourth seminar – was convened again on African ground in 1998. Only two delegates from South Africa attended this meeting: Mr Indran Naidoo in his

capacity as Director of M&E in the Department of Land Affairs and Mr. Tladi Ditshego from the Operations Evaluation Unit within the Development Bank of South Africa (OED, 1998). The seminar content was divided into four sections:

- Perspectives on Monitoring and Evaluation in Arica
- Experiences in Evaluation Capacity Development
- Strategies and Resources for building evaluation capacity
- Options for Evaluation Capacity Development (OED, 1998).

The four areas covered embodied the objectives of this conference:

"One was to provide an overview of progress made with evaluation capacity development in Africa, including the sharing of lessons of experience. Another was to build consensus on the purposes and elements of M&E in support of development. A third objective was to identify strategies and resources for building M&E supply and demand in African countries. A fourth was to help country teams, representing 12 African countries, to develop preliminary action plans for developing M&E systems in their countries. A final objective was to support the creation of country and regional networks to encourage follow-on work" (OED, 1998).

It was at this event that the idea for AFREA was born.

In 2000, a follow up seminar was convened, this time in Johannesburg hosted by the African Development Bank. The 56 Delegates from the 11 countries held positions in donor agencies, government, NPOs, research institutions and private sector. A strong undercurrent of good governance and M&E's role in promoting accountability and improving service delivery are evident in the seminar proceedings. As Ms Geraldine Fraser-Moleketi, the then Minister of Public Service and Administration's opening statement conveyed:

"On closer inspection, we can distil the essence of good governance down to two objectives. The first is about encouraging greater transparency, accountability and administrative efficiency; the second is concerned with democracy, human rights and participation. At the very heart of all this are the issues of data, information and knowledge and how we process and use them in the interest of better decision-making that will serve the needs of our people. This is what M&E is all about" (Fraser-Moleketi, 2000).

The topics covered through the 45 conference papers can be divided into seven streams:

- Monitoring and evaluation and the development challenges in Africa
- Overview of Evaluation Capacity Development (ECD) in selected African states to support the development of M&E and establish the demand and infrastructure for M&E
- Addressing ECD through new methodologies
- African sector experience

- Development of national evaluation associations and opportunities for international cooperation
- Looking to the future: national action plans for 2001
- The way forward (DBSA, 2000).

As can be expected the list of South African participants are much more substantial than the first seminar consisting of: 14 South Africans facilitating/chairing sessions, four local representatives from USAID Aid, United Nations Development Program and United Nations Children's fund and 16 general delegates. The general delegates were mainly M&E directors or deputy directors at provincial or national level representing the Department of Land Affairs, Water Affairs and Health. Other government bodies with a presence included the Office of the Public Service Commission, the Department of Finance, National Development Trust and The Presidency.

5.4. Body of Programme Evaluation Knowledge

The relative newness of the field has been characterised by very few peer-reviewed publications around programme evaluation. The pioneering article on Programme Evaluation in South Africa was traced to Prof Cornie Groenewald. He published an article around evaluation research in community development in 1984 in the South African Journal of Sociology. In this article he describes three types of evaluation research: the feasibility study, the process evaluation and an outcome evaluation. The next set of publications around programme evaluation only occurred a decade later when a group of South Africans published in the well known American *Journal: Evaluation and Program Planning.*

The articles, authors and abstract that contributed to the fourth issue in 1995 are shown in the table below:

Table 5.10: Detail on South African publications in Evaluation and Program Planning journal

Title of Article	Authors	Abstract from article
Evaluation needs in South African education: A policy perspective	Susan Meyer and Jane Hofmeyr	National evaluation needs in South Africa are explored in the light of current education policy proposals and expected developments in education
Community health needs, community participation, and evaluation research	Johann Louw, Judy Katzenellenbogen, Ronelle Carolissen	The values which underlie a social programme, and the ways in which they are realized in the programme itself, are often left unspecified by the programme planners. Two procedures to give practical effect to social values in a community health project are discussed in this paper: careful and systematic assessment of need; and community participation and involvement
Evaluating participation processes in community development	K. Kelly and H. Van Vlaenderen	In this study evaluation methodology is discussed in the context of a participatory community health development project. The paper presents a study of the participatory dynamics of the project and explores the implications thereof for the evaluation of participation
From conflict to cohesion: Involving stakeholders in policy research	Jane E. Doherty and Laetitia C. Rispel	The transitional period in South Africa, coupled with the general societal context of uncertainly, poses several challenges to policy researchers. While policies which address the inequities of apartheid are urgently needed, the time and resources available for policy formulation are limited.
Second language teaching for primary school students: An evaluation of a new teaching method	Johann Mouton	An evaluation of a new method for teaching English to black school students in KwaZulu-Natal, South Africa
Evaluating a post-graduate diploma in primary health care education (DPHCE): Issues and interpretations	T. E. Paulsen, T. C. M. Lee, S. M. Tollman and A. McKenzie	An evaluation of the Diploma in Primary Health Care Education (DPHCE), a course offered in the University of the Witwatersrand, Johannesburg

Source: Meyer & Hofmeyr,1995; Louw et al,1995; Kelly & Van Vlaenderen,1995; Doherty & Rispel,1995; Mouton, 1995; Paulsen et al.,1995

The body of knowledge in the programme evaluation field is expanding. One clear indicator of this has been the number of MPhil and DPhil studies undertaken with a programme evaluation focus.

Table 5.11 contains a breakdown of the seven DPhil and 11 MPhil studies since 2001 at the University of Stellenbosch.

Table 5.11: M.Phil and D.Phil publications at Stellenbosch University

Title	Author	Postgraduate	Date
Theory-based evaluation of community development : a South African case study	Abrahams, M. A.	D.Phil	2003
The appreciation and understanding of value diversity": an evaluation of a value diversity intervention at the University of Stellenbosch	Dittmar, V.	M.Phil	2003
The use of peer review as an evaluative tool in science	Eigelaar, I.	M.Phil	2001
An evaluation of the Stellenbosch University Student Mentor Programme	Loots, A.G.J.	M.Phil	2007
An evaluation of the integration of the "White" town of Pietersburg and the "Black" township of Seshego after the local government elections of 1995	Mabotja, M.S.	M.Phil	2001
A critical evaluation of the research experiences of masters and doctoral students at Technikon Natal	Mclean-Anderson, G.	M.Phil	2004
An evaluation of the transformation process in the performing arts councils in South Africa	Seutloadi, K.D.	M.Phil	2003
Transnational science and technology co-operation in Africa: an evaluation of selected institutions and programmes	Teng-Zeng, F. K	D.Phil	2002
Implementation evaluation as a dimension of the quality assurance of a new programme for medical education and training	Wasserman, E.	D.Phil	2004
Development of a Model for the Monitoring and evaluation of Nutrition and Nutrition-related programmes in South Africa	Wentzel-Viljoen, E.	D.Phil	2003
The role of qualitative data in a mixed methods evaluation design	Wildschut, L.P.	M.Phil	2001
Evaluating the integration of ICT's into teaching and learning activities at a South African higher education institution.	Van der Merwe, A.D.	D.Phil	2004
Tegno-korreksies: 'n studie na die impak van tegnologie op 'n Suid Afrikaanse gevangenis.	Snyders, H.	M.Phil	2003

Source: Department of Sociology, US, 2007

Addendum B contains a table of some of the most well known evaluators' publications in peer reviewed journals.

5.5. The size of the current evaluator workforce

It is difficult to establish the size of the current evaluator workforce. The only available data source, beside the empirical data collected in Chapter 4 is the SAMEA membership directory which contains detail of active and inactive members. In May 2010 SAMEA had 348 active and 1054 inactive members in their directory (SAMEA, 2010a). The directory indicates representation across many sectors such as Agriculture, health, education, finance, conservation and safety. A sector analysis of the *active* membership database reveal that the highest number of members – the unidentifiable category set aside – reside within the Consultancy and government categories (SAMEA, 2010a). It should however be kept in mind that these totals reflect number of members which in some instance translates into more than one person being registered per entity for instance Khulisa Management services has eight employees listed. As can be expected not many individuals from the private sector and international organisation are registered as SAMEA members. A number of international donor organisations such as UNICEF, USAID, Swiss Agency for Development Cooperation and Atlantic Philanthropies are represented. The Universities and Research Councils both have 26 active SAMEA members while NPOs represent 14% of the total active SAMEA directory (SAMEA, 2010a).

Table 5.12: SAMEA active members per sector

Sector type	Total
Private sector	11
International	16
Universities	26
Research Institutes/ Councils	26
NPO	47
Gvt	69
Consultancies	75
Unidentifiable	78
TOTAL	**348**

Source: SAMEA, 2010a

The total SAMEA directory is at this stage possibly the most up to date resource on the current evaluator workforce. It is however still difficult to pin down the exact number of active evaluators as the public sector M&E practitioners are grossly under represented (cf Chapter 4). It is clear that a designated study is needed to gauge the size of the current evaluator workforce.

5.6. Conclusion

The infancy years of the programme evaluation field locally can be described as quite unsystematic and haphazard. The majority of people interviewed have roots in the social science field with some interviewees coming from a Natural Science background. The most commonly stated reason for the interest in programme evaluation was the growing need for a more systematic assessment of programmes' effectiveness.

As far as the types of studies are concerned: even though our empirical data shows that some evaluations were being undertaken during the late 1980s already, it remains debatable whether those early studies did in fact constitute programme evaluation studies. Beside a few exceptions, a very limited range of methodologies were employed with a clear preference exhibited towards the qualitative tradition. This was in large due to an ideological resistance to anything related to numeric data as well as a lack of skills in quantitative methodologies.

The first generation evaluators had very few "resources" at their disposal and had to rely heavily on their own understanding of what programme evaluation entailed. The tools available to them during those early years were mainly their postgraduate education, literature on the topic and exposure to experts when undertaking visits abroad. A very limited range of both formal and informal training opportunities existed for aspiring evaluators at that stage. Over time this changed significantly with efforts appearing on various fronts to address the serious skill shortage in the field. This includes an expansion both in terms of the number of formal programme evaluation courses offered by Higher Education Institutions as well as the depth and intensity of formal courses on offer. For instance, in the early 1990s, there was no fully fledged focused Monitoring and Evaluation qualification. Today, both UCT and Stellenbosch offer Monitoring and Evaluation postgraduate programmes and a similar qualification is in the pipeline at Nelson Mandela University.

The informal M&E training sector has seen tremendous growth since the establishment of South African Monitoring and Evaluation Association. The Association not only organises their own conferences and events but provides a platform for other initiatives to convey information to the evaluation work force. This includes the advertisement of short courses, seminars and vacancies in the field. Of particular note here has been the involvement of the Public Service Commission in

raising awareness around M&E. It is due to this high level involvement from the PSC that SAMEAs conferences have been so well attended by government officials.

Very limited publications are being produced on the evaluation studies undertaken. However, the increase in full blown postgraduate M&E programmes has led to a growing literature on programme evaluation.

This chapter also captures and recognises the role of key people in growing the field of programme evaluation. The first generation evaluators went to great lengths to infuse knowledge, for example, Zenda Ofir and Indran Naidoo took on personal financial risks to sponsor Michael Quinn Patton's visit to South Africa. Johann Louw and Johann Mouton on a continuous basis brought in experts from other countries to facilitate courses and to impart expertise. This continues today with overseas evaluation giants frequently facilitating courses within the Master's at UCT and the MPhil at the University of Stellenbosch. More recently Charles Potter and Raymond Basson through the Virtual Conference initiative have been stimulating debates around methodological issues.

In closing, it is this variety of initiatives and forerunners in the field that has assisted and, continues to assist, in cultivating a strong and professional M&E workforce. South African M&E practitioners are increasingly taking up their position in the global M&E arena.

CHAPTER 6: CONCLUSION

6.1. Introduction

This concluding chapter considers some of the overarching ideas that emerged from this historic account of programme evaluation in South Africa. The research questions will be used as a guide to highlight some of the most pertinent issues. The research questions, as set out in the introduction chapter, are as follow:

- Who or what, was the major driver of programme evaluation in the UK and the United States?
- Who are what, was the major driver of programme evaluation in South Africa?
- What role does the South African public sector play towards the advancement of programme evaluation?
- Where does South Africa stand in terms of the professionalisation of the field?

6.2. Overarching ideas emerging from the research

The overarching ideas mirror the structure of this thesis as each idea represents the essence of the four chapters.

There are both similarities and differences between the United States and UK when considering the emergence of programme evaluation internationally

In terms of similarities, both in the US and the UK, the introduction of programme evaluation has been top down, i.e. initiated by government and enforced at lower levels of government. In both countries the reigning political party and fiscal situation caused the scale to tip either in favor of programme evaluation or against it. Given the government setting, another similarity has been the way in which public administration paradigms have influenced the public sector's support for programme evaluation. In both the US and the UK, the onset of the New Public Administration movement in the late 1980s and 1990s has affected the importance attached to programme evaluation. It is particularly during this phase in history that programme evaluation took a back seat to performance monitoring.

However, differences exist on a number of fronts which explains why programme evaluation, in our view, does not have the same strong roots in the UK as their American counterpart. The main difference pertains to the reason for introducing programme evaluation. In the case of the UK, programme evaluation was introduced under dire fiscal situations, driven by the need to enforce greater accountability and to legitimise resource allocation. Programme evaluation was therefore

viewed as a mechanism by which to regain the public's faltering trust in government. In the USA, programme evaluation was introduced during times of strong fiscal budgets as a mechanism to assess effectiveness of government programmes.

Another difference pertains to the extent to which the field has developed in both countries. The United States is the uncontested leader in the field of programme evaluation. The following evidence supports this statement:

- The establishment of an American Evaluation Association during the 1970s
- The variety of dedicated academic programme evaluation postgraduate training programmes that has been developed to address the demand for evaluators
- The number of American programme evaluation journals that have been established
- The range of evaluation theories that have been developed by American evaluation theorists
- The level of debates taking place around qualitative and quantitative paradigms
- The development and processes around the development of evaluation standards.

One possible explanation for this great gap between America and any other country could be the extent of initial investment into the field. Programme Evaluation was introduced in the United States during the Great Society era in the 1960s when major investments were made in social reform to combat the negative effects of World War II. This and the reigning political party's commitment to programme evaluation created a stimulating and enabling environment in which the field could flourish and establish itself.

South Africa followed a different trajectory compared to the United States and UK: locally programme evaluation's emergence has been largely donor driven

Many international influences gained an entry point into South Africa through the donor community. This is not surprising given the fact that the main origin of donor funding is governmental funding. There is a clear distinction between pre and post 1994 donor funding. In terms of M&E, pre 1994 solidarity funding came without many strings attached. The highest expectation during this time was the provision of the occasional report and audited financial statements. The only exception to this was GTZ's introduction of the logical framework as early as the late 1980s. Given the volatile South African context and NPOs taking on the role as struggle supporters this made sense as too detailed reporting could have been a ticket to jail. In those years funds were channeled directly to NPOs and the focus was primarily on supporting the development of a democracy. Post 1994 the NPO landscape changed drastically. Given the tight fiscal situations and subsequent influence of the new public management movement funding was not as easy to obtain. Donor agencies, in support of the new democracy, started channeling funds

primarily through government vehicles such as the special funds and the RDP fund. Donors furthermore increasingly started to introduce accountability mechanisms of which M&E was one. Tools like the logical framework and its successor the logic model were increasingly introduced by donor agencies. The NPO Sector responded to programme evaluation with mixed emotions, with many not being able to identify with the perceived linear logic of these tools.

The private sector followed suite and soon organisations such as Zenex and the Business Trust were employing programme evaluation as a way to determine attainment of objectives. Corporate social investment became a buzzword with many major organisations such as ABSA, INVESTEC, and MNET allocating money to better the lives of the disadvantaged and marginalised. Programme evaluation is gaining prominence in the private sector and is being recognised for its dual purpose of making formative and summative judgements.

Although programme evaluation gained an entry into South Africa through the donor community it should be highlighted that a monitoring and evaluation culture locally was not stimulated or driven by the non profit sector. Programme evaluation only truly caught root once the public sector accepted this practice and institutionalised it through the introduction of various mechanisms, strategies and an accompanying legislative mandate.

Although the South African public sector followed the NPO sector by nearly a decade, it is within this sector that programme evaluation became institutionalised

Beside a few isolated instances of largely uncoordinated and fragmented M&E activity, the public sector did not come on board before 2004/2005. President Thabo Mbeki's 2004 State of Nation Address can be viewed as the pivotal turning point for Monitoring and Evaluation's institutionalisation. Initially, National Treasury did most of the work pertaining to M&E in the public sector until the Presidency was mandated to take the lead in getting the Government-wide Monitoring and Evaluation system of the ground. This balancing of power is similar to the situation in America where the General Accounting Office was tasked by Federal government to also conduct programme evaluation. The greatest growth in M&E has been experienced under the recent African National Congress (and South African) President Mr Jacob Zuma. It is during his tenure that the most mechanisms and structures were put in place to firmly institutionalise Monitoring and Evaluation. This includes the appointment of Mr Ohms Collins Chabane as Minister of Performance Monitoring and Evaluation as well as Administration, the Green Paper on Monitoring and Evaluation and the recent establishment of a dedicated Performance Monitoring and Evaluation Department within the Presidency. The signing of performance agreements with the ministers is another recent development that indicates the government's commitment to satisfy the public's need for greater accountability of government spending.

Although great strides have been made in conceptualising the GWM&E framework by The Presidency and mobilising the implementing government bodies, very little activity has taken place as far as programme evaluation are concerned. It has in fact been explicitly stated by The Presidency that their focus has been first and foremost on monitoring and that only now attention will be given to the "E" (evaluation). A desktop review of specific national government departments and documents made available by the Presidency and the Public Service Commission reveals the following:

- Programme evaluation activity is currently mostly being undertaken by the Public Service Commission.
- There is a major effort underway to capacitate M&E practitioners in the public sector. This includes capacity building from within government (ie PALAMA, the PSC and The Presidency) as well as externally by means of training courses offered by M&E consultancies and practitioners and initiatives by the South African Monitoring and Evaluation Association)
- There is a steep increase in the number of M&E units being established across all levels of government.

Programme Evaluation locally is reflecting qualities associated with a professionalised field

The work done in the Public Sector to Institutionalise Monitoring and Evaluation constitute the first step. Professionalisation is the second step. Programme Evaluation in South Africa is increasingly displaying attributes associated with the professionalisation of a field. A local Monitoring and Evaluation Association has been established (SAMEA) and many informal and formal training opportunities are now being offered through this platform. SAMEA subscribes to the standards of the African Evaluation Association (AFREA) and have worked extensively with AFREA in order to combine efforts towards the advancement of the field locally.

The contribution made by the first generation evaluators to get to this point in the history has been tremendous. Although their interest in programme evaluation was sparked by a variety of factors, these first generation evaluators shared a realisation that programme evaluation was a much needed endeavour. The first evaluation report was traced back to 1983 and for many years programme evaluation studies remained in the single digits. With some exceptions, the use of either qualitative or quantitative methods seems to be linked to the progressiveness of the evaluators and the general support afforded to either methodology by the various social sciences sub disciplines.

The first generation evaluators reported that knowledge around M&E had been mainly self-taught and has been obtained by way of exposure to international evaluation experts. Some first generation evaluators took the initiative to invite some of these international experts to South

Africa in order to build the indigenous M&E capacity. It is also this first wave of evaluators that have been at the forefront of developing formal training programmes such as the Postgraduate Monitoring and Evaluation Diploma at Stellenbosch University and the Masters in Monitoring and Evaluation at UCT.

As opposed to the American situation, SAMEA maintains a strong link with government through the Public Service Commission's involvement. The PSC has sponsored the two SAMEA conferences and encourages the attendance of public service officials at many of the capacity building events advertised via the SAMEA listserv.

Another indication of the strong growth of the field has been the rise of the M&E consultancy. In fact, one of our interviewees stated that "we are delivering M&E Practitioners" and not necessarily a next generation of people that will take over the academic training of aspiring evaluators. Although the rise in consultancies has been phenomenal caution should be raised as to these consultants' skill set. Many consultants have no formal monitoring and evaluation training which could influence the quality of studies being undertaken and the discipline ultimately.

6.3. Future ideas

It is hoped that this study will constitute only the first step for further investigation as there are certain areas where a proper documentation of programme evaluation history is still lacking. Given the more recent nature of M&E developments in the public and private sectors, it would be particularly interesting to conduct a more extensive study. This could for example entail a survey of the Monitoring and evaluation activities in all government departments as well as the size and scope of corporate social investment.

Another possible area of investigation and further intervention pertains to the training of evaluators. This suggested study should not only consider the array and growth of informal and formal training options but should also address the predicament faced in terms of future trainers of formal academic programmes. The first generation evaluators will not be around indefinitely and a new generation of evaluators needs to step up and fill the much needed gap to ensure a particular standard of M&E training is maintained.

Finally, very few M&E practitioners have the time to document their findings. This lack of contribution to the local body of knowledge has an influence on programme evaluation locally. In order for South African evaluators to make a meaningful contribution to the field of programme evaluation internationally it is imperative that local evaluators start publishing their evaluation findings in peer reviewed journals. This will not only have value in terms of future local evaluation studies but will also increase the visibility of South African scholarship in this field.

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ADDENDUM A

Table A.1: Detail of Evaluation training programs with an evaluation emphasis

School Name	School/ Department	Degrees offered, emphasis	Courses with evaluation in Title
Boston College	Education	Med, PhD, Educational research, measurement and evaluation	Models of curriculum and program evaluation, practicum aspects of curriculum and program evaluation
Brigham Young University	Education	MS, PhD; Research and Evaluation	Introduction to evaluation in education, Advanced evaluation in education
California State University – Los Angeles	Education	MA, Research and Evaluation	Program evaluation theory and design, evaluation of state and federal programs, field experience in evaluation
Columbia University	Education	EdM, EdD, PhD, Measurement and Evaluation	Evaluation Methods 1, Evaluation methods 2, Practicum in research and evaluation
Florida State University	Education	MS, PhD, Program Evaluation	Introduction to evaluation, Evaluation of new educational programs and practice, qualitative methods for program evaluation, economic evaluation
Hofstra University	Education	MS, Program Evaluation	Measurement and evaluation in education, Theory and models of program evaluation research
Indiana University	Education	PhD, Inquiry methodology	Evaluation models and techniques; Methodology of educational evaluation
Kent State University	Education	MA, Evaluation and assessment	Evaluation in education: Research in evaluation and measurement, Practicum
Northern Illinois University	Education	MS, educational research and evaluation	Seminar in educational research and evaluation, internship in educational research and evaluation, practicum in educational research and evaluation, Program evaluation in education
Nova Southeastern University	Education	PhD, organizational leadership	Program evaluation and policy analysis, advanced program evaluation

School Name	School/ Department	Degrees offered, emphasis	Courses with evaluation in Title
Ohio State University	Education	MA, PhD, Quantitative research, evaluation and measurement	Introduction to evaluation, formative evaluation of instructional systems, evaluation methods (needs assessment I), evaluation methods (personnel), seminar in quantitative research, evaluation, and measurement, Evaluation methods (evaluation of teachers)
Oklahoma State University	Education	MA, PhD, Research and evaluation	Program evaluation, Evaluation practicum
Syracuse University	Education	MS, PhD, Instructional design, development and evaluation	Techniques for educational evaluation, capstone practicum in evaluation, concepts and issues in educational evaluation, cost effectiveness in instruction and training
Tennessee Technological University	Education	PhD, Program Planning and evaluation	Advanced Program Planning and evaluation methods I, Advanced program planning and evaluation methods 2, Practicum in planning and evaluation (taken 3 times), Program planning and proposal development
University of California Berkeley	Education	Ed, two concentrations: Quantitative methods and evaluation, program evaluation and assessment	Models and methods of evaluation 1, models and methods of evaluation 2, evaluation theory, evaluation procedures
University of California-Los Angeles	Education	MA, PhD Social research methods: evaluation	Evaluation theory, evaluation procedures, cost benefits analysis
University of central Florida	Education	MA program evaluation	Measurement and evaluation in education, evaluation of school programs curriculum evaluation
University of Connecticut	Education	MA, PhD, Measurement evaluation, and assessment	Construction of evaluation instruments programs evaluation, evaluation workshop 1
University of Denver	Education	MA, PhD Quantitative research methods	Program development and needs assessment, child, family, and school psych program development and

School Name	School/ Department	Degrees offered, emphasis	Courses with evaluation in Title
			evaluation, practicum in program evaluation
University of Iowa	Education	PhD, Educational measurement and evaluation	Introduction to program evaluation, Seminar in evaluation, Practicum in program evaluation
University of Kentucky education	Med, EdD, PhD, Education policy and evaluation	Med , EdD, PhD, Educational policy and evaluation	Special topics in education policy and evaluation, Topics and methods of evaluation, Advanced topics and methods of evaluation, multiple measures in education and evaluation, Independent study in policy studies and evaluation, Internship in policy studies and evaluation
University of Louisville education	Education	PhD, educational leadership and organizational development, evaluation emphasis	Evaluation of educational processes, internship in educational evaluation, Seminar in evaluation, Policy analysis and program evaluation, programme evaluation and impact analysis, evaluation and measurement in education, program development and evaluation in student affairs
University of Minnesota-Twin cities	Education	M.A, PhD, evaluation studies	Foundations of evaluation, Evaluation theory, Internship in evaluation, economic analysis in evaluation, Plus range of electives
University of North Carolina-Chapel Hill	Education	PhD, Educational psychology measurement, and evaluation	Program evaluation of social intervention
University of North Carolina Greensboro	Education	MS, PhD, Educational research methodology	Evaluation of educational program, Applied education evaluation, practicum in educational research and evaluation, Advanced topics in evaluation of educational programs, Educational measurement and evaluation
University of Pennsylvania	Education	MS, PhD, Education policy	Program evaluation and policy analysis, Qualitative in urban schools

School Name	School/ Department	Degrees offered, emphasis	Courses with evaluation in Title
University of South Florida	Education	Med, EdS, PhD, Applied evaluation	Theory and practice of applied evaluation1, Practicum in applied evaluation, Consulting and project management skills for evaluators, Meta-evaluation
University of Virginia	Education	Med, EdS, PhD, Research statistics, and evaluation	Introduction to program evaluation, Program evaluation design, Advanced seminar in evaluation
Western Michigan university	Education	MA, PhD, Evaluation measurement and research	Fundamentals of evaluation, measurement, and research, Program evaluation, Personnel evaluation, Evaluation practicum
Ball State University	Educational psychology	MA, PhD	Evaluation of educational programs, Research and evaluation in educational technology
University of Illinois-Champaign Urbana	Educational Psychology	PhD, Queries, emphasis evaluation research	Introduction to evaluation theory, Advanced theory of education evaluation of educational programs, Introduction to evaluation methods, Program evaluation
University of Northern Colorado	Educational Psychology	PhD, Research, statistics and measurement	Evaluation models and design, Advanced methods in evaluation
University of Tennessee-Knoxville	Educational Psychology	PhD, evaluation and assessment	Program evaluation in education, Seminar in assessment and evaluation, Application of evaluation and assessment, designing and implementing personnel evaluation assessment, Designing project evaluation, internship in evaluation
University of Texas-Austin	Educational Psychology	MA, PhD, program evaluation	Evaluation models and techniques practicum in evaluation
University of Wisconsin-Milwaukee	Educational Psychology	MS, PhD, research methodology	Program evaluation in education, Seminar in measurement and evaluation
Washington State university	Educational Psychology	MA, EdM, PhD, Research evaluation measurement	Introduction to program evaluation, Advanced program evaluation

School Name	School/ Department	Degrees offered, emphasis	Courses with evaluation in Title
Claremont Graduate University	Psychology	MA, PhD, evaluation and applied research methods	Evaluation foundation, Comparative evaluation theory, Evaluation procedures, Theory-driven evaluation, Current issue in evaluation, plus range of evaluation electives
San Diego State University	Psychology	MS, program development, implementation and evaluation	Seminar in program evaluation, Advanced seminar in evaluation, Internship in evaluation
University of Alaska Fairbanks	Psychology	PhD, Clinical-community psychology	Program evaluation and community consultation 1, Program evaluation and community consultation 2
University of Wisconsin-Stout	Psychology	MS, Program evaluation	Program evaluation 1, Program evaluation 2, current issue in evaluation
Utah State university	Psychology	MA, PhD Research and evaluation methodology	Program evaluation, Advanced evaluation methods and techniques
American university	Public policy	MPP Social policy	Public program evaluation, cost-benefits analysis
Georgia State university	Public policy	MPA, PhD, Policy and program evaluation	Policy and program evaluation, research design and practice, Advanced topics in policy analysis and evaluation
University of Delaware	Public policy	PhD, Social and urban policy	Qualitative methods for program evaluation for health and social services, program and project analysis
University of Illinois-Chicago	Public policy	MS, health policy and administration	Health evaluation methods, organization theory applied to health program, U.S mental health policy
Northeastern University	Criminal justice	PhD	Research and evaluation methods, research and evaluation methods lab, Advanced research and evaluation methods
University of Maryland-Baltimore County	Sociology	MA, Applied sociology	Evaluation of education policy, Advanced research and evaluation techniques, performance assessment and program evaluation
Western Michigan University	Interdisciplinary	PhD evaluation	Foundation of evaluation, Seminar in evaluation, Evaluation of HR, Program evaluation, Topics in public administration: Program evaluation,

School Name	School/ Department	Degrees offered, emphasis	Courses with evaluation in Title
			Evaluation, Evaluation research, Evaluation of social work practice, Evaluation electives

Source: LaVelle & Donaldson, 2010

ADDENDUM B

Table B.1: List of peer reviewed articles on Programme Evaluation by South African scholars[31]

Year	Author	Title
1995	Mouton, J.	Second language teaching for primary school students: An evaluation of a method. *Evaluation and Programme Planning.* Volume 18(4), p. 391-408
2001	Schollar, E.	A Review of Two Evaluations of the Application of The READ Primary Schools Programme in the Eastern Cape Province of South Africa. The International Journal of Educational Research (IJER): Vol. 35 No. 2
2002	Milstein, B., Chapel, T., Wetterhall, S., & Cotton, D.	Building capacity for program evaluation at the Centers for Disease Control and Prevention. *New Directions for Evaluation, 2002*(93), 27–46.
2005	Mouton, J. & Wildschut, L.P. (2005).	Service learning in South Africa: Lessons learnt through systematic evaluation. *Acta Academica Supplementum* 2005(3), p. 121-155
2006	Hajek, C., Giles, H., Barker, V., Louw-Potgieter, J., Pecchioni, L., Makoni, S., & Myers, P.	Communicative dynamics of police-civilian encounters: African and American interethnic data. Journal of Intercultural Communication Research, 35, 161-182
2006	Cloete, F.	Fundamentals of Evaluation research, South African Journal of Public Administration, 2006, vol 42(4)682-693.
2007	Podems, D.R.	Process Use: A Case Narrative from Southern Africa. *New Directions for Evaluation, 2007*(116), 87–97.
2007	Louw-Potgieter, J., & Nunez, D.	Selection bias in intergroup contact: Do ambiguity and self-interest moderate group preference? South African Journal of Psychology,37, 755-770.
2008	Rabie, B & Uys, F.M.	Municipal performance legislation: Promoting performance management. Administratio Publica. Vol 16, No 1.
2008	Pasche, S., Myers, B. & Louw, J.	Staff attitudes and services provided by community-based organizations for alcohol and other drug users in Cape Town, South Africa: Implications for training and education. *Drugs: Education, Prevention and Policy, 15,* 532-544.
2008	Myers, B., Louw, J., & Fakier, N.	Alcohol and drug abuse: removing structural barriers to treatment for historically disadvantaged communities in Cape Town. *International Journal of Social Welfare, 17*, 156-165.
2008	Louw, J., Muller, J., & Tredoux, C	Time-on-task, technology and mathematics achievement. *Evaluation and Program Planning*, 593, *31*, 45-50.
2009	Nick Taylor	Standards Based Accountability in South Africa *School*

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[31] This list excludes the publications included in the Bibliography of the thesis

Year	Author	Title
		Effectiveness and School Improvement, Volume 20, Issue 3 September 2009, 341 – 356
2009	Mouton, J.	Assessing the impact of complex social interventions. *The Journal of Public Administration*, Volume 44(4.2), p. 849-865
2009	Cloete, F	Evidence-based policy analysis in South Africa: Critical assessment of the emerging government-wide monitoring and evaluation system, South African Journal of Public Administration, 2009, vol 44(2), pp 293-311
2009	Rabie, B. & Cloete, F	New Typology of Monitoring and Evaluation approaches, in ADMINISTRATIO PUBLICA, 2009, vol 17(3), pp 76 - 97.
2010	B Rabie	An exploration of South Africa's framework for public sector monitoring and evaluation: lessons from international best practice. *Administratio Publica*, Volume 18, Number 1
2010	Wright, C., & Louw-Potgieter, J.	A process evaluation of a small business development programme. *Small Business Monitor*, 36-46.