

AN EVALUATION OF A SCHOOL LEADERSHIP DEVELOPMENT  
PROGRAMME

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A dissertation submitted in partial fulfilment of the requirements for the award  
of the Degree of Master of Philosophy (Programme Evaluation)

Faculty of Commerce  
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2014

**COMPULSORY DECLARATION:**

This work has not been previously submitted in whole, or in part, for the award of any degree. It is my own work. Each significant contribution to, and quotation in, this dissertation from the work, or works of other people has been attributed, cited and referenced.

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Date: 12 December 2014

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## **Acknowledgments**

I would like to extend my sincere thanks and appreciation to my supervisor Professor Johann Louw for his invaluable advice, guidance and support throughout the process of writing this dissertation.

To the Partners for Possibility programme staff, thank you for your time and co-operation during the evaluation and for providing me with the opportunity to work with your programme.

Thank you to my parents, fiancé, brother and family members for their ever constant support, encouragement and understanding. I appreciate it.

## **Executive Summary**

This study set-out as an evaluation of Symphonia's Partners for Possibility leadership development programme for school principals in South Africa. Broadly, the goal of the programme is to improve the educational outcomes of under-resourced schools. The primary audience of this evaluation is the Partners for Possibility Operations Manager.

During initial engagement with the programme stakeholders the feasibility of different evaluation types were considered. These deliberations centred on one of, or combination of, the following evaluation types: theory evaluation, process evaluation and outcomes evaluation. At first it appeared that an outcomes evaluation was entirely possible. After examining if an outcomes evaluation is feasible it became clear it was impossible to do this. As a result the focus shifted from outcome evaluation to what other kind of evaluation was feasible and acceptable to programme staff. In order to determine this, the evaluability assessment approach was utilised in order to conduct a theory evaluation and to determine if it was possible to obtain, at reasonable cost, relevant performance data.

The revised programme theory behind the Partners for Possibility's programme was derived via semi-structured interviews with the programme Stakeholder Engagement Consultant and Operations Manager. A thorough analysis of programme documentation and the programme website also informed the development of the revised programme theory.

The plausibility of the revised programme theory was assessed by conducting a literature review of similar evaluations and related literature. The literature review suggests that the revised programme theory is plausible. The revised programme theory can be summarised as follows: if the programme incorporates activities associated with both the instructional and

transformational leadership development models then principals will be able to address the barriers that prevent their school from improving its educational outcomes.

The results of the investigation into, is it possible to obtain relevant performance monitoring data, found that this was not possible. This investigation did determine that the programme has designed a monitoring system that effectively maps onto the process theory that was developed as part of the theory evaluation. However, semi-structured interviews with the Operations Manager and Stakeholder Engagement Consultant revealed that this monitoring system was not systematically maintained and that data was not available. This finding is what compromised the ability for an outcomes evaluation to proceed.

It is strongly recommended that the programme staff implement and make use of their monitoring system. If the programme staff do this then a process evaluation is recommended for the programme in order to determine if the programme is implemented with fidelity.

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## Chapter 1

### Introduction

The state of education in South Africa has been and still is a fiercely debated subject amongst government officials, policy-makers, academics and the general population. The common consensus is that there is a crisis within the education sector in South Africa where the majority of under-resourced schools are underperforming despite the large amount of public expenditure directed towards the education sector (Spaull, 2013; Transformation Audit, 2013).

Existing theory, research and local knowledge have identified the causes of poor educational outcomes in these schools as being: high dropout rates; inadequate curriculum coverage; weak cultures of teaching and learning; lack of early cognitive stimulation; poor quality of teachers and teaching ability; lack of accountability and generally huge learning deficits (Spaull, 2013; van der Berg, Taylor, Gustafsson, Spaull & Armstrong, 2011).

To highlight the scale of South Africa's poor education outcomes and therefore the need for proven interventions that can actually improve South Africa's educational outcomes, the following is informative. South Africa was ranked below the majority of African countries that participated in the 2007 Southern and East African Consortium for Monitoring Education Quality (SACMEQ) survey of Grade 6 mathematics and reading (van der Berg et al., 2011). Figure 1 has been reproduced from the text *Improving Education Quality in South Africa* (van der Berg et al., 2011).

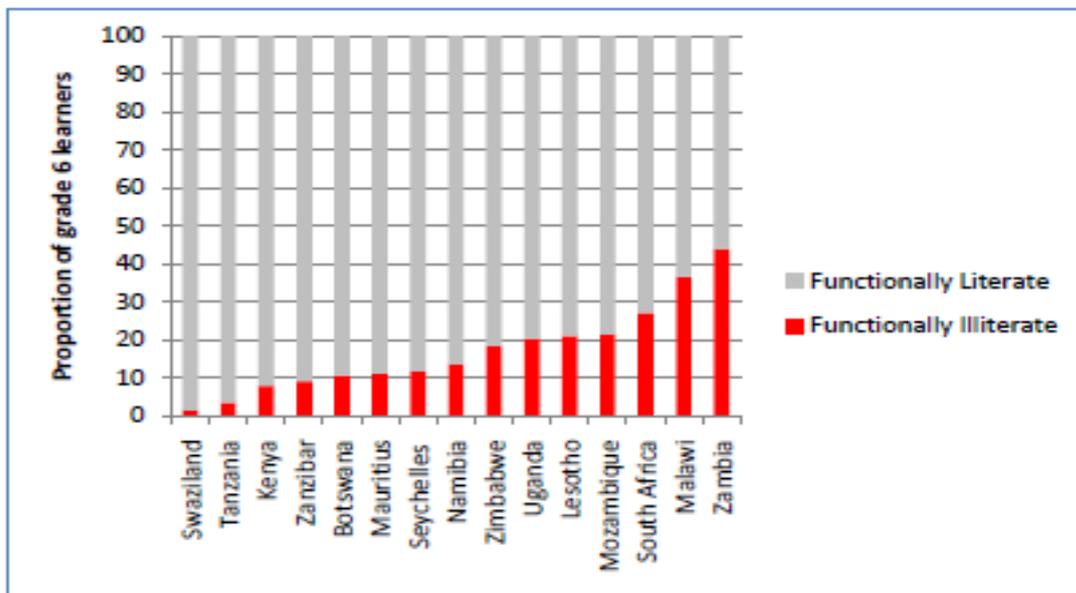


Figure 1. The Prevalence of Functional Illiteracy in SACMEQ 2007 (van der Berg et al., 2011, p. 2)

Figure 1 illustrates the scale of South Africa’s education problem effectively. This is especially so when one considers that 27% of South Africa’s Grade 6 learners were functionally illiterate in 2007 (van der Berg et al., 2011), and it is these learners that would have been in Grade 12 in 2013, assuming they had passed each year of schooling and progressed to each subsequent grade. It is this cohort of school learners that are entering the job market and/or applying for acceptance into tertiary study programmes.

Functional illiteracy is measured by “using a categorisation of competency levels provided by SACMEQ as a benchmark, learners who have not reached Level 3 in the reading and mathematics tests can be regarded as functionally illiterate and functionally innumerate in the sense that they have not acquired the basic reading and numeracy skills necessary to function meaningfully in society” (Shabalala, 2005, p. 222; as cited in van der Berg et al., 2011, p 1).

Another statistic that highlights the crisis within South Africa's education system include a 2013/2014 ranking of 146<sup>th</sup> out of 148 countries on the *Quality of Educational System in Global Comparison* scale as reported by the World Economic Forum's *The Global Competitiveness Report: 2013 – 2014* (Transformation Audit, 2013).

Albeit a brief overview of the education crises in South Africa, this section provides an indication of the need for programmes that aim to improve the educational outcomes in South Africa's school system. One such programme is Symphonia's Partners for Possibility (PfP) programme.

### **Programme Overview**

PfP is a leadership development programme for school principals in South Africa. According to the PfP Information Pack 2014 ([www.PfP4SA.org](http://www.PfP4SA.org)), PfP is implemented by Symphonia for South Africa, which is a registered Not-for-Profit Organisation (NPO) and Public Benefit Organisation that has been running since 2010. According to the PfP website, the goal of the programme is to improve the education outcomes of under-resourced schools in South Africa by 2022 ([www.PfP4SA.org](http://www.PfP4SA.org)). The PfP Information Pack (2014) claims that there are approximately 19 000 underperforming schools in South Africa.

The stated objective of PfP is to develop the leadership skills of school principals so that they can apply their leadership skills towards overcoming the barriers that prevent their school from improving its educational outcomes. As mentioned earlier, research has indicated what these barriers are within under-resourced South African schools, one of them being the poor quality of teachers and their teaching ability (Spaull, 2013).

According to the PfP Information Pack (2014), principals should be able to accomplish the following objectives once they have completed the

programme: establish a unified team of quality educators at each school; involve parents to take responsibility for their role as primary educators; create a strong partnership between educators and parents; and support community partnerships that benefit the students at their school. A programme activity through which this is expected to be achieved is via the pairing of principals with a business leader from corporate South Africa in order to form a partnership for the duration of the programme. The business leader mentors and supports the principal throughout the programme. This is a key programme activity that will be dealt with in more detail in Chapter 3.

Thus, the target population, those with whom the programme works, is the principals of under-resourced schools in South Africa. The principal is the mechanism through which the PfP programme aims to improve the educational outcomes of under-resourced schools in South Africa. According to the PfP Information Pack (2014), the executive summary of the programme states that in terms of its impact, it aims to see South Africa placed within the top 50 countries in the World Economic Forum's The Global Competitiveness Report on Education by 2022. This must be viewed in relation to South Africa's current ranking of 146<sup>th</sup> out of 148 countries as reported on in the previous section.

### **Evaluation Questions**

This study set-out as an evaluation of Symphonia's Partners for Possibility (PfP) programme. The PfP programme has not previously been evaluated. During initial engagement with the programme stakeholders the feasibility of different evaluation types were considered. These deliberations centered on one of, or a combination of, the following evaluation types: theory evaluation, process evaluation and outcomes evaluation. Programme stakeholders were primarily in favour of an outcomes evaluation. At first it looked entirely feasible that an outcome evaluation was possible. After examining in detail if an

outcomes evaluation is feasible it became clear it was impossible to do this. As a result the focus shifted from outcome evaluation to what other kind of evaluation was feasible and acceptable to programme staff.

This study addresses the following evaluation questions:

1. What is PfP's programme theory?
2. Is PfP's programme theory plausible?
3. What PfP programme monitoring data is available?

## **Chapter 2**

### **Evaluability**

According to Wholey (2004), a programme can be considered “evaluable to the extent that the following four propositions are true” (p. 34). Wholey states that:

1. Firstly, a programme’s goals and priority information needs need to be well defined with a realistic level of agreement on both, as well as on the performance criteria.
2. Secondly, the programme goals must be plausible in that there is a realistic chance that these goals will be attained.
3. Thirdly, it must be possible to obtain, at reasonable cost, relevant performance data.
4. Lastly, there must be consensus among intended users of the evaluation results on how they will make use of this information – such as to improve programme performance for instance.

An evaluability assessment can help the evaluator to determine if these four propositions hold true when applied to the PfP programme. An evaluability assessment, which can be viewed as an exploratory evaluation process, is defined as “a process for clarifying programme designs, exploring programme reality, and, if necessary, helping to redesign programmes to ensure that they meet these four criteria” (Wholey, 2004, p. 35). Essentially, the evaluability assessment assists an evaluator to determine if the PfP programme meets the criteria for a meaningful evaluation to take place before funds are wasted on an evaluation (whether process, outcome or impact) that PfP is not ready or suited for (Hare & Guetterman, 2014; Wholey, 2004; Rossi, Lipsey, & Freeman, 2004). Leviton, Khan, Rog, Dawkins and Cotton (2010) in their article on how evaluability assessment has benefitted public health programmes, state that an evaluability assessment will be able to determine if

the programme theory is plausible and also identify disagreements amongst stakeholders with regard to the evaluation.

According to Wholey (2004), an evaluability assessment compares and contrasts the expectations and assumptions of stakeholders who have the most important influence over the programme. The evaluability assessment then “compares those expectations with the reality of programme activities underway and programme outcomes that are occurring or are likely to occur” (Wholey, 2004, p. 35). Additionally, the evaluability assessment determines “whether relevant programme performance information is likely to be obtainable at reasonable cost” and it “explores which of the evaluations that could be conducted would be most useful” (Wholey, 2004, p. 35).

### **Evaluability Assessment Steps**

As specified by Wholey (2004; p. 36), the evaluability assessment process consists of the following steps:

1. Involving the intended users of evaluation information.
2. Clarification of the intended programme from as many stakeholders as possible.
3. Explore programme reality, including the plausibility and measurability of programme goals.
4. Reach agreement on any needed changes in programme activities or goals.
5. Explore alternate evaluation designs.
6. Agree on evaluation priorities and intended users of information in programme performance

This study relates closest to steps one through to three, and are reported on below.

## **Involvement of intended users**

One of the purposes of the semi-structured interviews that this study employed was to involve prominent stakeholders so as to insure that the key evaluation decisions had their buy-in. This important first step enabled the evaluator to clarify the types of results expected, obtain a programme description that detailed the operations of the programme and to gain access to additional documentation relevant to the programme goals and objectives. These interviews also served to clarify what their expectations and concerns are regarding the evaluation and to determine the availability of data.

Ultimately these meetings served to build a workable relationship between the programme's Operations Manager and Stakeholder Engagement Consultant and the evaluator that directly affected the quality of the work carried out for the remaining steps in the evaluability assessment process. It is essential to involve relevant stakeholders that are potential users of the evaluation findings, as it is their input that is necessary when establishing the focus and direction of the evaluation (Preskill & Jones, 2009).

If programme staff that are the intended users of the evaluation disagree with the focus and direction of the evaluation, then the results of the evaluation report risks not being utilised (Rossi et al., 2004).

## **Clarify the intended programme**

This step involves clarifying the intended programme from the perspective of policymakers, managers, those involved in service delivery and other stakeholders. It is evident that the involvement of stakeholders during the previous step laid the platform for this step. Using the information gained during the interviews with the intended users of the evaluation information, and that which the evaluator obtained from the programme website and

programme documentation, the evaluator set about documenting the programme after a thorough reading of the various information sources. This took the form of a programme description.

The programme description documented the following: sponsors who fund the PfP programme, the implementing agent, how long the programme has been running for, its high level goals (i.e. the long-term outcome that the programme aims to achieve), its target population, programme activities, who presents these activities, any significant changes made to activities or staff over time and where the programme sites are. From this the evaluator was able to depict an organizational plan (see Figure 4 on p.32) and a service utilization chart (see Figure 3 on p.31) that showed how participants in the PfP programme are expected to move through and interact with the programme activities.

The exercise of writing up the programme description, organisational plan and service utilisation chart enabled the evaluator to extract and articulate the programme theory as understood by the programme's Operations Manager and Stakeholder Engagement Consultant. The programme theory diagrammatically illustrates the causal linkages between inputs, activities, outputs, short-term outcomes, intermediate outcomes and long-term outcomes (see Figure 5 on p.34). This step enables the evaluator, in collaboration with programme stakeholders, to define and agree upon programme goals and outcomes.

If there is confusion or disagreement on what the programme's goals and outcomes are, it will be difficult for an evaluator to identify relevant and valid indicators, measures and standards against which to monitor and eventually evaluate the programme against.

## **Explore programme reality**

The articulation of the programme theory as understood by the programme stakeholders served as the basis for this step. That is, in order to determine the plausibility of the programme theory the evaluator conducted a literature review of similar leadership development programmes for school principals. The literature review will enable the evaluator to determine whether PfP's programme theory is plausible and whether the programme can reasonably expect to achieve the goals and outcomes articulated within the programme theory (Chapter 3 of this study reports on the theory evaluation).

The second part to exploring programme reality, is the need to determine the measurability of programme goals. In order to measure programme goals an evaluator requires data from programme records (Davidson 2005; Rossi et al, 2004). Programme monitoring data must be accessible and easily obtainable. If no data is available or it is not easily accessible or obtainable then this will add to the cost and time needed to complete the evaluation. Lack of data, or no data, means that this will need to be collected before an evaluation can take place.

## **Conclusion**

In relation to the evaluation questions formulated at the end of Chapter 1, questions 1 and 2 deal directly with the first and second propositions of the evaluability approach. Question 1 is concerned with describing the PfP programme theory, while question 2 is concerned with assessing the PfP programme theory. According to Wholey (1987), the evaluability assessment method can be utilised for the purpose of describing programme theory and assessing the programme theory. Rossi et al. (2004) expands on this by stating that "the evaluability assessment approach represents the most fully developed set of concepts and procedures available in the evaluation

literature for describing and assessing a programme's conceptualization of what it is supposed to be doing and why" (p. 139).

In terms of the evaluability assessment approach, question 3 is concerned with Wholey's third proposition, which is that it must be possible to obtain relevant performance data at a cost that is also reasonable. This information can then be used to propose a particular form of evaluation for this programme, and to construct a monitoring framework.

## **Chapter 3**

### **Theory Evaluation**

#### **Programme Theory**

The first part of this chapter answers the first evaluation question: What is PfP's programme theory?

#### **Introduction**

Programme theory is an essential part of any programme that attempts to improve social conditions. "Programme theory explains why the programme does what it does and provides the rationale for expecting that doing so will achieve the desired results" (Rossi et al., 2004, p. 134). Chen (2005), goes on to suggest that by developing a programme theory the evaluator is able to clarify and simplify a programme's objectives, its rationale, its plan and the ability to identify the relationship between them. Bickman (1987), defines programme theory as the "construction of a plausible and sensible model of how a programme is supposed to work" (p. 5).

"If the programme's goals and objectives do not relate in a reasonable way to the social conditions the programme is intended to improve, or the assumptions and expectations embodied in a programme's functioning do not represent a credible approach to bringing about that improvement, there is little prospect that the programme will be effective" (Rossi et al., 2004, p. 135). That is, a programme is destined not to achieve its outcomes if the programme design is based on an implausible theory. A programme whose theory is determined to be implausible is better off redesigning their programme in a manner that can be deemed plausible.

The PfP programme assumes that if it can develop the leadership ability of a principal from an under-resourced school then the principal will be able to apply their newly acquired leadership ability to improve the educational outcomes of their school. In terms of the PfP programme's expected impact, the programme assumes that if a critical mass of principals from under-resourced schools complete the PfP programme then this will improve the educational outcomes of South Africa as a whole.

According to Bickman (1987), a clear programme theory performs the following important functions for an evaluation:

- Contributes to social science knowledge
- Assists policymakers
- Discriminates between programme failure and theory failure
- Identifies the problem and target group
- Provides programme implementation description
- Uncovers unintended effects
- Specifies intervening variables
- Improves formative use of evaluation
- Clarifies measurement issues
- Improves consensus formation

## **Method**

According to Davidson (2005), before an evaluator makes comments about the evaluand or its programme design it is necessary to provide a description of the programme in order for readers of the evaluation report, and the evaluator, to understand what the programme is and what it does. In other words the evaluator needs to describe the programme as it is in reality and not what it is supposed to be like (Davidson, 2005; Rossi et al., 2004).

One of the methods available to evaluators in order to obtain a programme description is by reviewing an evaluand's website (if one exists), reviewing the evaluand's programme documents and to interview key programme stakeholders (Babbie & Mouton, 2001; Davidson, 2005; Rossi et al., 2004).

The programme description was obtained from the PfP website ([www.PfP4SA.org](http://www.PfP4SA.org)), the PfP programme documents (retrieved from [www.PfP4SA.org](http://www.PfP4SA.org)), and semi-structured interviews with the PfP Stakeholder Engagement Consultant and the PfP Operations Manager. The meetings provided further documentation and clarification on the data retrieved from the website.

In order to assess a programme's theory the first step is to articulate it and depict it (Rossi et al., 2004). The programme documentation that was reviewed with the purpose of extracting the PfP programme description also detailed PfP's programme theory in narrative form as understood by the programme stakeholders. When a programme's theory is indicated in this way the programme is considered to be based on an articulated programme theory (Rossi et al., 2004).

### **Procedure and data collection**

At the two semi-structured interviews that were held, programme stakeholders were asked:

1. To describe their programme in terms of who they are, what they do and what a potential programme participant will do or experience from the start of the programme to the end of the programme.
2. To provide the evaluator with documentation that describes what the programme is and what it does.

3. To advise on what electronic sources the evaluator could use for further information related to a description of the programme and the programme theory.

The evaluator noted down what was discussed on a note-pad. Using the documentation and electronic sources that the evaluator was referred to, he set about analysing the interview notes and comparing it to these secondary data sources. The interview notes, programme documentation and electronic sources were read and re-read until key concepts were understood. Table 1 identifies the data sources used.

Table 1

*Data Type and Data Source used to Determine PfP's Programme Theory*

Data Type	Data Source
Primary Data	Semi-structured Interviews with: <ul style="list-style-type: none"> <li>• PfP Operations Manager</li> <li>• PfP Stakeholder Engagement Consultant</li> </ul>
Secondary Data	Analysis of: <ul style="list-style-type: none"> <li>• PfP Hard Copy Programme Documentation</li> <li>• PfP Programme Website <a href="http://www.PfP4SA.org">www.PfP4SA.org</a></li> </ul>

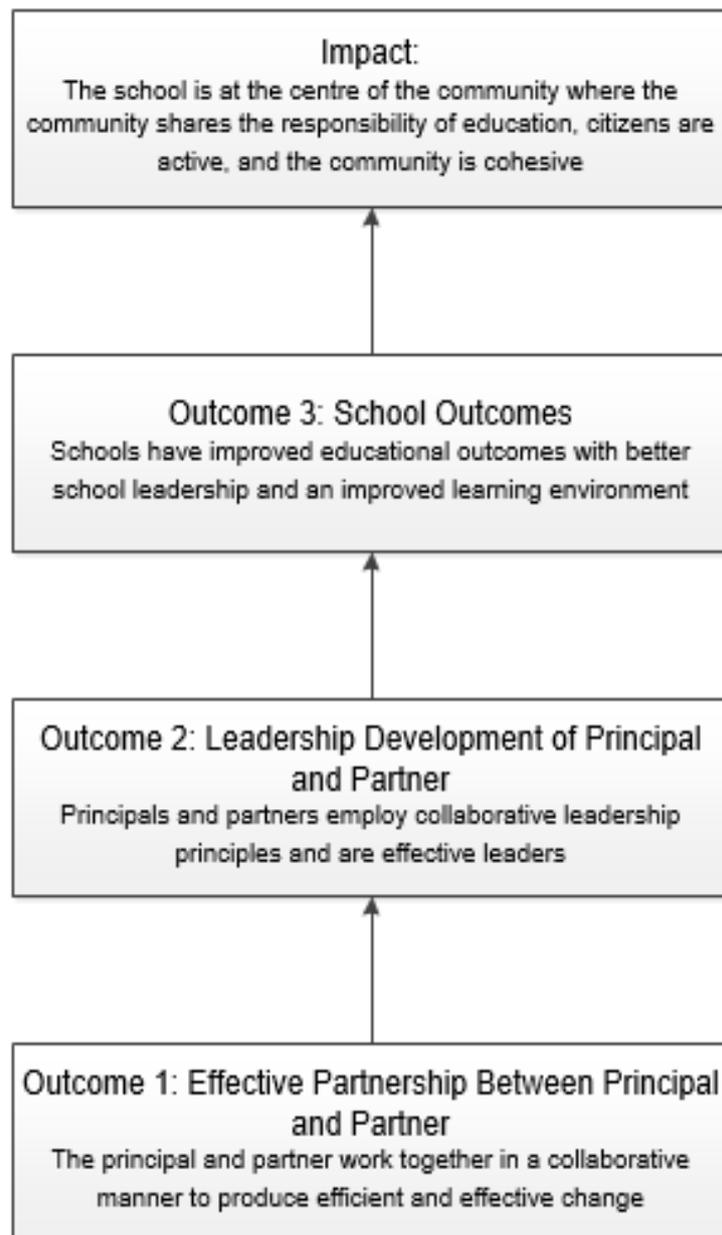
The articulated programme theory of PfP is presented with variation across several programme documents, thus, the semi-structured interviews with PfP stakeholders also served to determine the stakeholder's actual understanding of the programme and to ensure that it is workable for evaluation purposes. Follow-up meetings were held to ensure that the stakeholders accepted the programme theory model reported below. According to Bickman (1987) the evaluator needs to hold meetings with the stakeholders in order to obtain stakeholder concurrence with the programme theory developed. The revised programme theory model was emailed to the interviewees and no objections

were raised and therefore represent the programme stakeholders understanding of how the programme is supposed to work.

All data collection only commenced once approval from the Operations Manager was obtained. The Appendix confirms this agreement.

## **Results**

At the first semi-structured interview with PfP stakeholders, the evaluator was presented with a programme theory model that Impact Consulting had developed with PfP stakeholders in 2013. This model is presented in Figure 2 and formed the starting point from which the evaluator proceeded with this theory evaluation. The evaluator was not involved with the development of the programme theory model depicted in Figure 2.



*Figure 2.* Partners for Possibility Programme Theory

This model, with the aid of the data sources identified in Table 1, was reworked and revised. That is, the evaluator placed this programme theory, as it exists in the minds of the programme staff, to critical scrutiny and was therefore able to extract the following information.

## **Programme description**

### ***Recruitment and selection of programme participants***

Semi-structured meetings with the PfP Stakeholder Engagement Consultant and Operations Manager confirmed that to be considered for the programme all principals must have a 4 year professional qualification and be a full principal of a school (M. Abrahams & A. Maree, personal communication, 2014). According to the PfP Information Pack 2014, principals in their first year as a principal or who are within 3 years of retirement are not considered eligible. Principals from primary schools are targeted; however, those from high schools are accepted onto the programme. PfP aim for a 70%/30% split between primary/junior and secondary/high schools respectively (M. Abrahams & A. Maree, personal communication, 2014).

According to the stakeholders (M. Abrahams & A. Maree, personal communication, 2014), the reason that their recruitment strategy focuses on primary schools is so that learners (who are the ultimate beneficiaries of the programme) benefit from the principals enhanced leadership ability from their first year of primary/junior school. The aim being that by the time these learners enter high school their academic performance levels will be stronger than if their primary school principal had not attended the PfP programme. This strategy addresses one of the causes of poor educational outcomes in under-resourced South African schools as identified by Spaul (2013), which is the lack of early cognitive stimulation.

Schools that achieve less than a 30% pass rate in Grade 7 for primary schools or in Grade 12 for high schools are not considered eligible for the programme. The programme stakeholders stated that the programme uses this as a cut-off point for two reasons: it is the official pass mark as determined by the South African Department of Education (Department of

Basic Education, 2013; Taylor, 2012); the PfP programme do not want to select participants that are performing so poorly that the chances of the PfP programme being successful in such a school are reduced (M. Abrahams & A. Maree, personal communication, 2014). Business leaders must have either a 4 year academic qualification or a minimum of 5 years relevant working experience. Both principal and business leader must commit to the full one-year programme. Both are required to submit an application form and curriculum vitae for consideration. PfP programme staff then assess the applications for principals and business partners that meet the requirements of their recruitment strategy (M. Abrahams & A. Maree, personal communication, 2014).

### ***Programme delivery and content***

The programme requires a commitment of 150 hours minimum over a 12 month period from both the business leader and the principal who go through the programme as a partnership (PfP Information Pack, 2014). According to the PfP Information Pack (2014) the 150 hours consist of the following activities. There are a total of 5 days of structured training made up of the following workshops: Time to Think (1 day); School at the Centre of Community Methodology (3 hours); Flawless Consulting (2 days); and The Language of Leadership – Community Building (2 days).

The workshops make use of the following materials: the Project Leadership guide; training manual for Time to Think and Flawless Consulting workshops; text books and other references. The textbooks consist of: Community: The Structure of Belonging (Block, 2009); Flawless Consulting: A Guide to Getting Your Expertise Used (Block, 2009); Time to Think: Listening to Ignite the Human Mind (Kline, 2002); and The Art of Possibility (Zander & Zander, 2002). Each text book is used for a specific workshop. The theories therein are aligned to the practical experiences of the partnership in their own school,

business and community context. The partnership is expected to read and study these training materials throughout the duration of the programme.

Additionally members of the partnership attend a 2.5 hour long Community of Practice (COP) session every 6 weeks for the duration of the programme. According to the PfP Information Pack (2014), a COP is a group of partnerships who share a concern for education improvement and interact regularly. The COP provides space for the partnership to reflect with, and learn from 8 to 10 other partnerships. The partnership is also required to attend monthly coaching sessions of 1 hour each with the Learning Process Facilitator (LPF) to help the partnership integrate their learning, make use of their experiences and deal with any challenges they may be facing.

Allied to all of this is an experiential learning process that requires two to five hours per month and includes community engagement, collaboration with stakeholders and setting of strategic objectives, which is to enable the partnership to grapple with the actual challenges within their school. On a monthly basis the partnership conduct a reflection and sense-making exercise via the use of journals and monthly reports that document their progress. In sum the programme consists of a series of input sessions (workshops and training), COP sessions and practical application and is largely experiential in design and practice (PfP Information Pack, 2014).

The programme activities and workshops are organised by Symphonia for South Africa staff. This is supported by approved lecturers/facilitators from University of the Western Cape (UWC). Various private and public venues act as the programme sites for the training sessions and workshops – these are generally within close proximity to the schools of the participating principals (M. Abrahams & A. Maree, personal communication, March 13th, 2014). The schools of participating principals host the COP sessions, which are facilitated by the LPF (PfP Information Pack, 2014). Therefore, programme sites are

spread out across South Africa. On successful completion of the programme participants receive certification from UCT.

### ***Programme development***

Since 2013 it is mandatory that all participants who fulfil the requirements of the programme receive a certificate from UWC's School of Business and Finance, which is formally recognized in terms of South Africa's National Qualifications Framework (NQF) – NQF level 6 (M. Abrahams & A. Maree, personal communication, 2014). From the initial pilot intervention in 2010 through to 2012 this certificate was obtainable, however, it was not mandatory during this period (M. Abrahams & A. Maree, personal communication, 2014). Besides the change in status of the certificate no other significant changes have been made to activities since the programme's inception (M. Abrahams & A. Maree, personal communication, 2014).

### **Process theory**

According to Funnell and Rogers (2011), “the uses of programme theory can be grouped into four clusters: planning; management; monitoring and evaluation; and synthesis for evidence-based policy and planning” (p. 58). Funnell and Rodgers (2011) propose that the type of programme theory used should be dependent on who the users are. Different authors and evaluation practitioners advocate for the use of different models for programme theory. However, they are all concerned with developing a programme theory that is plausible and that illustrates how a programme is supposed to work (Bickman, 1987; Davidson, 2005).

A programme's theory consists of two components: the process theory and the impact theory (Rossi et al., 2004). Conversely, Chen's (1990) programme theory model consists of an action model and a change model. Essentially,

the process theory of Rossi et al. (2004) relates to what Chen (1990) terms the action model. Process theory refers to “the combination of the programme’s organisational plan and its service utilisation plan into an overall description of the assumptions and expectations about how the programme is supposed to operate” (Rossi et al., 2004, p. 168). The action model takes contextual and other environmental factors into account that can influence and operate on programme process into account (Chen, 1990).

This theory evaluation makes use of the process theory and impact theory as conceptualised by Rossi et al. (2004). To aid the development of the process theory it is necessary to articulate both the service utilisation and organisational plan.

According to Rossi et al. (2004), the service utilisation plan illustrates how intended participants of a programme will become “engaged with the programme and follow through to the point of receiving sufficient services to initiate the change process represented in the programme theory” (p. 142). The service utilisation plan describes the sequence of events through which a principal is expected to interact with the intended services.

A principal progresses from initial application and recruitment through the various workshops and are supported by on-going support interventions that continue alongside the workshops and after the last workshop has been completed. These support interventions consist of the coaching sessions, Community of Practice (COP) meetings and experiential learning activities that occur throughout the twelve month long PfP programme. These support activities are meant to enable participants to apply the knowledge learnt during the workshops towards the completion of the Partnership Plan. A service utilisation plan that shows how the school principal progresses through the programme is depicted in Figure 3.

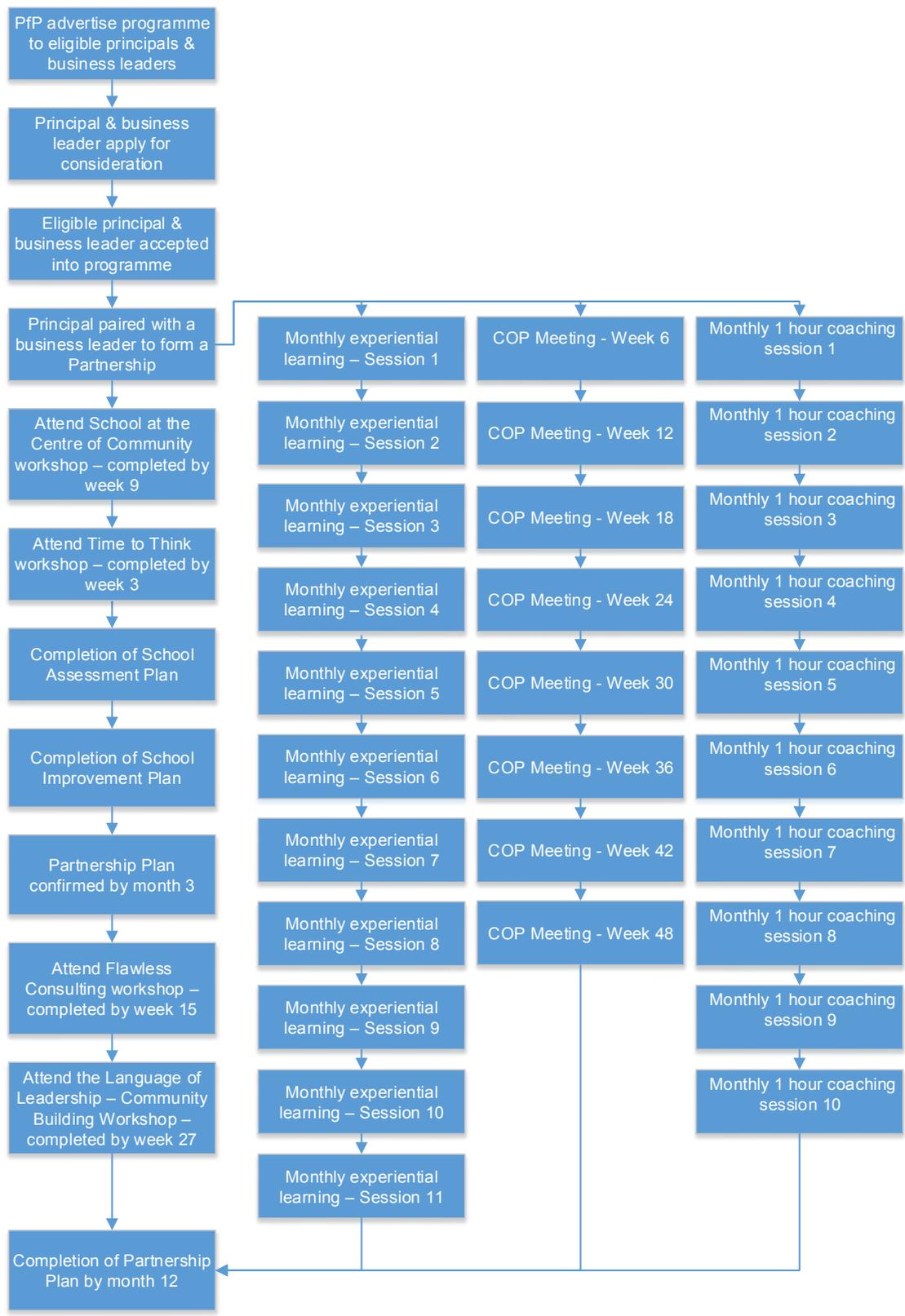


Figure 3. Partners for Possibility Service Utilisation Plan

To complete the process theory an organisational plan for PfP was developed and is depicted in Figure 4. An organisational plan refers to “assumptions and expectations about what the programme must do to bring about the transactions between the target population and the programme that will produce the intended changes in social conditions. The programme’s organisational plan is articulated from the perspective of programme management and encompasses both the functions and activities the programme is expected to perform and the human, financial, and physical resources required for that performance” (Rossi et al., 2004, p. 168). The assumption is that if these activities are carried out in the way specified by the process theory, they ought to lead to the outcomes specified by the impact theory in the following section.

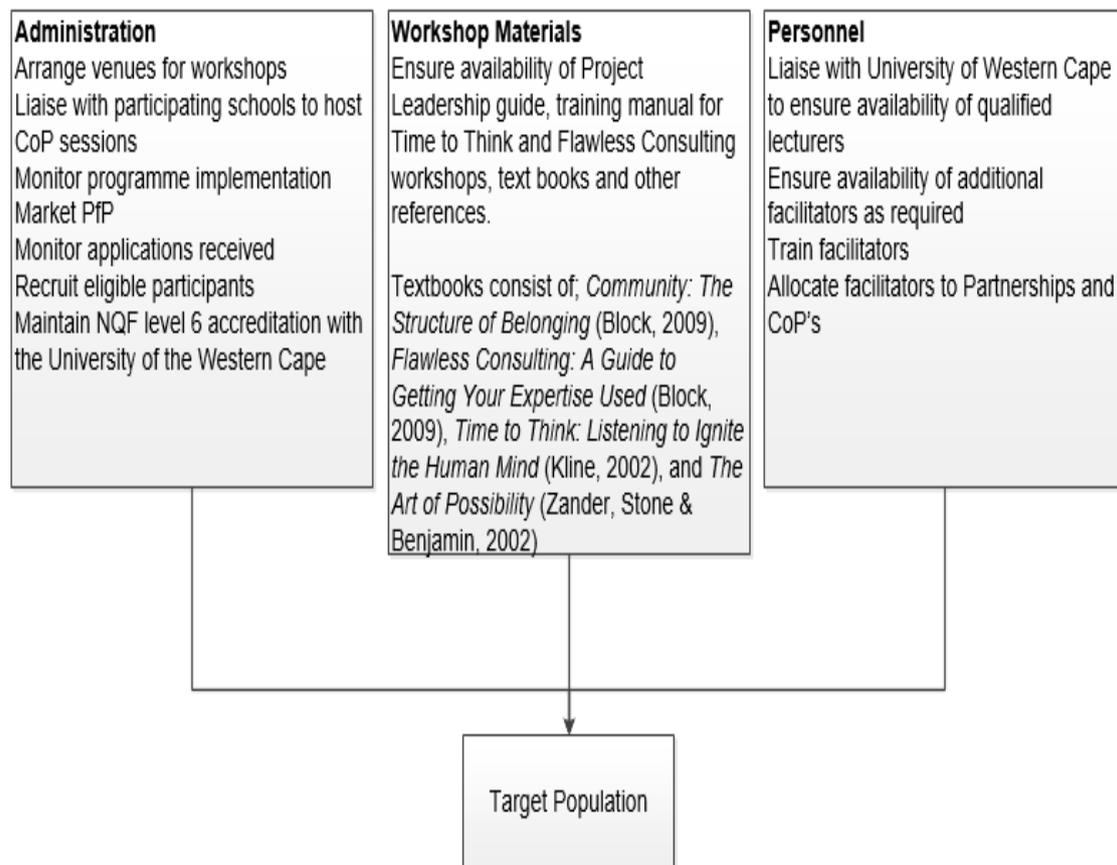


Figure 4. Partners for Possibility Organisational Plan

## **Impact theory**

Impact theory refers to “a causal theory describing cause-and-effect sequences in which certain programme activities are the instigating causes and certain social benefits are the effects they eventually produce” (Rossi et al., 2004, p.168). To illustrate the impact theory, the evaluator developed a revised programme theory, which was presented to and accepted by the programme stakeholders. The revised programme theory is presented in Figure 5. Figure 5 is represented as a log-frame, which is one way of depicting programme theory, other ways of depicting programme theory include Chen’s (1990) change model that incorporates ecological factors while other examples include flow-charts (Davidson, 2005; Funnel & Rodgers, 2011).

With regard to Figure 5, the boxes that fall under Inputs, Activities and Output encompass the process theory, while the Initial, Intermediate and Long-term Outcomes belong to the impact theory. Thus, process theory belongs to the programme stakeholders while outcome theory is concerned with a change in the beneficiary.

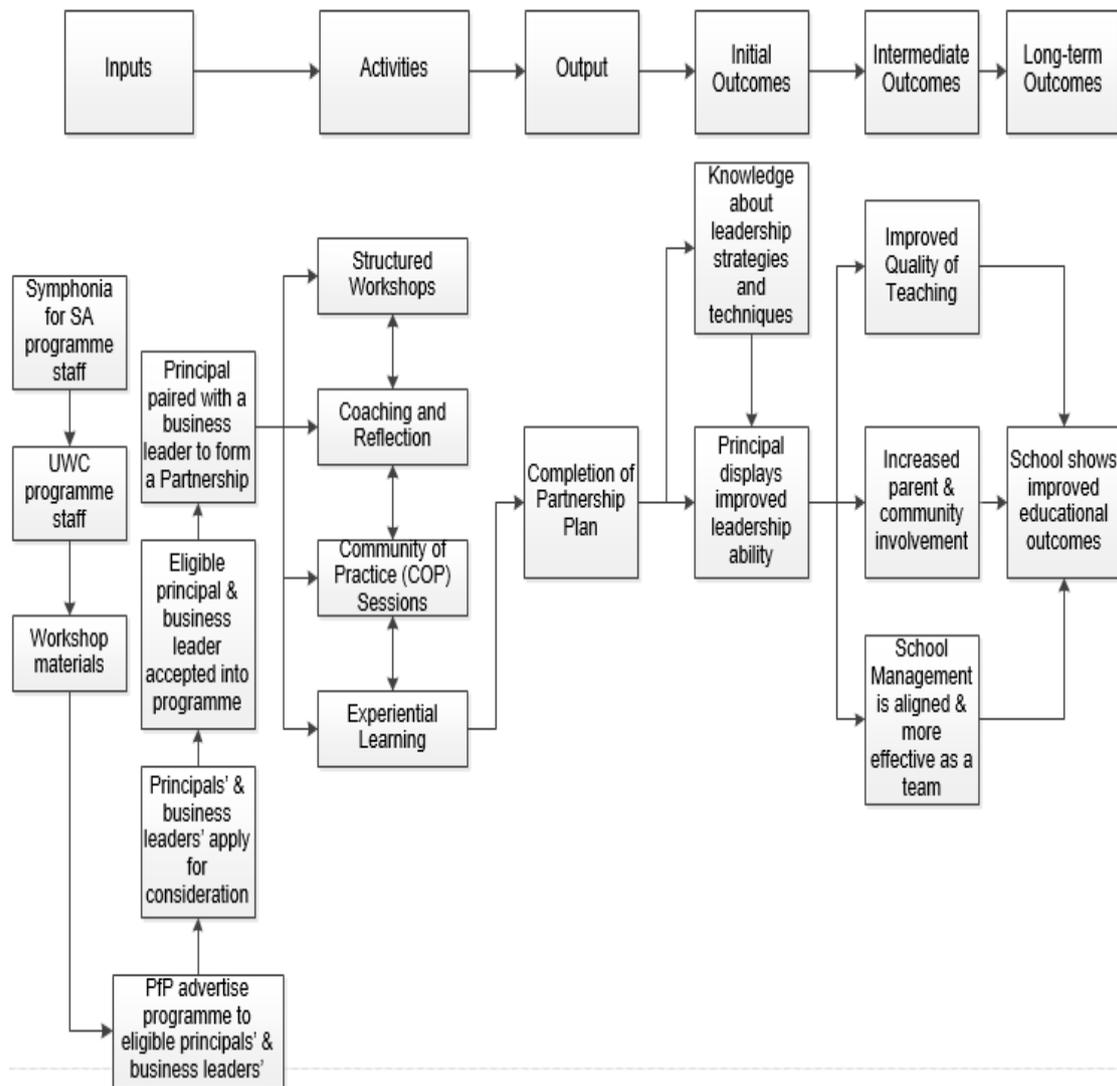


Figure 5. Revised Partners for Possibility Programme Theory

The PfP programme theory assumes the following. If an eligible school principal receives the activities, and participates fully as intended, then this will lead to an effective partnership with their business partner that enables the principal to address the barriers that prevent improved academic performance at their school. An effective partnership between principal and business partner is the key element of the programme's theory, it is the link between PfP's process and impact theory. The basis of the partnership is the

development of a Partnership Plan, progress against which serves to demonstrate effectiveness of the partnership.

The Partnership Plan is unique to each partnership as it is essentially a plan of action based on identified problem areas within a particular school that requires intervention. Each principal could thus have identified different problems, specific to their school, which they deem worthy of including in the Partnership Plan. Each Partnership Plan is developed based upon a School Assessment Plan (SAP) that identifies what is working in the school versus what is not, and a School Improvement Plan (SIP) that is developed through analysing the gaps identified within the SAP. The SAP, SIP and Partnership Plan is completed within the first three months of the programme. Due to the individual nature of each of these plans, it can be expected that the content of these will vary for different participants. However, it is equally likely that there will be a certain degree of similarity as well. Each of these plans will be discussed in more detail in Chapter 4.

The activities (which includes working as a partnership with the business leader) in turn increase the leadership ability and leadership strategies that the principal can confidently utilise.

The principal then uses this gained repertoire of leadership practices to positively affect the quality of teaching, learning and teacher learning (educator development). Ultimately the principal is supposed to work with his educators (i.e. teaching staff) toward creating a more conducive environment in which learners can improve academically. To achieve this, the principal must be able to provide support to teachers by encouraging their development professionally as teachers and by ensuring that curriculum materials such as text books arrive on time, in good condition and in enough quantity. Additionally, the principal must be able to improve the basic functionality of the school by aligning the school management team into a cohesive unit that

operates as a team towards a shared mission and goal. These initial and intermediate outcomes are the proximate results of the programme. It is then assumed in the programme theory that this will lead to the improved academic performance (educational outcomes) of the school.

Essentially, the theory behind PfP's programme theory addresses Chen's (1990) conceptual theory. That is, that further down the results chain the increases in leadership ability of the principal will lead to better academic performance of the school. Therefore, the leadership ability of the principal (an initial outcome) and his or her application of it, is expected to directly result in the intermediate outcomes. The intermediate outcomes are assumed to act as the mediators that will lead to the long-term outcome.

Ultimately the PfP programme theory is the conceptualisation of what must be done to bring about the intended social benefits in the target school population (Rossi et al., 2004). Programmes rarely exercise direct control over the social conditions they are expected to improve; they must generally work indirectly by changing some critical but manageable aspect of the situation, which, in turn, is expected to lead to more far-reaching improvements. Once the PfP programme has been rolled out to all eligible schools the theory assumes that the quality of educational outcomes in South Africa will improve.

## **Plausibility of Programme Theory**

Using the revised programme theory depicted in Figure 5, this part of the chapter answers the evaluation question: Is PfP's programme theory plausible?

### **Introduction**

According to Rossi et al. (2004), "one aspect of evaluating a programme, is to assess how good the programme theory is – in particular, how well it is formulated and whether it presents a plausible and feasible plan for improving the target social conditions" (p. 134). A programme based on an implausible theory will not work and will result in theory failure – that is it will prevent a programme from achieving its outcomes (Rossi et al., 2004).

One way to establish the plausibility of the programme theory is by reviewing literature and evaluations that are relevant to the programme whose theory is being evaluated (Rossi et al., 2004). The following literature review seeks to determine what the evidence is that leadership development programmes for school principals are effective in improving the educational achievements of students. This will be used as a basis for determining if PfP's programme theory is plausible.

### **Method**

The search for literature consisted of three methods. Firstly, online databases that consisted of peer-reviewed articles and abstracts were perused. A systematic search of the following online databases was conducted for relevant literature: Google Scholar; EBSCO Host; Academic Search Premier and JSTOR. Secondly, the University of Cape Town (UCT) library was also searched for relevant journals, books and chapters in books. For both the

online database and UCT library search, the key words used were: leadership programmes; educational leadership programmes; meta-analysis; school; principals; leadership and evaluation. Only peer-reviewed articles and abstracts were considered. Due to the volume of results these searches produced, the search parameters were further refined to only include search results from the year 2000 to present. The ideal to review the most recent literature available on the topic also drove this decision.

The search results were analysed for relevant titles and abstracts. The number of citations attributed to a particular piece of literature allowed the search to identify the more prominent scholars and researchers. Google Scholar provides a service that indicates the number of times a particular article has been cited. The reference list of articles written by prominent scholars and researchers were analysed and informed further searches of relevant literature. The titles of articles listed in these reference lists were searched for using the online databases mentioned. This was the third method utilised for the literature search.

Only studies that were directly related to school leadership and leadership development programmes for school principals were selected. These were identified by titles that contained these words or phrases. The twelve studies used for the literature review all attempted a review of existing research, a meta-analysis or an actual study of the link between educational development research and improved student achievement. The only exception was one article that related to leadership research and theory more broadly. Literature from a South Africa perspective could not be located.

There was one comparative study of the creation of national programmes of school leadership development in England and New Zealand that was excluded from this review. This study was excluded as it focused on the contextual factors specific to each country and how these have shaped the

need for school leadership development training. It does not attempt to assess the merit or worth of a specific intervention. Another article was also excluded as it formed the foundation work of a subsequent meta-analysis that has been used in this literature review.

## **Results**

According to Chemers (2000), leadership is defined as “a process of social influence in which one person is able to enlist the aid and support of others in the accomplishment of a common task” (p. 27). Internationally, there is a growing trend towards holding school principals accountable for the student educational achievements of their schools based on the belief that a student’s success or failure is determined by the way a school is run (Witziers, Bosker, & Kruger, 2003). For this reason government policies globally are investing in leadership development programmes aimed at improving the leadership skills of school principals (Bush, 2009).

Interestingly, although there is no evidence of the South African government funding PfP, the programme has been endorsed by Trevor Manuel who is the Minister in the South African Presidency in charge of the National Planning Commission as well as the current South African Minister of Finance (PfP Information Pack, 2014). Other notable endorsements of PfP have come from the current Rector and Vice-Chancellor of UWC and the University of the Free State as well as from Dr Mamphela Ramphele who was previously Vice-Chancellor of the University of Cape Town (UCT) (PfP Information Pack, 2014). Endorsements of this nature, from individuals that are able to influence policy, is a possible indication that South Africa may follow the trend towards investing in leadership development programmes for school principals.

The attraction of leadership development programmes is based on the assumed understanding that it can and will lead to both school improvement

and improved learning outcomes despite the limited empirical evidence to back this up (Bush, 2009). However, irrespective of this limited empirical evidence, there is research that has shown that an important characteristic of effective schools is the quality of the educational leadership, with emphasis on the leadership capacity of the principal (Hallinger, 2003; Leithwood, Day, Sammons, Harris, & Hopkins, 2006; Witziers et al., 2003). Here already is evidence that PfP's targeting of a school's principal as the mechanism through which to improve a schools educational outcomes is justified. The terms "improved learning outcomes", "student educational achievement" and "academic performance" is used interchangeably throughout.

Davis, Darling-Hammond, LaPointe, and Meyerson (2005) conducted a review of existing research and literature and report that the evidence suggests that school leadership, of which principals are central, strongly affects student educational achievement. Researchers go on to report that the leadership capability of a school's principal comes in second to classroom instruction in terms of its positive effects on student learning (Davis, et al., 2005; Leithwood et al., 2006; Leithwood & Riehl, 2003). This finding ties in with the revised PfP programme theory where one of the expected intermediate outcomes is the *Improved Quality of Teaching* (which is concerned with classroom instruction).

"Consistency in the way concepts are operationalised is not the strongest feature of leadership research" (Witziers et al, 2003, p. 406). However, two predominant strands of conceptual models of educational leadership have come to the fore within the empirical research into educational leadership, namely, instructional and transformational leadership (Hallinger, 2003; Leithwood & Jantzi, 2006; Robinson, Lloyd, & Rowe, 2008; Witziers et al., 2003). Instructional leadership is defined as focusing on the "direct coordination, control, and supervision of curriculum and instruction" (Hallinger, 2003, p. 330). Transformational leadership is defined as focusing on the indirect, which is to say that it is concerned with developing a shared vision

and commitment to school change (Hallinger, 2003; Leithwood & Jantzi, 2006). Thus, it is evident that these conceptual models drive different types of leadership intervention. For instance, PfP presents itself as a transformational leadership programme (PfP Information Pack, 2014), yet deeper analysis reveals that the PfP programme contains aspects that are associated with the instructional leadership model as well - this will be discussed later.

It is therefore to PfP's advantage if the programme is explicit and aware of the conceptual models of instructional and transformational leadership underlying its activities. The programme documentation does not explicitly state that it is, however, in the PfP UWC methodology document that programme stakeholders provided the evaluator with it states that the theoretical base of the programme "is rooted in leadership, management and community development theories with specific application to a South African context" (M. Abrahams & A. Maree, personal communication, 2014).

The conceptual models of instructional and transformational leadership are related to what Witziers et al. (2003) refer to as the direct and indirect effect models. The direct effects model relates to instructional leadership and the indirect effects model relates to transformational leadership. Essentially the direct effects model is aimed at affecting improved student learning in the classroom via a principal's actions whereas the indirect effects model explains that a principal's contribution to improved educational outcomes is mediated via teachers, organisational and cultural factors (Witziers et al., 2003). In the meta-analysis conducted by Robinson et al. (2008), they found that the effect size of instructional leadership on student educational achievement was as much as four times that of transformational leadership.

Leithwood and Jantzi (2006) tested the effects of a school-specific model of transformational leadership on teachers, their classroom practices and improvements in student achievement. This study employed the use of

surveys that measured all the variables within their self-designed framework. They obtained results that showed few effects on student achievement but significant effects on a teacher's classroom practices. In other words, although no direct link was shown for student educational achievement there was a strong link between the principals' leadership and the teachers' performances, and it is the teachers' performance that could be better shown to improve student learning. Therefore, the principal's contribution was mediated via the teachers – an indirect effect. This is a positive finding for PfP for the following reason. If the revised programme theory (see Figure 5 on p.34) is implemented as planned, we can see that the intermediate outcome *Improved Quality of Teaching* acts as one of the mediator's between the initial outcome *Principal displays improved leadership ability* and the long-term outcome *School shows improved educational outcomes*.

According to Witziers et al (2003) there is no conclusive evidence linking educational leadership to improved student outcomes. However, the small effect size that their meta-analysis concluded does indicate that when considering that this is measured in terms of one individual (i.e. the principal) affecting numerous students, then the small effect size multiplied by the number of affected students is indeed a good indicator of the effectiveness of leadership programmes for principals on student outcomes. Robinson (2007) in her meta-analysis of relevant literature presents evidence, and advocates the position, that a leader's (such as the principal) proximity to and direct involvement (instructional leadership) in their schools core business (teaching and learning) are linked to improved learning outcomes.

With regard to negatives associated with leadership development programmes, the following two cautions were sounded. Firstly, if a principal uses his or her newly enhanced leadership ability to affect the wrong types of changes (within classroom practices for instance) and the principal selects inappropriate leadership practices for their schools problems, then this can

lead to negative consequences on student educational achievement (Waters, Marzano, & McNulty, 2003).

Waters et al. argue that it is therefore important for principals to understand their schools context and the problems within them that form barriers to improved student educational achievement. This understanding, coupled with appropriate leadership development, can guide principals to understand what they need to know and how to proceed with the implementation of appropriate practices and strategies (Waters, et al., 2003). Essentially, this points to the idea that a leadership development programme should be flexible and be able to incorporate aspects of both the instructional and transformational leadership models. As previously discussed, the PfP programme requires that participants develop a SAP and SIP, which both then inform the development of the Partnership Plan. These plans satisfy the requirement that Waters et al. (2003) argue for, in that they encourage participating principals to think about and understand their schools context and the problem areas within them, prior to determining the strategies that they will use to address them.

Secondly, Brundrett and Dering (2007) sound the following caution related to the very source of where educational leadership development programmes are, in the main, modelled on. That is, educational leadership development models for school principals draw on conceptions of leadership and leadership development models that are or were conceptualised for business organisations (Brundrett & Dering, 2007). There are schools of thought that view this as a precarious flirtation “with market-driven ideologies” that weaken the social aspect of education (Brundrett & Dering, 2007; p. 90). This caution essentially forces one to question whether an intervention like PfP’s leadership development programme is the right type of intervention to affect the poor educational outcomes problem in South Africa.

Chemers (2000) counters this school of thought by claiming that there are distinct functions that all leaders need to fulfil in order to be successful. These distinct functions can be summarised as: the ability to build credibility in the legitimacy of his or her authority; develop relationships with subordinates that result in individual and collective goal attainment; and the ability to deploy “the knowledge, skills and material resources present within their group to accomplish the group’s mission” (Chemers, 2000, p. 37). Leithwood et al. (2006) concur with this claim by reporting that their review of relevant literature enabled them to make seven strong claims about successful school leadership with one of them being that the majority of “successful leaders rely upon the same repertoire of basic leadership practices” (p. 6).

This repertoire can be organised into “four categories: building vision and setting directions; understanding and developing people; redesigning the organisation; and managing the teaching and learning programme” (Liethwood et al, 2006, p. 6). This suggests that the development of the Partnership Plan that forms part of the PfP programme theory should take cognisance of this repertoire when the partnership decides on what the plan should consist of.

Robinson et al. (2008) argue that this repertoire needs to be adapted to focus on the knowledge and skills that principals require in their efforts to improve the quality of teaching, learning and teacher learning. If this can be achieved by an educational leadership development programme then the association between educational leadership development programmes and improved student achievements will be shown to be stronger than they currently are (Robinson et al., 2008). Leithwood and Riehl (2003) also conclude that one of the necessities of improved educational outcomes is when school leadership is focused on teaching and learning. This corresponds with what Robinson (2007) had to say on the same aspect of educational leadership development programmes that is mentioned earlier. Again, this is encouraging for PfP, due

to the fact that one of their identified intermediate outcomes identified in the programme theory is *Improved Quality of Teaching*, and as already mentioned this outcome is mediated by the principal's leadership ability (see Figure 5 on p. 34). It is implicit within this outcome that there would need to be a focus on teaching and learning in order to attain this outcome.

The literature provides mixed evidence, in terms of significant statistical effect sizes, that leadership development programmes for principals directly result in improved student achievement (Davis et al., 2005; Leithwood et al., 2006). However, there is greater consensus and empirical evidence that leadership development programmes can and do improve the leadership skills of principals, and it is this increased leadership capacity of principals that can both directly and indirectly lead to improved student achievement (Robinson et al., 2008).

The literature indicates that it is not so much a question of if leadership has an effect on student achievement, no matter how weak or strong the link is according to different researchers, but how best to design educational leadership programmes for principals and the implementation of them (Waters et al., 2003). Following on from this, the literature raises important questions pertaining to how best to measure and define the variables of the research design used to evaluate such programmes. This speaks directly to the conceptual problem mentioned earlier. The way forward for future research, as suggested by some of the authors (Davis et al., 2005; Leithwood et al., 2006), would be to evaluate existing educational leadership programmes so as to try and determine exactly what is the most effective programme design an educational leadership programme should use.

An educational leadership development programme for school principals that incorporates the instructional conceptual model of leadership and that can focus its activities in a context specific, direct manner would appear to stand a

greater chance of improved student educational achievements. Should the context call for dimensions of leadership more associated with the transformational leadership model then this needs to be embraced.

By reviewing the programme description and programme theory of PfP, it is evident that the programme makes provisions (whether intentionally or not) for both leadership models. By incorporating both conceptual models, this makes the PfP programme theory plausible according to the literature. This is evident within the intermediate outcomes specified in the programme theory. The practical component of PfP, involves the development of an action plan, which is specific to the individual school, and the principal is expected to work through this over the duration of the programme. This satisfies the literature's requirement that PfP focuses its activities to the individual context.

The transformational leadership development model is embodied by the programme's focus on the school management, parents and community by developing a shared commitment and vision for the school amongst these stakeholders. The Instructional model is best exemplified by PfP's focus on improving the quality of teaching and by its large practical component.

## **Discussion**

This section discusses the results of the first two evaluation questions as it pertains to the PfP programme. This discussion is mapped against the functions of programme theory as espoused by Bickman (1987).

### **Functions of programme theory**

As emphasised by Bickman (1987), a clear programme theory performs a number of important functions for an evaluation that were listed at the start of this chapter. Of these, the most important functions that the PfP programme

theory has served during this evaluation has been: identification of the problem and the target group; specifying intervening variables and clarifying measurement issues; and improving consensus formation (Bickman, 1987).

### ***Identification of the problem and the target group***

This function has been very relevant to PfP as the programme positions and markets itself as targeting both principals and business partners as the mechanism through which to solve the poor educational outcomes of under-resourced South African schools. During initial discussions with stakeholders it became apparent that they were also preoccupied by what the programme could do for business partners. By actually developing and depicting a revised programme theory it is now clear that the target group are principals and that they are the lever through which the programme is attempting to improve the educational outcomes of under-resourced South African schools.

The programme theory enabled stakeholders to clarify for themselves, and the evaluator, that the business partners are in fact part of the process theory. In other words, stakeholders are not interested in the changes (outcomes) brought about in the business partners or how they benefit. They are interested in the benefits the principals obtain. The business partners are part of delivering the service (i.e. business partners are part of the process theory).

### ***Specifying intervening variables and clarifying measurement issues***

By specifying the intervening variables (see intermediate outcomes in Figure 5 on p. 34) and depicting the causal links between the operations of the programme, its activities and its initial, intermediate and distal outcomes (i.e. long-term outcomes), the programme theory allowed the evaluator to develop and choose measures that are valid for the programme. By disaggregating the

outcomes in this way, the evaluator could select measures applicable to each outcome.

This became especially apparent during the initial programme theory development stages when early drafts of the programme theory only identified improved leadership ability of the principal as the proximate outcome that somehow led to the distal outcome of improved education outcomes of the school. At this stage the more the evaluator and the stakeholders thought about possible indicators that could measure this initial outcome it became apparent that there were mediating variables that could be added to a revised programme theory as intermediate outcomes. There was consensus amongst stakeholders for this.

Once these intermediate outcome variables were added to the programme theory it became easier to identify indicators that could be measured for the initial and intermediate outcomes. For instance, by identifying increased parent and community involvement as an intermediate outcome it was possible to identify attendance rates at parent-teacher meetings as one of the measures of this outcome.

This particular function is of importance, as it is the fulfillment of this function that enables the evaluator to assess if the available programme data (if any) is relevant and of suitable quality in order for an outcome evaluation (or any other type of evaluation) to proceed.

### ***Improving consensus formation***

The importance of this function ties in with the identification of the problem and the target group function. The programme theory was developed in collaboration with PfP stakeholders and took into account their perspectives. In doing so it not only helped them and the evaluator to understand the limits

of the programme but also enabled us to set more realistic expectations of what the evaluation is to achieve. For instance, the evaluation does not set out to measure the effect of the programme on business leaders, and nor should it, when it has been confirmed they do not form part of the problem or the target group.

By obtaining consensus amongst stakeholders during development of the programme theory it also strengthened its acceptability amongst programme staff that were not actually present during its initial development. For instance, the Operations Manager that was part of the programme theory development vacated the post and was replaced. The new Operations Manager accepted the programme theory as is. This may not have been the case if the evaluator took on full responsibility for the programme theory development. In other words, if the evaluator developed the programme theory without the feedback of programme stakeholders it would have been likely that it would not reflect what the programme actually does as understood by the programme. Such a development would jeopardise the utilisation of the evaluation findings by the programme stakeholders.

### **Aspects of the programme theory that were supported and broke down**

In terms of the programme theory and its plausibility, all aspects are supported by the results of the literature review. This is especially so in terms of the way in which PfP has been structured to incorporate both the instructional and transformational leadership models into their programme activities. Neither the programme stakeholders nor the programme documents were clear on whether or not the programme designers were aware of these terms and whether they intentionally structured the programme with these models in mind, however, the programme documentation does state that the

theoretical base of the programme activities take cognisance of leadership theories.

Despite PfP's programme theory being deemed plausible, the evaluator's ability to identify which aspects were supported versus which aspects broke down in terms of programme implementation and outcomes, have been hampered by the unavailability of systematic performance monitoring data. This is an important requirement for any future process or outcomes evaluation. The unavailability of systematic performance monitoring data will be expanded on in the following chapter.

## **Chapter 4**

### **Monitoring and Process**

#### **Programme Process Monitoring**

Using the results of the theory evaluation in Chapter 3 and bearing in mind Wholey's (2004) third proposition (see Chapter 2), this chapter addresses the evaluation question: What PfP programme monitoring data is available?

In connection with this broad question, the following sub-questions are addressed:

1. What data is the programme collecting?
2. How is this data being collected?
3. What is the quality of the data?
4. Does the programme have a monitoring system?
5. If a monitoring system exists, does the monitoring system map onto the process theory?

#### **Introduction**

Programme monitoring is concerned with tracking programme implementation and outcomes over time and involves regular data collection that is on-going and it is ultimately used to track results (Kusek & Rist, 2004, Louw-Potgieter, 2012). Programme process monitoring is ultimately about recording how a programme is being implemented and typically "involves one or both of two domains of programme performance: service utilisation and organisational functions" (Rossi et., 2004, p. 199). Thus, the results of this chapter will be assessed in relation to the PfP service utilisation plan and organization plan that the evaluator developed in Chapter 3.

Monitoring is important as it enables both the PfP programme stakeholders and the evaluator the opportunity to verify that proper utilisation of programme resources are occurring and that inputs are transformed via the activities into the expected outputs as articulated by the PfP programme theory.

## **Method**

Similar to the methods used for the theory evaluation in Chapter 3, the methods available to evaluators in order to obtain data and to understand what monitoring system a programme is or is not using, is to review the evaluand's programme documents, the evaluand's programme records and to interview key programme stakeholders (Babbie & Mouton, 2001; Davidson, 2005; Rossi et al., 2004). Hesse-Biber and Leavy (2011) emphasise that a semi-structured interview is a qualitative method of inquiry whereby the researcher prepares a set of open-ended questions before the interview. The aim of which is to prompt further discussion that can lead to follow-up questions that are dependent on each interviewees responses to the initial questions.

### **Procedure and data collection**

Two face-to-face semi-structured interviews were held with the first PfP Operations manager and PfP Stakeholder Engagement Consultant.

Furthermore, a series of semi-structured interviews were also conducted telephonically with the PfP Operations Manager. These telephonic semi-structured interviews probed for further information that was based on the answers provided during the face-to-face interviews. A semi-structured interview was also conducted telephonically with an external academic who is considered a knowledgeable expert on the PfP programme. The external academic was interviewed in order to gain further insight into the way that the

PfP programme uses and maintains their monitoring system. Table 2 summarises the data type and data source used to determine the availability of PfP’s programme data.

Table 2

*Data Type and Data Source used to determine the Availability of PfP’s Programme Data*

Data Type	Data Source
Primary Data	Semi-structured Interviews with: <ul style="list-style-type: none"> <li>• PfP Operations Manager</li> <li>• PfP Stakeholder Engagement Consultant</li> <li>• External Programme Expert</li> </ul>
Secondary Data	Analysis of: <ul style="list-style-type: none"> <li>• PfP Programme Records</li> <li>• PfP Programme Documentation</li> <li>• PfP Impact Survey results</li> </ul>

Each semi-structured interview conducted throughout this study, whether face-to-face or telephonic, was approached with a set of topics that the evaluator had pre-selected. For the purpose of this chapter, the topic that is relevant is the question of data availability and quality. Data availability refers to the ease with which data is accessible (Hare & Guetterman, 2014). For instance, is the data spread out in paper format across multiple programme sites or is it centrally captured within an electronic database. Data quality, refers to the requirement that “data must be accurate, complete and consistently represent actual performance to be useful for evaluation” (Hare & Guetterman, 2014, p. 23). Thus, data quality can be viewed as the extent to which the available data accurately tracks actual programme implementation.

The guiding questions that framed the semi-structured interviews with PfP programme staff were:

1. Do you have data of the performance of the programme participants?
2. With regard to question 1, do you have data from before and after the programme?
3. Is this data on a central electronic database?
4. What data is available in hard-copy?
5. If electronic and hard-copy data exists can it be made available to the evaluator?

The answers to these questions prompted further questions and discussion that enabled the evaluator to answer the evaluation question: What PfP programme monitoring data is available?

## **Results and Discussion**

After a thorough analysis of the secondary data listed in Table 2 and of data obtained from the semi-structured interviews the following results were obtained.

### **Monitoring system**

The semi-structured interviews with the Operations Manager and Stakeholder Engagement Consultant made it clear that PfP have designed a monitoring system that is meant to enable them to track programme implementation and performance. At these interviews they discussed what their monitoring system consisted of. After the interviews, upon request from the evaluator, the PfP Operations Manager emailed the evaluator electronic documents of the various monitoring tools that they had designed and it is evident that these were in line with what was discussed at the interviews. These electronic copies were blank and consisted of no actual data. The evaluator was assured that actual data would be made available once the data collection

phase of the evaluation was due to commence. Table 3 lists what the PfP monitoring system is made up of.

Table 3

*PfP Monitoring Tools*

Monitoring Tool	Type of Data Collected
1. School Assessment Plan (SAP)	Five-level Likert scale measuring the basic functionality of the school
2. School Improvement Plan (SIP)	Aspects of the school that can or need to be improved
3. Partnership Plan	Identifies aspects within the school that the partnership will aim to improve
4. Quality of Relationship Questionnaire	Five-level Likert Scale measuring the quality of relationship between principal and partner
5. Monthly Feedback Report	Qualitative data in the form of notes taken by the LPF of each Partnership
6. Activity Monitor Template	Participation in all programme activities
7. Quality of Relationship Template	Results of the Quality of Relationship questionnaires

Source: PfP programme documents

The SAP serves as a baseline against which to compare the outcomes of the Partnership Plan and the SIP is developed through analysing the gaps identified in the SAP. The SIP informs the development of the Partnership Plan. Both the SAP and SIP measure variables using a Likert scale. Progress with the Partnership Plan is tracked using the Activity Monitor Template. The SAP, SIP and Partnership Plan are completed by the principal in collaboration with the business leader and LPF. These are finalised by month three of the programme. The development of the Partnership Plan is in line with what is specified within the Service Utilisation Plan (see Figure 3 on p. 31). As previously mentioned, due to the individual nature of the SAP, SIP and Partnership Plan, it is expected that the content of these will vary for different

participants. However, it is equally likely that there will be a certain degree of similarity as well, due to the stated recruitment strategy of targeting principals of under-resourced schools.

Using the electronic copies of the various monitoring tools that were emailed to the evaluator as source material, each of the monitoring tools listed in Table 3 will now be described in further detail below. Where possible the evaluator will discuss if it maps to the programme theory developed in Chapter 3.

### ***School assessment plan***

The SAP is a hard-copy form that uses a Likert rating scale where participants rate variables associated with the basic functionality of the school. The ratings that participants are able to select from are from 0 to 5. The full list of these ratings and their meaning are presented in Table 4.

Table 4

*School Assessment Plan Ratings and their Meaning*

Rating	Meaning
0 – Insufficient evidence	Not possible to give a rating
1 – Needs urgent support	Well below average, very low standards and quality of provision
2 – Needs Improvement	Below average
3 – Acceptable	Broadly typical, average, satisfactory, in line with general expectations
4 – Good	Above average, high standards and quality of service delivery
5 – Outstanding	Very good, excellent, much higher than normal

Source: PfP programme documents

Using the ratings presented in Table 4, participants must rate various variables associated with what the PfP programme terms the basic functionality of the school. Each variable consists of statements that a participant must rate. The basic functionality of the school variables and the statements that are associated with each variable are listed below:

1. The smoothness with which the school runs
  - Appropriate and implemented policies, procedures and duty lists
  - Willingness of staff to implement policies and procedures consistently
  - Impact of policies and procedures on learners
  - Extent to which the school addresses transformational goals
  
2. Effectiveness of procedures for absence, late-coming and truancy
  - Extent to which registers are kept up to date and are monitored
  - Attendance rate of learners
  - Learners' punctuality
  - Attendance rate and punctuality of educators
  
3. Responses by learners, contributing towards positive ethos
  - Learners' interest in their work
  - How keen are learners to make progress?
  - Do learners like or dislike their school?
  
4. The behavior of learners
  - Behaviour in lessons
  - Learners' behavior around the school
  - Respect learners show educators, peers and others
  - Learners' contribution towards positive learning environment

- Respect learners show for school furniture, equipment and premises

Each bullet-point represents a statement against which each participating principal must assign a rating using the 0 to 5 rating scale for their particular school. The SAP is meant to be completed at the initial meetings between principal and the business partner that they are partnered with. As per the process theory that was extracted and developed in Chapter 2, this must happen within the first three months. Following on from this, the monitoring system that PfP has designed requires that the partnership complete a SIP.

### ***School improvement plan***

The SIP must be completed after the completion of the SAP. The data obtained via the SAP informs the completion of the SIP. Essentially the assessments made in the SAP are used by the principal and his/her partner to decide on what school performance areas require the most attention.

The SIP consists of fifteen school performance areas. The principal in collaboration with their business partner need to determine what the school's needs and priorities are in relation to each of these school performance areas. The school performance areas of the SIP are presented in Table 5.

Table 5

*List of School Performance Areas of the School Improvement Plan*

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School Performance Area
1. School Vision
2. School Mission
3. Evaluation
4. Strategic
5. Basic Functionality of the School
6. Leadership Management and Communication
7. Governance and Relationships
8. Quality of Teaching and Learning and Educator Development
9. Curriculum Provisions Resources
10. Learner Achievement
11. School Safety, Security and Discipline
12. School Infrastructure
13. Parents and Community
14. School Provides Curriculum Resources
15. School provides Teacher Development through the Integrated Quality Management System (IQMS) processes

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Source: PfP programme documents.

As with the SAP, the SIP is meant to be completed at the initial meetings between principal and the business partner that that they are partnered with. However, it must be remembered that this only occurs after the completion of the SAP. As per the process theory that was extracted and developed in Chapter 2, this must happen within the first three months. Following on from this, the monitoring system that PfP has designed requires that the partnership develop the Partnership Plan.

***Partnership plan***

As reported on in the results section of Chapter 3 and at the beginning of this results section, the Partnership Plan is unique to each partnership. The formulation of the Partnership Plan is based upon the school assessments that the principal (in collaboration with their partner) completes via the SAP and SIP. As per the revised programme theory, the Partnership Plan forms a key part of the process theory. Therefore the need to monitor development

and completion of it is critical for any evaluation of PfP. Examples of what a Partnership Plan could consist of is presented in Table 6.

Table 6

*Examples of Objectives and Action Plans for a Partnership Plan*

Objective	Action Plan
1. To review school vision and mission	<ul style="list-style-type: none"> <li>• To review vision and mission with educators, learners and parents</li> </ul>
2. To motivate and develop educators to achieve higher quality of teaching	<ul style="list-style-type: none"> <li>• To initiate conversation with educators regarding their needs</li> <li>• To implement team building and development sessions</li> </ul>
3. To increase the level of parental involvement in the school	<ul style="list-style-type: none"> <li>• Involve parents in producing new vision for the school</li> <li>• To hold a community building event for parents and educators in order for them to get to know each other and to hear each other's views</li> </ul>
4. To develop field at back of school as play ground	<ul style="list-style-type: none"> <li>• To come up with fund raising plan to facilitate this development</li> </ul>

Source: PfP programme documents

The Partnership Plan is essentially the plan for the practical component of the PfP programme. This plan is the mechanism through which programme stakeholders and an evaluator is able to determine if the programme activities (e.g. the workshops) are leading to the expected output, which is the completion of the Partnership Plan. Progress towards completion of the Partnership Plan is also the barometer against which it can be assessed if the principal is able to apply the knowledge gained from attending the four workshops specified in the process theory.

The objectives and their associated action plans is what the partnership work towards achieving for the duration of the programme. In terms of the process theory, the Partnership Plan needs to be agreed upon and completed before the end of the third month of the programme. Progress of the Partnership Plan is reviewed at month six and month nine during the monthly coaching session

with the partnerships LPF. The developed service utilisation plan accommodates this. If updates are required then these are made at the month six and nine intervals. In month twelve the overall progress is assessed.

### ***Quality of relationship questionnaire***

The Quality of Relationship questionnaire is a hard-copy form which is administered by each partnership’s LPF at the month 3, 6 and 9 monthly coaching sessions. This maps onto the service utilisation plan (see Figure 3 on p. 31) in terms of activities that the principal must progress through (i.e. they must be partnered with a business leader). It uses a 5-level Likert scale to rate criteria linked to four dimensions. The ratings and their meanings are listed in Table 7.

Table 7

*Quality of Relationship Ratings and their Meaning*

Rating	Meaning
1	Unsatisfactory
2	Needs improvement
3	Acceptable
4	Better than expected
5	Outstanding

Source: Programme documents

Using the ratings presented in Table 7, participants must rate various dimensions associated with measuring the quality of a business partner’s relationship with the principal that they serve as a partner to. Thus, the Quality of Relationship Questionnaire is completed by the business partner and represents their perspective of the principal that they are partnered with. Each dimension consists of statements that a business partner must rate. The dimensions and the statements that are associated with each dimension are listed below:

### 1. Genuineness of relationship

- My principal and I have mutual respect for one another
- I feel that there is equality and balance in our relationship
- I believe that my principal truly cares about me
- I believe my principal feels a sense of commitment to me

### 2. Effective communication

- My principal is a good listener
- My principal is easy to talk to
- My principal is effective at communicating with me
- My principal is available to speak or meet with me twice a month

### 3. Comfort with relationship

- I feel that my principal and I have a shared vision and mission
- I feel at ease talking about with my principal about my job performance
- I am content to discuss my concerns or troubles with my principal
- I feel that I have a collaborative relationship with my principal
- My principal delivers on their commitments

### 4. Facilitating development

- My principal helps me to identify and build upon my strengths
- My principal and I exchange information and knowledge
- My principal enables me to develop as a business person
- My principal engages in activities that unlock my potential
- My principal is capable of giving and receiving constructive feedback

Each bullet-point represents a statement against which each participating business partner must assign a rating using the 1 to 5 rating scale for their

particular principal. The questionnaire also allows for open-ended comments to be made.

### ***Monthly feedback report***

This monitoring tool is completed on a monthly basis by the LPF after each coaching session that the LPF conducts with the partnership. Neither the principal or the business partner actually completes anything on this report, it is purely the LPFs observations. The data is qualitative in nature in that it describes what the LPF observes of the partnership during the monthly coaching sessions. The monthly report also lists reminders to the LPF that there are important monitoring milestones that need to be adhered to. These reminders refer to the Quality of Relationship Questionnaire, SAP, SIP and Partnership Plan. In terms of the process theory, this is an important monitoring tool as it tracks participation in the monthly coaching sessions.

### ***Activity monitor and quality of relationship templates***

The Activity Monitor Template is designed as an excel spreadsheet that indicates attendance and participation in the coaching sessions, training workshops, partnership meetings, COPs and submission of monthly reports. Using a Likert rating scale it also measures the partnerships contribution during the COPs and tracks progress of the Partnership Plan. The template makes provision for the capturing of data related to: starting date of the programme for each partnership; city in which the school is located; name of principal; name of business partner; name of school and name of LPF assigned to a partnership.

The results of the Quality of Relationship questionnaires are recorded in the Quality of Relationship Template, which is also designed as an excel database. The template makes provision for the capturing of data related to:

starting date of the programme for each partnership; city in which the school is located; name of principal; name of business partner; name of school and name of LPF assigned to a partnership.

The completion of the monthly feedback report, SAP, SIP, Partnership Plan and Quality of Relationship Questionnaire are supposed to be overseen and facilitated by the LPF of each partnership. It is the LPFs responsibility to ensure that this data is submitted to the central PfP Monitoring and Evaluation team so that this data can be captured and tracked in the Activity Monitor Template and the Quality of Relationship Template. The central Monitoring and Evaluation team, which is overseen by the Operations Manager, are responsible for capturing data in the Activity Monitor and Quality of Relationship Templates.

### **Data availability**

During the semi-structured interviews, the Operations Manager used the Activity Monitor Template to answer very specific questions that the evaluator asked with regard to participation per cohort. For instance, the Operations Manager was able to state that 15 schools in the Western Cape had completed the programme in 2011, 28 in 2012 and 23 in 2013 (A. Maree, personal communication, 2014). Additionally, the Operations Manager was able to state that a total of 29 schools across all the South African provinces had completed the programme in 2011, 53 in 2012 and 68 in 2013 (A. Maree, personal communication, 2014). At random intervals during the interview the Operations Manager showed the evaluator this data on her personal laptop.

By the time the evaluator requested access to the Activity Monitor database and the other monitoring tools, the evaluator was informed that these were not available. At the time of this request in July 2014, there was staff turnover at the Operations Manager level that had preceded this request. The new

Operations Manager was not part of the semi-structured interviews that produced the results reported by this study for the programme description, programme theory and what the PfP monitoring system consisted off.

A series of follow-up meetings were held with the new Operations Manager wherein the evaluator informed her of what had transpired over the course of the evaluation up until that point. To aid these meetings, the evaluator sent the new Operations Manager an electronic copy of the work completed up to that point. There were no objections or disagreements raised with regard to the programme description, programme theory and description of what the evaluator expected the data sources to be. The only obstacle that was raised concerned the availability of the data (L. Hendey, personal communication, 2014).

Despite repeated and lengthy attempts, between the end of July 2014 and the month of August 2014, the new Operations Manager was unable to retrieve the expected data from within the PfP organisation and neither from the previous Operations Manager (L. Hendey, personal communication, 2014). By the end of August 2014 it was confirmed that the requested programme records does not exist and was not available. Where data did exist the evaluator was informed that databases were not as systematically maintained as the evaluator had originally anticipated and that which the evaluator was expecting to receive based on the original interviews with the previous Operations Manager (L. Hendey, personal communication, 2014). The Operations Manager confirmed that where hard-copy did exist, it was at programme sites around South Africa and not in a central repository (L. Hendey, personal communication, 2014).

This revelation was the trigger event that led the new Operations Manager initiating a PfP designed and administered survey. The purpose of this survey was to enable the PfP management to begin the process of populating their

monitoring database and more importantly to provide them with data so that they could report back to their funders. The evaluator was assured that he would be sent the results of the survey as a compensation for the unavailability of the expected monitoring data (L. Hendey, personal communication, 2014). The evaluators finding that the existing PfP monitoring system was not systematically maintained was reinforced by this development. For instance, if the monitoring system had been maintained then the survey may not have been necessary.

### **PfP impact survey**

The survey was distributed in mid-September 2014. The data from the results of the PfP survey was only made available to the evaluator in the final week of October 2014. In addition to this the evaluator was also provided with a list of principals that had participated in the programme since 2010. This list of principals was also only made available to the evaluator in the third week of October 2014 despite requests for this data to be made available since July 2014. This list was emailed to the evaluator in Excel format and contained the names of 146 principals, the name of the school they were affiliated to and their contact numbers.

The PfP Operations Manager distributed their survey to all the principals in this list. PfP programme stakeholders requested that the evaluator not make any attempts to conduct interviews with the principals as they were concerned that this could discourage the principals from responding to their survey and therefore reduce the response rate that they receive (L. Hendey, personal communication, 2014). The list of school names is presented in Table 8, for ethical reasons the names of the principals and their contact details have been excluded.

Table 8

*Participant Schools*

School
1. A.F Louw Primary School
2. Alexandra High school
3. Alpha Primary School
4. Asteri Primary School
5. Bardale Primary School
6. Bechet Secondary School
7. Bergville Primary School
8. Bertrams Junior (Primary) School
9. Bishop Lavis High School
10. Bishop Lavis Primary School
11. Blackheath High School
12. Blackheath Primary School
13. Blossom Street Primary School
14. Bolkgantsho Primary School
15. Bovet Primary School
16. Bramley Primary School
17. Bridgetown High School
18. C.L Wilmot Primary School
19. Capricorn Primary School
20. Centurion College (Primary and High School Grades are offered)
21. Cloetesville High School
22. Diepsloot Primary School
23. Discovery Primary School
24. Dr Knak Primary School
25. Dr Mathole Motshekga Primary School
26. Drake Koka Primary School
27. Dryden Street Primary School
28. Durban Heights Primary School
29. Edward Primary School
30. Ekwandeni Primary School
31. Elkanah House Senior Primary School
32. Eqinisweni Secondary School
33. Fairmount High School
34. Fisante Kraal Secondary School
35. Gansbaai Primary School
36. Gideon Rambuwani Primary School
37. Glenhazel Primary School
38. Gordon Primary School
39. Greenlands Primary School
40. H.A. Jack Primary School
41. Harold Cressy High School
42. Hawston Primary School
43. Hazendal Primary School
44. Heathfield High School
45. Heathfield Primary School
46. Heideveld Primary School

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47. Hillside Primary School
  48. Hodisa Technical Secondary School
  49. Inkwenkwezi High School
  50. Iphuteng Primary School
  51. Ipirelezenzele Comprehensive High School
  52. Isaac Makau Primary School
  53. Ithute Primary School
  54. John Ramsay Secondary School
  55. JS Klopper Primary School
  56. Kannemeyer Primary School
  57. Kenmere Primary School
  58. Khanyanjalo Primary School
  59. Kleinberg Primary School
  60. Koeberg Primary School
  61. Lavendar Hill Secondary
  62. Lawrencia Primary School
  63. Lekhulong Secondary School
  64. Letsibogo Secondary School
  65. Lynedoch Primary School
  66. Macassar Primary School
  67. Makgatho Primary School
  68. Mambo Primary School
  69. Marconi Beam Primary School
  70. Marine Primary School
  71. Masiyile Senior Secondary School
  72. Matroos Holy Trinity Primary
  73. Mayibuye Primary School
  74. Molaetsa Primary School
  75. Morris Isaacson High School
  76. Mveledzo Primary School
  77. Norwood Primary School
  78. Nozala Intermediate (Grade 7 to 9) School
  79. Nsimbini Primary School
  80. Nyameko Primary School
  81. Observatory Girls Primary
  82. Ocean View School for Learners with Special Educational Needs (LSEN)
  83. Okkie Smuts Primary School
  84. Opelweg Primary School
  85. Orifile Primary School
  86. Oude Molen Academy of Science and Technology (High School)
  87. Paradise Bend Primary School
  88. Parkwood Primary School
  89. Pelican Park Primary School
  90. Perivale Primary School
  91. Prince George Primary School
  92. Princess High School
  93. Progressive Primary School
  94. Protea South Primary School
  95. Puladifate Primary School
  96. Qhayiya Secondary School
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97. Rainbow Primary School
  98. Ravensmead High School
  99. Rembrandt Park Primary School
  100. Rippon Primary School
  101. Sediba sa Thuto Primary School
  102. Sikhethuxolo High School
  103. Simon's Town High School
  104. Sindawonye Primary School
  105. Siphosethu Primary School
  106. Sophakama Primary School
  107. Spurwing Primary School
  108. St Augustine's Roman Catholic Primary School
  109. St Bernards High School
  110. St Idas Primary School
  111. St John's Roman Catholic Primary School
  112. St. Andrew's School for Girls (Primary and High School Grades are offered)
  113. St. Vincent Primary School
  114. Steenberg High School
  115. Steenberg Primary School
  116. Stellenzicht High School
  117. Stoneridge Primary School
  118. Sullivan Primary School
  119. Surrey Primary School
  120. Symphony Primary School
  121. Thabang Primary School
  122. Thabo Secondary School
  123. Thandolwesizwe Secondary School
  124. The Grove Primary School
  125. The Hill High School
  126. The Valley Primary School
  127. Thembani Primary School
  128. Thomas Wildschutte Junior Primary School
  129. Tirisano-Mmogo Junior Secondary School (Grades 7 to 9 are offered)
  130. Tlakukani Primary School
  131. Trevor Manuel Primary School
  132. Tshwelopele Secondary School
  133. Tygerhof Primary School
  134. Uitsig Primary School
  135. Uitzig Secondary School
  136. W.D. Hendricks Primary School
  137. Wave Crest Primary School
  138. Webnerstreet Primary School
  139. Westcott Primary School
  140. Westlake Primary School
  141. Yeoville Boys Primary School
  142. Yeoville Community (Primary) School
  143. Zandspruit Primary School
  144. Zenzeleni Primary School
  145. Zikwaba Public (Primary) School
  146. Zwelihle Primary School
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The survey design was not informed by the monitoring system reported on in this chapter. The survey questions were mainly designed to elicit responses from participants that gauged their perceptions on how they believe the programme benefitted them. Therefore, much of the data that it produced was not suitable or of sufficient quality for a process evaluation or even for the outcome evaluation that was originally requested by the programme stakeholders. However, using the list of principals in Table 8 some comment can be made with regard to target population and coverage.

### ***Target population and coverage***

Target Population is defines as “the unit (individual, family, community, etc.) to which a programme intervention is directed” (Rossi et al., 2004, p. 65). Coverage “refers to the extent to which participation by the target population achieves the levels specified in the programme design” (Babbie & Mouton, 2001, p. 346; Rossi et al., 2004, p. 183). As has been pointed out in the programme description, the target population for the PfP programme is principals from under-resourced South African schools and PfP estimate that there are approximately 19 000 schools that fit this criteria. Based on the list of 146 participating schools in Table 8, the following assessment can be made in terms of the PfP programme theory. Table 9 presents a comparison of school type

Table 9  
*Comparison of School Type*

School Type	Number of respondents	Percentage of respondents
Primary/Junior	107	73.3%
Secondary/High	34	23.2%
Intermediate (Grade 7 – 9)	2	1.4%
Combined (Grades 1 – 12)	3	2.1%
Total	146	100%

PfP have reached 146 schools thus far, 73.3% represents the number of participating primary or junior schools since the programme was rolled out, including the one pilot in 2010. This is very closely aligned to what is stipulated in the process theory in terms of recruitment and selection, which is that the PfP programme aim for a 70% intake of primary/junior schools versus a 30% intake of high/secondary schools. The percentage of high/secondary schools that have participated is at 23.2%, which is not that far off the 30% level that PfP aim for.

In addition to this, the PfP survey did provide some data that does allows the evaluator to further assess aspects concerned with target population and coverage.

In total 65 principals out of 146 responded to the survey by the time results were sent to the evaluator. Of the 65, 17 responses were excluded from the following assessment of target population and coverage as these responses were incomplete. Therefore, the PfP survey responses of 48 principals are assessed in relation to target population and coverage.

The PfP survey results were emailed to the evaluator in excel format and the evaluator used this software to conduct analysis. The name of the school, name of principal, province that the school is from, name of LPF, name of business partner and participation year represents the only survey data that the evaluator was able to extract for the purposes of commenting on target population and coverage. In the actual survey principals were asked to provide the name of their business partner and the name of their LPF. This data represents self-reported data from each principal and is reported on in Table 10. For ethical reasons the name of each principal, LPF and business partner is excluded from Table 10.

Table 10  
*Survey Data*

School	Province	Business Partner assigned	LPF assigned	Year
1. Bardale Primary	Western Cape	Yes	Yes	2012
2. Bergville Primary	Western Cape	Yes	Yes	2012
3. Blackheath Primary	Western Cape	Yes	Yes	2012
4. Blossom Street Primary	Western Cape	Yes	Yes	2012
5. C.L Willmot Primary	Western Cape	Yes	Yes	2012
6. Centurion College	Gauteng	Yes	Yes	2013
7. Dryden Street Primary	Western Cape	Yes	Yes	2012
8. Edward Primary	Western Cape	Yes	Yes	2013
9. Eqinisweni Secondary	Gauteng	Yes	Yes	2013
10. H.A Jack Primary	Gauteng	Yes	Yes	2013
11. Harold Cressy High School	Western Cape	Yes	Yes	2013
12. Hazendal Primary	Western Cape	Yes	Yes	2012
13. Heathfield High School	Western Cape	Yes	Yes	2011
14. Heathfield Primary	Western Cape	Yes	Yes	2011
15. Isaac Makau Primary	Gauteng	Yes	Yes	2013
16. Kannemeyer Primary	Western Cape	Yes	Yes	2010
17. Kenmere Primary	Western Cape	Yes	Yes	2013
18. Khanyanjalo Primary	KwaZulu Natal	Yes	Yes	2013
19. Lawrencina Primary	Western Cape	Yes	Yes	2012
20. Lynedoch Primary	Western Cape	Yes	Yes	2012
21. Makgatho Primary	Gauteng	Yes	Yes	2013
22. Marconi Beam Primary	Western Cape	Yes	Yes	2013

23. Nyameko Primary	Western Cape	Yes	Yes	2012
24. Observatory Girls Primary	Gauteng	Yes	Yes	2012
25. Okkie Smuts Primary	Western Cape	Yes	Yes	2012
26. Oude Molen Academy of Science and Technology	Western Cape	Yes	Yes	2011
27. Perivale Primary	Western Cape	Yes	Yes	2012
28. Princess High School	Gauteng	Yes	Yes	2012
29. Puladifate Primary School	Gauteng	Yes	Yes	2013
30. Rainbow Primary	Western Cape	Yes	Yes	2013
31. Sikhethuxolo High School	KwaZulu Natal	Yes	Yes	2012
32. Simon Town School	Western Cape	Yes	Yes	2011
33. Sophakama Primary School	Western Cape	Yes	Yes	2013
34. St Augustine's RC Primary	Western Cape	Yes	Yes	2012
35. St John's RC Primary	Western Cape	Yes	Yes	2013
36. St Bernard's High School	Free State	Yes	Yes	2013
37. Steenberg High School	Western Cape	Yes	Yes	2012
38. Steenberg Primary	Western Cape	Yes	Yes	2013
39. Stoneridge Primary	Gauteng	Yes	Yes	2012
40. Sullivan Primary	Western Cape	Yes	Yes	2013
41. Symphony Primary	Western Cape	Yes	Yes	2013
42. Thandolwesizwe Secondary	KwaZulu Natal	Yes	Yes	2013
43. The Grove Primary	Western Cape	No	Yes	2012
44. Thembani Primary	Western Cape	Yes	Yes	2013
45. Tlakukani Primary	Gauteng	Yes	Yes	2013
46. Westcott Primary	Western Cape	Yes	Yes	2013

47. Yeoville Boys Primary	Gauteng	Yes	Yes	2011
48. Zikwaba Public School	Eastern Cape	Yes	Yes	2014

Data in Table 10 indicates that all principals were assigned a LPF and all except one was partnered with a business partner. Further analyses of this data is presented in Table 11 below, which reveals that the programme has been rolled out predominantly in the Western Cape, followed by Gauteng and KwaZulu Natal. The Free State and Eastern Cape each are represented once.

Table 11

*Survey Respondents by Region*

Region	Number of respondents
Eastern Cape	1
Free State	1
Gauteng	11
KwaZulu Natal	3
Western Cape	32
Total	48

Table 11 shows that more work needs to be done in order to spread the coverage of the PfP programme to the other provinces.

## **Chapter 5**

### **Conclusion**

#### **Contribution to Knowledge**

This study adds to the body of knowledge on how the evaluability assessment approach can be used to extract and assess a programme's theory and to determine if programme data is both available and of evaluable quality. Importantly, the study has done this for a leadership development programme for school principals in the South African context where there is a paucity of literature to this effect.

#### **Limitations**

The first and main limitation of this study was the unavailability of data. The evaluation originally set about planning for an outcomes evaluation with the understanding that it was possible to obtain relevant performance monitoring data. The evaluator found that this data was not available and was informed that the PfP monitoring system was not as systematically maintained as originally informed.

Secondly, by the time the lack of data was confirmed by programme staff it left the evaluator with limited time to make alternate arrangements for data collection. For instance, the evaluator requested permission and assistance from the programme to try and arrange interviews with a sample of principals that has completed the programme. However, it was not possible to conduct interviews with principals for two reasons: (1) a list of principals that participated in the programme was only made available to the evaluator in mid-October; (2) programme staff requested that the evaluator should not arrange interviews with principals as they did not want this to negatively affect

the response rate of the PfP designed survey that they distributed to principals in September.

Thirdly, the evaluator received data from the responses to this survey at the end of October. This did not allow enough time for data cleaning and analysis. Additionally, the survey was designed by PfP for the purpose of reporting to their funders and as such the majority of the data that it produced was not of sufficient quality for a process or outcomes evaluation.

## **Recommendations**

In light of the finding that the PfP monitoring system is not as systematically maintained as it should be the following recommendations are suggested.

Firstly, all programme staff involved in the administering of the various monitoring tools must take responsibility for monitoring programme implementation via the system as it is currently designed. Where there is staff turn-over, especially at managerial level (as was the case half-way into this study), it is vital that policies and procedures are in place to ensure minimal disruption to the maintenance of the monitoring system.

Additionally, a thorough hand-over must be provided to the incoming employee so that as much of the knowledge that the departing employee has, can be transferred to the incoming employee. This is important because as McShane and Von Glinow (2007) point out, “much of an organisation’s intellectual capital is the knowledge that employees carry around in their heads, so high turnover can result in a significant loss of organisational memory” (p. 27).

Secondly, the evaluator was informed by an external expert who is knowledgeable of the PfP operation, that PfP do not have a formalised

relationship with the regional or national Departments of Education. When the evaluator questioned PfP programme stakeholders about this they said that the Department of Education knew about the programme, however, they did not confirm whether a formalised relationship/partnership exists (M. Abrahams & A. Maree, personal communication, 2014). Assuming that this means no formal relationship exists, for the sake of sustainability, and good practice, it is suggested that PfP make attempts to build a co-operative agreement or partnership with provincial and national education departments. This may enable the programme to speed up the roll-out of the programme so that they can reach the coverage levels specified by the programme theory.

Thirdly, with regard to the monitoring system. Although the organisational plan developed as part of the process theory already makes provision for monitoring programme implementation, PfP may need to plan for additional physical and human resources that can be allocated in the organisational plan to ensure that paper based monitoring data and electronic monitoring data are managed and maintained efficiently. If this is not done it will compromise both the evaluator's and programme management's ability to gain access to records on programme delivery. Systematically maintained data and records on programme delivery is a necessity not only for evaluation purposes but also for programme management to be able to track how their inputs are transforming into outputs.

Fourthly, previous points have recommended what the PfP programme can do to improve the monitoring aspect of their work. If use of the existing monitoring system is systematically improved then it is recommended the next evaluation of the programme be a process evaluation. A process evaluation can determine whether the programme is being delivered as intended to the target recipients (Davidson, 2005; Rossi et al, 2004). Additionally, a process evaluation can determine what failed, when it failed and to what extent it failed (Rossi et al, 2004). Essentially, a process evaluation will enable evaluators of

any future outcome evaluations to identify the causal sequence that led to, or did not lead to, any outcome.

## **Conclusion**

Although the PfP programme ideally wanted an outcome evaluation that could provide answers as to how successful, or not, they are in addressing their outcomes, this study has shown that there are certain evaluability requirements that need to be met before such an undertaking can proceed. Using the evaluability assessment approach, this study assessed three of the four requirements that need to be met before a programme can be considered ready for a process or outcome evaluation.

Firstly, it conducted a theory evaluation that consisted of two components: (1) it extracted and developed an agreed upon programme theory with programme stakeholders; and (2) it assessed the plausibility of this programme theory. The theory evaluation concluded that the programme theory is plausible due to the design of the programme activities incorporating aspects associated with both the instructional and transformational leadership development models.

The third evaluability requirement is concerned with the availability of relevant performance data. The results of the investigation into this found that this data was not available. By addressing the question, what type of PfP monitoring data is available, this investigation did determine that the programme has designed a monitoring system that effectively maps onto the process theory that was developed as part of the theory evaluation. It is strongly recommended that the programme staff implement and make use of their monitoring system. If the programme staff do this then a process evaluation can take place in order to determine if the programme is implemented with fidelity.

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