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University of Cape Town



School of Management Studies

Assessing the usability of the 2006 Process Evaluation of a Grant-making Organisation's Enhancement of Capacity Programme.

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

Faculty of Commerce

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COMPULSARY 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 have been attributed, cited and referenced.

Signature: _____

Date: _____

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EXECUTIVE SUMMARY

Evaluations can only be effective if evaluators provide clients with improvements that are easy to understand, implement and fit their needs. Often evaluation recommendations are not used because these factors are overlooked once the evaluation has been completed. This evaluation assessed whether the client used the evaluation improvements recommended to them by evaluators. It presents a follow-up evaluation to a Process Evaluation conducted in 2006 on a Grant-making Organisation's Capacity Building Programme. It focuses on the Enhancement of Capacity Programme which is a core training programme within the Capacity Building Programme of the Grant-making Organisation. Furthermore this evaluation provides a programme description, a programme theory and a plausibility assessment of the programme theory.

Evaluation questions were formulated that aimed to answer whether clients use the improvements suggested to the by evaluators. The current evaluation used the 2006 Process Evaluation to document the suggested improvements to the programme and develop the Process Evaluation Questionnaire. In addition, this evaluation provided a review of evaluation use literature. This particular review formed the basis for the Evaluation Use Questionnaire.

The Programme Manager completed the Process Evaluation Questionnaire and the results showed that the majority of improvements suggested by the 2006 Process Evaluation were implemented. This was verified by programme documents indicating these improvements. Furthermore it was found that the Grant-making Organisation made changes to the programme that were not part of the original improvements suggested by the 2006 Programme Evaluation.

The Evaluation Use Questionnaire was completed by the Programme Manager and the Author of the 2006 Process Evaluations. The results showed that although both had

positive perceptions of the use of the 2006 Process Evaluation, the Author's perceptions were significantly more positive than those of the Programme Manager. This is understandable in the light of the self-report data used in the questionnaire and the vested interest the Author might have experience regarding the use of the 2006 Process Evaluation.

These results contradict literature on evaluation use which suggests that clients do not use the improvements suggested to them by evaluators. Reasons for this may be the nature of the 2006 Process Evaluation (a process evaluation with a number of easily implementable improvements rather than a theory, outcome or impact evaluation which might have suggested a more radical overhaul of the programme). Other reasons for the high use of the 2006 Process Evaluation were consistent with aspects of evaluation use that key authors such as Mark and Henry (2003), Patton (1997), Kirkhart (2003) and Rossi, Lipsey and Freeman (2004) have suggested.

This evaluation has provided a unique case study for evaluation use in South Africa. It will enable future evaluators with guidelines to explore utilisation-focused evaluation in different contexts and discover moderating variables for evaluation use within a South African context.

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CHAPTER ONE

INTRODUCTION

Grant-making agencies across the world that provide funding to non-government organisations (NGOs) require that these organisations demonstrate that they are sustainable. This requirement is a means of assurance to funders that the funds that they provide to NGOs for social projects are being used in a socially responsible way. The United Nations and World Bank have set standards of sustainability that NGOs need to demonstrate and adhere to before they are even considered for funding (Jordan & Van Tuijl, 2006). These standards are seen as the benchmark and pre-selection criteria for funding by other grant-making organisations and funders across the world as well. The Paris Declaration of Aid Effectiveness is an international treaty that also requires that NGOs demonstrate that the projects that they operate are sustainable, transparent and effective (Tandon, 2008).

The South African government has passed legislation that is in line with this. The Not-for-Profit Organisations (NPO) Act of 1997 also requires that NPOs operating in South Africa demonstrate transparency, sustainability and accountability (Department of Social Development, 2001). In South Africa some community-based organisations (CBOs), NGOs and NPOs increasingly find themselves in a position where they do not meet the funding criteria set by donors and funders alike. Hence, there is a need to demonstrate to NGOs, CBOs and NPOs what they need to do in order to meet funding criteria. The Enhancement of Capacity Programme (EOC) is a training initiative that aims to address this need. It is run by a Grant-making Organisation.

The aim of this evaluation is to examine whether the recommendations of a process evaluation conducted in 2006 on the same Enhancement Capacity Programme have been implemented. Furthermore, this evaluation aims to assess whether additional changes have been made to the programme which were not included in the 2006 process evaluation. Finally, this evaluation explores whether evaluation usage can be improved by applying models of use as suggested by programme evaluation authors.

Programme description

The Enhancement of Capacity Programme is a training programme that aims to provide grassroots CBOs, NGOs and NPOs with the knowledge and skills that will allow them to function better as organisations and meet the funding criteria set by the Grant-Making Organisation. It forms part of a broader Capacity Building Programme that the organisation offers. It was developed and implemented in 1994 as a response to the emerging needs of grassroots CBOs that were eligible to apply for funding but did not meet the funding criteria set by grant-makers and funders alike. The programme consists of a three day training course. The course is divided into six modules. These modules are presented in Table 1 provided below.

Table 1

Course Modules and Learning Outcomes of the Enhancement of Capacity Programme.

Course Modules	Outcomes
Grant application	<ul style="list-style-type: none"> • Understand and implement the criteria for application • Understand the grant management process
Organisational sustainability	<ul style="list-style-type: none"> • Understand and implement principles of good governance • Understand the legal requirements needed to demonstrate organisational sustainability • Practise the necessary HR skills needed to run a small organisation • Understand and apply the various functions of management
Social sustainability	<ul style="list-style-type: none"> • Understand the importance of accountability and community participation • Develop and implement community fundraising initiatives
Financial sustainability	<ul style="list-style-type: none"> • Demonstrate an understanding of the importance of financial sustainability • Understand and apply basic book keeping skills • Understand and apply realistic budgeting • Understand and apply accounting controls • Understand and apply auditing
Making it happen	<ul style="list-style-type: none"> • Demonstrate how to draft and formulate a business plan • Demonstrate how to draft and formulate a grant proposal • Demonstrate how to complete a grant application
Impact sustainability	<ul style="list-style-type: none"> • Demonstrate measures to monitor, track and evaluate the impact of social programmes/initiatives run by NPOs

The course material is presented by six facilitators. Each facilitator presents one module of the course. They facilitate these sessions in a training room, with a classroom type setting. The course runs from 8:15 am to 4:30 pm. Each training day is divided into four

sessions, and makes provision for three interval periods. The materials used to facilitate the sessions include a white board, training manuals, application forms and class notes. The course is presented in English. The class size ranges from 40-60 participants. A training manual is given to each participant at the end of the course.

The participants who attend the Enhancement of Capacity Programme consist of programme staff from NGOs, CBOs and NPOs. Initially it only included programme staff from grassroots CBOs. As the course evolved, it started to include programme staff from NGOs, CBOs, NPOs and other grant-making organisations. There are no official selection criteria for attending the programme. Preference is given to individuals coming from NGOs and CBOs that: did not meet the funding criteria set by the Grant-Making Organisation, are applying for the first time, have not yet received funding and those organisations that form part of the Department of Social Development's (DSD) capacitation programme. However, grant applications are only open to those NPOs that are applying for funding from the social development sector. At the end of the course participants receive a certificate of participation. Figure 1 below shows how the programme is implemented over a 12-month period.

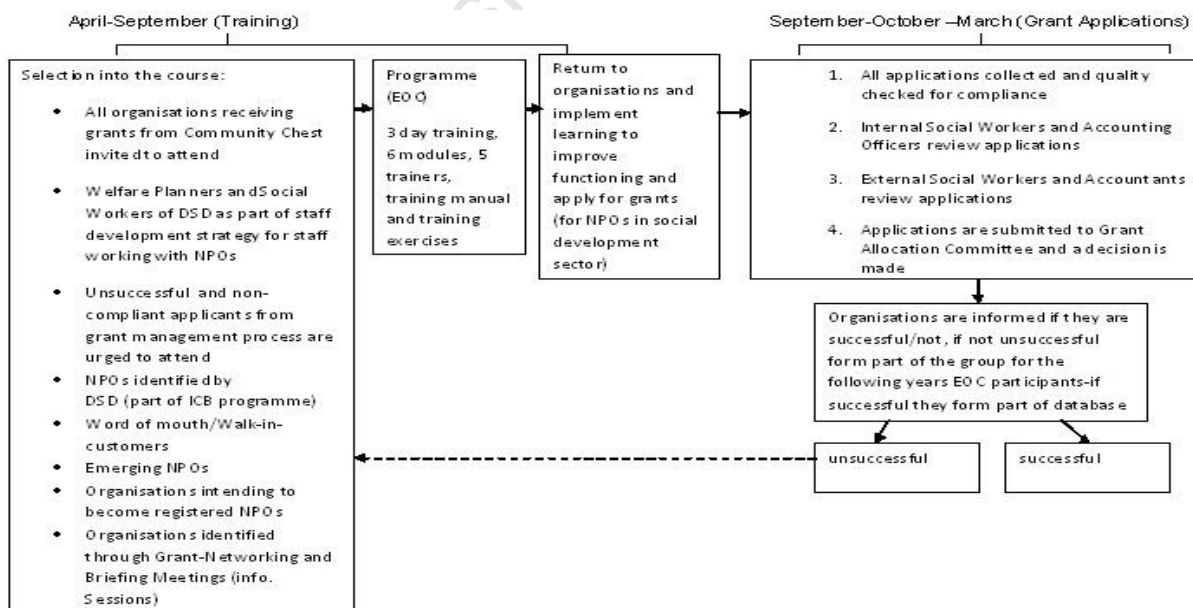


Figure 1. Service utilisation plan of the Enhancement of Capacity Programme.

Programme Theory

The conceptualisation and proposed plan of action of how a programme aims to achieve its goals is known as its programme theory (Rossi, Lipsey & Freeman, 2004). Bickman (1987, p.5) defines programme theory as the “construction of a plausible and sensible model of how a programme is supposed to work”. Donaldson (2007, p.24) defines programme theory as “...the cause-and-effect sequences that link programme services and activities to proximal and distal outcomes”. These definitions all state that programme theory consists of a model of how a programme through its implementation aims to achieve its goals according a cause-and-effect sequence.

By implementing the Enhancement of Capacity Programme as intended, the Grant-funding Organisation proposes that NPOs attending this course should be able to demonstrate improved organisational functioning and sustainability as proximal goals, and successful funding applications as a distal goal. In Figure 2 below the Grant-Making organisation’s programme theory is represented.



Figure 2. Direct Effect of Programme Conceptualisation of the Enhancement of Capacity Programme.

The theory used in this particular model makes use of direct effects (Donaldson, 2007). The direct effects are used to explain how the programme achieves its goals. By attending the course, the Grant-making Organisation proposes that participants will be able to transfer what they have learnt. By transferring skills and applying it to the work context the Grant-making Organisation proposes that the NPOs will improve its

operations. Through improved operations they should be able to demonstrate sustainability. This in turn, should lead to a successful grant application in the long term.

Programme plausibility

Capacity building is an important practice for establishing NGO sustainability. It is defined as the “process by which individuals, groups, organisations, institutions and societies increase their abilities to: 1) perform core functions, solve problems, define and achieve objectives; and 2) understand and deal with their development needs in a broader context and in a sustainable manner” (United Nations Development Programme as cited in Low & Davenport, 2002, p.368). Simister and Smith (2010, p.3) describe capacity building as “a purposeful, external intervention to strengthen capacity over time”.

This review of similar programmes which follows will enable the evaluator to determine whether the programme theory of the EOC is plausible. Sobeck, Agius and Mayers (2007) investigated the effectiveness of a capacity building initiative (New Detroit) in the United States of America (USA). The research focused on grassroots youth organisations in Detroit. It investigated a capacity building model that aimed to support and sustain those organisations. The model used was the Strengthening Community Organisations to Promote Effectiveness (SCOPE). The approach aims to provide grassroots youth organisations with training that will allow them to implement organisational change. This is done by providing grassroots organisations with funding, training and support that will help sustain themselves. The course is divided into three components. Those are namely: leadership development, organisational systems development and strategy formulation and management and is run over two years (Sobeck et al., 2007). The activities include understanding the internal context of the organisation and delivery outputs. Thereafter participants are assigned a business mentor who works with the executives of the youth organisations for 12 months and assists them with applying capacity improvement plans. Youth organisation leaders who attend this course are also taught financial management, grant application, governance and marketing skills. The participants also are taught how to construct a logic model

and how to conduct an evaluation. The participants meet to discuss organisational change. After six months participants are allocated funds to spend (subject to approval) on projects they run for the youth. The projects implemented by the participants are monitored by the programme implementers to assess sustainability. They are given a final sum of money towards the end of the programme to spend on organisational development. The results of the study showed that 71% of the participants who attended the programme reported improved internal functioning of their NGOs. Furthermore, 29% of the participants reported an increase in the number of funding sources (Sobeck et al., 2007).

In 2002, United States Aid (USAID) implemented the Synergy Project. It is a capacity building programme that was implemented in Mexico (Hughes & Gibson, 2002). The project aimed to: “improve NGO strategic planning and foster more effective, collaborative relations to expand the impact and sustainability of NGO work” (Hughes & Gibson, 2002, p.6). The target group for this programme was NGOs working in the HIV/Aids sector. The activities involved teaching NGOs to understand their organisations in terms of its “missions, goals and objectives and action plans” (Hughes & Gibson, 2002, p. 11). They were then instructed to map out their activities as an organisation and understand how they operate in the greater context of society in terms the services they offer. They were made aware of the stakeholders involved and other organisations offering similar services in the HIV/Aids development sector. Participants also worked together on joint grant proposal exercises.

The programme activities involved facilitated sessions aimed at: clarifying organisational goals and understanding the context in which the NGOs operate and collaborative work with regards to funding applications. The results of the programme indicated that the NGOs who participated improved their collaboration amongst each other. The target was 50% and more than 80% collaborated with each other after the training. The NGOs who attended also improved their strategic plans by exceeding the 75% benchmark set by the programme (Hughes & Gibson, 2002).

Hartwig, Humphries and Matebeni (2008), conducted a pilot capacity building programme for AIDs NGOs in southern Africa. They then conducted an initial evaluation of this pilot initiative. They implemented their programme in five countries (including South Africa). The programme focused on the financial skills needed to manage and sustain the organisations, maintain the support of stakeholders and continue providing services (Hartwig et al., 2008). The modules included in the course are represented in Table 2 below.

Table 2

Course modules for the NGO Institute Initiative.

Course modules
Governance
Leadership
Organisation and management of NGOs
Monitoring and evaluation
Financial management
Information, communication and technology
Mentorship
General management
Resource mobilisation
Team building
Office administration
Basic book-keeping
HIV and AIDs in the workplace
Communication
Human resource management

Note. Adapted from K.A. Hartwig, D, Humphries and Z. Matebeni, 2008, *Health Promotion International*, 23, p.257. Copyright 2008 by Oxford University Press.

This initiative was conducted over a 20-month period. This evaluation found that there were some factors that moderated the effect of the programme. It was noted that the participants had unequal skills. Some were less qualified and not experienced enough to understand the subject matter being taught. In addition, some trainers were academic staff that had limited exposure to the NGO environment. Therefore, the content being taught may not have been delivered at the right level for those who attended. The results of the study showed variations in terms of implementation (Hartwig et al., 2008). Some NGOs reported strengthened capacity as a result of the initiative. However, the researchers suggested that it was too soon to conduct an overall impact assessment (Hartwig et al., 2008).

The FRONTIERS Foundation for Reproductive Health conducted an operational research (OR) programme that aimed to provide NGOs with the skills needed to “develop sustainable mechanisms for delivering sustainable family planning and reproductive health services” (Bratt, Homan & Janowitz, 2007, p.1). Their training is implemented over a week. It is divided into two components. The first component is a training session that is implemented over a two and a half day period and is facilitated in small groups. The method of instruction consists of presentations. Participants are also required to participate in exercises relating to: “cost analysis, market segmentation, ability and willingness to pay, analysis of service statistics, break-even analysis and systematic screen” (Bratt et al., 2007, p.2). Participants spent the remainder of the week with the facilitator working on problems that their respective NGOs were facing with regards to financial sustainability. The group devises an outline and proposal of how to address these problems. The proposal is then submitted to FRONTIERS and assessed on whether or not it met research grant requirements. If the proposal is approved the NGO received \$10 000 to implement the research proposed. In addition to the research grant, NGOs were also provided with technical assistance. The result of this programme was that each of the 12 NGOs that participated in the programme received funding for their projects.

Building Organisational Sustainability is a one day course in capacity building that is implemented by the Centre for Resource and Funding Training in South Africa (Centre for Resource and Funding Training in South Africa, 2007). The course aims to promote organisational sustainability. It aims to do this through 10 guiding principles for sustainability. Those principles are contained in the course content represented in the Table 3 below.

Table 3

Course content of the Building of Organisational Sustainability course.

Course content
<p>The theory of organisation</p> <p>The relationship between sustainability, strategy and operations</p> <p>The relationship between sustainability and corporate governance</p> <p>40 personality traits that harm or help sustainability</p> <p>20 characteristics that harm or help sustainability</p> <p>The three emotions that drive donors to promote NPOs</p> <p>How to measure sustainability and accountability</p> <p>How to audit sustainability and produce an objective, valid and consensual score</p>

Centre for Resource and Funding Training in South Africa (2007)

Participants on this course are encouraged to bring their own laptops. On the course they are provided with the XE4 Sustainability Microsoft Excel audit tool. This tool allows participants to plan for annual strategy meetings. This course is implemented in tandem with a monitoring and evaluation course offered by the programme organisers. This course also provides monitoring and evaluation training to supplement what was taught in the Building of Organisational Stability course.

The NGO Capacity Building with Activity-based Budgeting course (Eden Development, 2010) is a private training initiative similar to the EOC programme. This course aims to

use budgeting as a tool for strategic planning, reporting and improving organisational performance. Participants who attend should be able to make their organisations attract more donor funding. The programme is targeted at participants from the NGO sector who have a financial or accounting background and have been exposed to project management. Participants are also required to have a working knowledge of Excel. They are encouraged to bring their own laptops/notebooks with so that they do not need to share computer facilities when the course is delivered. The course is implemented over a four day period. It makes use of “case studies, creative thinking exercises and presentations by the participants” (Eden Development, 2010). Thereafter the course participants are provided with post-course support for three months. Participants who attend receive notes, cd-roms and a single use copyright programme that will allow them to practise what was learnt during training. The course is divided into components relating to cash accounting, budgeting, strategic planning, forecasting, inflation and microcredit.

When comparing the EOC with similar programmes, the following differences in programme activities are noted:

- Assignment of business mentors after the training course is completed (see New Detroit Programme (Sobeck et al., 2007); and the pilot programme of Hartwig, Humphries and Matebeni (2008));
- Provision of technical assistance after the training programme (see FRONTIERS (Bratt, Homan & Janowitz, 2007); and NGO Capacity Building with Activity-based Budgeting (Eden Development, 2010));
- Inclusion of a training module on monitoring and evaluation (see New Detroit Programme (Sobeck et al., 2007); and Building Organisational Sustainability (Centre for Resource and Funding Training in South Africa, 2007));
- Inclusion of a training modules on collaboration with other NGOs (see Synergy Project (Hughes & Gibson, 2002));

- Provision of software to aid sustainability (see Building Organisational Sustainability (Centre for Resource and Funding Training in South Africa, 2007); and NGO Capacity Building with Activity-based Budgeting (Eden Development, 2010)).

While the EOC's programme theory is plausible and its programme activities overlap to a large extent with the activities of other sustainability and funding programmes, the effect of the EOC could be strengthened by adding post-course support, programme activities on monitoring and evaluation, opportunities to collaborate and network with other NGOs, and providing open-source software which would assist in monitoring programme progress.

Recommendations made by 2006 Process Evaluation (Impact Consulting, 2006)

In 2006, Impact Consulting did a process evaluation of the EOC to provide information on where the programme could improve. The following key areas of programme improvement that were recommended were:

Obtaining Sector Education and Training Accreditation (SETA)

The recommendations for SETA accredited services relate to the venue being used for training, course content and facilitators provided by the Grant-making Organisation. The venues used to deliver training should be compliant with SETA regulations. Furthermore it was recommended that the course content be aligned with the national qualifications framework (NQF). Lastly, facilitators who were not yet accredited with the SETA, were advised to obtain accreditation. By having the required course content, training venues and accredited facilitators, the Grant-making Organisation would obtain funds from the DSD to deliver training, making the organisation less reliant on donor funding.

Course content

The main areas of improvement to the course content of the EOC programme were: the training manual layout, translation of course content into Afrikaans and Xhosa and including more interactive activities during training. The training manual needs to

include page numbers and a contents page. This was recommended to make it easier to use. Moreover, participants felt that some of the key concepts should be translated into Afrikaans and Xhosa so that they would understand the course content better. It was recommended that a glossary of terms, key examples and explanations be translated into those languages as well. More participative activities during training sessions were also recommended so that participants become more actively involved during training.

Programme accessibility

It was recommended that the course needs to be delivered more often and in more rural areas to improve accessibility. It was also noted that the marketing strategy needs to be improved so that the target population for the EOC become more aware of the training services offered by the Grant-making Organisation.

Increasing networking opportunities

Participants interviewed in the process evaluation mentioned that there should be a networking facility available for graduates and grantees of the EOC programme. This was recommended to improve information sharing.

Collaborating with other service providers

The demand for the training services offered by the Grant-making Organisation is high. They do not have the staffing capacity to cope with the high volume of training sessions that need to be conducted throughout the year. It was recommended that some of the training be conducted by organisations that offer similar training. This should be done to avoid duplicating services.

Approaching donors who could offer training-in-kind was also recommended as a means of collaborating with other providers. The process evaluation also recommended partnering with local government to obtain more resources for the Grant-making Organisation's training initiatives.

Developing a strong information management system

It was suggested that information regarding delegates personal and organisational details should be kept on a database. This will result in an improved selection.

Monitoring and Evaluation

It was advocated that the Grant-making organisation should continue with external monitoring and evaluation as a means of developing the organisation. Monitoring and evaluation will attract new donors, can be used as marketing tool during fundraisers and could be used to attract new participants to the training course. It will also demonstrate the organisations commitment to demonstrating accountability and transparency. Furthermore the Grant-making organisation should establish monitoring practices so as to establish baseline data and benchmarks. This will allow for better programme planning, and facilitate future evaluations.

It is clear that the Process Evaluation of 2006 focused on the main areas of programme implementation, namely service utilisation, service delivery and organisational support.

Utilisation of evaluations

Programme evaluation aims to bring about formative programme improvement by assessing how a programme was implemented, and whether the implementation has led to the desired outcomes. Often evaluators invest much time in designing an evaluation that will yield credible results, but the findings are not always used by programme staff in such a way that they will be able to implement changes to their programme. In order to obtain better usage of programme evaluation results, evaluators need to guide their evaluations in such a way that programme staff and stakeholders are able to better understand their programmes and the implications of the evaluation results of their programmes.

The current evaluation's aim is to assess whether the EOC used the Process Evaluation that was done in 2006. Before such an assessment can be made, the factors that strengthen evaluation usage will be reviewed.

In order for programme evaluation findings to be used, these ought to be tailored towards the need of the clients intending to use the findings. It also needs to include programme staff and stakeholders in the evaluation process (Rossi et al., 2004). Weiss (1998, p.30) indicated that the best way to encourage evaluation use is to involve potential users “in defining and interpreting results and through reporting the results to them.” Patton (1997) posits that evaluation should be tailored towards its intended users. This philosophy underpins Patton’s (1997) utilisation-focused evaluation theory. Utilisation-focused evaluation theory is described as “the process for helping intended users select the most appropriate content, model, methods, theory and uses for their particular situation” (Patton, 1997, p.23). According to Patton (1997) there are three types of uses for evaluation findings. Those are namely: making judgements, making programme improvements and generating knowledge. Making judgements refers to evaluation findings being used for accountability purposes. Using evaluation findings for programme improvement involves making direct changes to programme implementation. Both of these uses of evaluation findings are described as being instrumental as they are being used as a means of taking direct action to make changes to a programme.

On the other hand, using evaluation findings could also have a conceptual result. This kind of usage involves a change in the way in which programme staff and stakeholders think about the programme and the context in which it operates (Patton, 1997). This change in thinking could lead to a direct change in implementation, or may cause programme stakeholders to influence other individuals who operate in similar programmes to think about their programmes and programme contexts differently.

Patton (1997) also proposes that evaluation has four uses in terms of programme process. Those are to ensure that: programme stakeholders understand their programmes better, integrate monitoring data in the intervention, increase engagement and self-determination; and facilitate organisational development. By conducting utilisation-focused evaluation, programme stakeholders should be able to understand how their programme works and clarify what their objectives are. Furthermore, they

would be able to integrate data collection as part of the programme design; which in turn will strengthen the programme intervention. Moreover it would allow staff to understand the language of programme evaluation and improve the interaction amongst programmes staff and stakeholders. This in turn will lead to shared understanding of programme evaluation and how to apply it to their own programme context over time (Patton). Furthermore this will lead to autonomy (self-determination) from evaluators as the function is fulfilled by internal staff of a particular programme. Conducting utilisation-focused evaluation will thus also improve organisational development in the long-term.

According to Patton (1997) process use is facilitated by following four steps. Those are namely to: identify intended users, identify what the findings will be used for, design the evaluation to support process use (by providing a simulated example) and evaluators being actively involved in providing technical evaluation support to facilitate process use (Patton).

Rather than focus evaluation on intended use, it is important to consider the extent to which it influences those involved in the delivery of the programme as well as those individuals receiving the service, and the greater environment in which the programme operates. The degree to which evaluation influences programme staff, activities and stakeholders will determine its use.

Kirkhart (2000) supports this argument by means of her model of evaluation influence. She proposes that the word *use* in evaluation should be substituted with the word *influence*. Influence is used as a means of explaining the extent to which evaluation findings change the mindset of programme staff and of other programmes operating in the same programme environment. This change in mindset results in a change in attitude which affects how programme staff and stakeholders engage with each other on a particular programme. This leads to changes in perceptions and behaviours which indirectly affects how a programme is being implemented. This change is known as effects (Kirkhart, 2000). The effects brought about by influence can occur in many directions, in small amounts, unintentionally and are sometimes instrumental in their usage. These effects form part of a framework consisting of three dimensions namely:

time, source and intention. These three dimensions are interrelated. Source refers to specific implementation or outcome findings that influence what happens to a programme in terms of decision-making around implementation and accountability. Intention refers to the direction in which programme evaluation findings guide a programme. This is done by examining the outcomes or processes of a programme. Intention can influence key programme staff and stakeholders both directly (intentionally) and indirectly (unintentionally).

Direct intentional influence refers to evaluation findings that change how programme staff and stakeholders think about programme implementation and outcomes (Kirkhart, 2000). This change in thinking directly influences the decision-making processes of key programme staff and stakeholders. The changes would be directed towards programme implementation, so that if the programme was implemented more efficiently it would achieve its desired effects. Unintentional influence refers to evaluation findings changing the way in which programme participants and stakeholders outside the programme (such as government and regulatory bodies) think about a programme and this change in thinking results in a drive to change how a programme is implemented (Kirkhart, 2000).

The dimension of time refers to when evaluation influence is set to occur in a programme that has been evaluated. There are three periods in time in which evaluation influence can occur (Kirkhart, 2000). Those are namely: immediate, end-of-cycle and in the long term. Immediate influence refers to evaluation findings influencing a direct change in thinking by programme staff in a particular programme which subsequently leads to changes to how the programme will be delivered in future. The end-of-cycle influence refers to evaluation findings (summative evaluations in particular) influencing how programme staff and stakeholders think about their programme. The recommendations made by the evaluation will influence how the programme will be implemented in future. Long-term evaluation influence refers to how evaluation findings are thought of by programme staff and only acted upon once it has been fully understood. This means that programme staff think about the feasibility of evaluation

findings, and consider acting upon them once they understand the programme context and how the evaluation findings impact on the delivery of the programme in the long-term. Change in this instance will occur slowly and in small increments, and with the long-term sustainability of the programme in mind (Kirkhart, 2000).

Kirkhart (2000, p.16) proposes that this model be used for nine possible applications. Those are namely:

- Clarifying debates on use
- Mapping influence surrounding a particular evaluation
- Tracking evolving patterns of influence over time
- Sorting out use and misuse
- Improve the validity of studies of influence
- Facilitate meta-analysis on studies of influence
- Compare evaluation theories
- Support theory building

Mark and Henry (2003) propose a model that builds upon Kirkhart's (2000) model of influence. In their model they posit that evaluation influence occurs at three levels. Those are namely the individual, interpersonal and collective level. At each level they have identified mechanisms and measurable outcomes of evaluation. At the individual level there are six such mechanisms. Those are namely: attitude change, salience, elaboration, priming, skills acquisition and behavioural change (Henry & Mark, 2004). Attitude change refers to the effect evaluation findings have at government level, specifically regarding the viability of implementing a particular programme. Policy-makers may have a particular stance on social issues, and are inclined to continue supporting that stance had there not been a report or study to refute or convince them otherwise. Should evaluation findings refute what policy-makers think about a particular

social issue, it will result in an attitude change that is either positive or negative. That is, policy-makers may change their stance, and concur with the findings and be actively involved in supporting change. Salience refers to raising the social consciousness about a particular social problem which occurs in society. Elaboration is concerned with how programme staff think about implementation and achieving results in their particular programme. Priming is concerned with the use of evaluation results at the beginning of a report to inform the reader about the importance of the evaluation. Skills acquisition refers to the development of research skills by programme staff, through the evaluation process. Behavioural change refers to how programme delivery is changed as a result of the evaluation findings.

At the interpersonal level, there are five different types of behaviour that might be affected by evaluation (Henry & Mark, 2003). Those are namely: justification, persuasion, change agents, social norms and minority-opinion influence. Justification behaviour is behaviour that supports a past stance on a particular issue within a programme. Persuasion refers to individuals wanting to change the opinion of another individual. A change agent is an individual who brings about change in an organisation by strategically implementing changes to how it operates. Changes to social norms refer to how evaluation findings change how individuals interact with each other and change their behaviour according to what is acceptable according to a particular point in time (Henry & Mark, 2003). Change brought about by minority-based influence involves small civil action groups using evaluation findings to bring about change to social problems that are of concern to them (Henry & Mark, 2003). An example of this would be “mothers against drunk driving and opponents to smoking” (Henry & Mark, 2003, p.303).

At a collective level, evaluation influences change at four levels (Mark & Henry, 2003). Those are namely: setting agendas, policy-oriented learning, changing policies and diffusion. Agenda setting involves evaluation findings shedding light on a social problem that would not have otherwise received attention. Through providing critical information about the state of affairs of a particular social problem, it receives more attention by the

media and public. Through increased media and public support, policy-makers become more aware of the state of affairs, and need to think about ways of addressing that particular social problem (Mark & Henry, 2003). Policy-oriented learning involves a change in thought and behaviour of policy-makers through a collection of policy documents relating to a particular social problem. This change in attitude and behaviour, results in a change in policy objectives. Policy change refers to evaluation findings being used to directly influence policy-makers attitude towards a particular social problem (Mark & Henry, 2003). Through existing information and evaluation findings, policy-makers are then able to make a better assessment of the state of affairs of a particular social problem, and address it accordingly through a change in policy towards that particular problem. Diffusion refers to change brought about through evaluation findings that affect the social policy towards similar social programme. That is, a change that evaluation findings bring about in one programme are utilised to make decisions about other similar programmes (Henry & Mark, 2003). The work of Preskill and Torres (2000) on transformational learning is an example of evaluation influence on the collective level. Transformational learning is a process where individuals, teams and organisations identify, examine and understand information needed to meet their goals.

Rossi, Lipsey and Freeman (2004) also propose use of evaluation findings similar to both Patton (1997) and Mark and Henry (2003). They propose that evaluation has three utilisations. Those are namely direct, conceptual and persuasive. Direct utilisation refers to how programme staff use evaluation findings and recommendations to make changes to programme implementation. Conceptual utilisation refers to programme staff using evaluation findings to think about their programme differently to how they did prior to the evaluation. This is especially the case when it concerns whether the delivery of a programme is achieving its desired outcomes. Persuasive utilisation refers to how evaluation findings are used to challenge the current state of political affairs regarding social policy (Rossi et al., 2004).

Rossi et al. (2004) propose that five variables affect the utilisation of evaluation findings. Those are: relevance, communication between researcher and user, information

processing needs to be done by the users, acceptance of results; and user involvement in the research and advocacy process. They also propose five guidelines on how to obtain usage of evaluation findings. The evaluator needs to understand how the decision-makers think, findings need to be delivered at an appropriate time, evaluators need to demonstrate respect towards the stakeholders' programme activities, and also incorporate utilisation as part of the evaluation design (Rossi et al., 2004).

In summary it would seem that authors are in agreement that two main factors influence evaluation use. These two factors are: evaluations that are tailored to the client's needs and inclusion of programme staff in the evaluation process. As far as the current evaluation is concerned, the following issues mentioned in the usage literature are important:

- how evaluation results are used for programme improvements [see Patton (1997)] and direct usage (Rossi et al., 2004), and
- the immediate time dimension mentioned by Kirkhart (2000).

Evaluation questions

The main purpose of this evaluation is to determine whether the Grant-making Organisation has adapted its EOC programme according to suggested improvements in the 2006 Process Evaluation. The following evaluation questions will this:

1. Have the improvements suggested by the 2006 Process Evaluation been implemented with in subsequent EOCs?
2. What other changes or improvements have been implemented in the EOC by the Grant-making Organisation?
3. Do the perceptions of the Programme Manager and the Author differ regarding the way in which the 2006 Process Evaluation integrated usage?

CHAPTER TWO

METHOD

The evaluation questions formulated earlier have been used as an outline to plan this evaluation.

Data providers

Evaluation question 1: Have the improvements suggested by the 2006 Process Evaluation been implemented in subsequent EOCs?

As this evaluation has focused on the usability of evaluation recommendations, only one key informant was used for data collection. This key informant was the Programme Manager of the EOC.

The Programme Manager has been involved in key decision-making aspects, delivery and implementation of the EOC programme since the 2006 Process evaluation. The role of the Programme Manager also requires that he/she manages the programme staff involved in the delivery of the EOC, facilitate programme activities and report on the progress of the programme to superiors and funders. Programme records were used to validate the changes implemented to the EOC.

Evaluation question 2: What other changes or improvements have been implemented in the EOC by the Grant-making Organisation?

The Programme Manager was the key informant for this evaluation question. Programme records were also used to validate any changes made to the programme, apart from those changes suggested by the 2006 Process Evaluation.

Evaluation question 3: Do the perceptions of the Programme Manager and the Author differ regarding the way in which the 2006 Programme Evaluation integrated usage?

The Programme Manager and Author of the 2006 Process Evaluation were the key informants for this evaluation question.

Materials

The 2006 Process Evaluation report was used as the basis for examining the recommendations made by Impact Consulting. Furthermore it was used as a point of reference to ascertain what method and procedure the Author of the 2006 Process Evaluation followed in order to strengthen usage of the evaluation.

A questionnaire, labelled Process Evaluation Questionnaire, containing 22 items was designed to assess which of the changes contained in the 2006 Process Evaluation were made to the EOC. Response categories for the questionnaire were designed according to Brinkerhoff's (2005) Success Case Method. An additional five open-ended items were added to the questionnaire to assess which other changes (apart from the changes suggested by the 2006 Process Evaluation) were made

A second questionnaire, labelled Evaluation Use Questionnaire based on evaluation usage literature was developed to ascertain perceptions of evaluation use. It contained 25 items with a five-point Likert-scale response format (1=strongly disagree, 5=strongly agree). This questionnaire was completed by the Author of the 2006 evaluation and the Programme Manager. The full Process Evaluation Questionnaire appears in Appendix A. The full Evaluation Use Questionnaire appears in Appendix B.

Procedure

Written permission to evaluate the implementation of the improvements suggested in the 2006 Process Evaluation was obtained from the Programme Manager. The letter of permission appears in Appendix C.

The evaluator also submitted a proposal of the current evaluation to the University of Cape Town's Commerce Faculty Ethics Committee for approval. This approval was granted. The letter of approval appears in Appendix D.

During the month of July 2010 the evaluator administered both questionnaires to the Programme Manager and the Evaluation Use Questionnaire was administered to the Author of the 2006 Process Evaluation.

CHAPTER THREE

RESULTS AND DISCUSSION

The results and discussion are presented according to the evaluation questions asked.

Evaluation question 1: Have the improvements suggested by the 2006 Process Evaluation been implemented in subsequent EOCs?

Table 1 below illustrates the Programme Manager's perceptions of improvements implemented since the 2006 Process Evaluation.

Table 1

Programme Manager's Perceptions of Implemented Improvements of the 2006 Process Evaluation.

Recommendation	Implemented	Not Implemented
SETA accreditation		
1. Business plan to obtain SETA accreditation		✓
2. Training venues comply with SETA requirements	✓	
3. Facilitators for the CBTP obtained SETA accreditation	✓	
4. SETA accreditation obtained		✓
Course content		
5. Page numbers included in the course manual	✓	
6. Contents pages included in the course manual	✓	
7. Glossary of key terms and key examples translated into Xhosa and Afrikaans included in the course manual	✓	
8. More examples and case studies included in the course manual	✓	
9. More examples and case studies included in the training sessions	✓	
10. More interactive exercises included in the training course	✓	
Training delivery		
11. More Rural NPOs who attended the EOC received funding from the Grant-making organisation	✓	
12. Referral system developed to refer participants to other service providers		✓
13. More EOC Programmes included in the training calendar by the Grant-making Organisation	✓	
14. Increased service offerings to rural areas	✓	
Formalising internal processes		
15. Selection criteria for participants developed		✓
16. Integrated database developed to track participants' attendance of Training programmes	✓	
Marketing		
17. Changes have been made to the course marketing strategy of the Grant-making organisation	✓	
Communication		
18. Interdepartmental meetings held and monthly reports generated	✓	
19. Improved statistical reporting	✓	
20. Improved networking opportunity for course participants	✓	
21. Shared services provided by collaboration with similar grant-making organisations	✓	
Monitoring and Evaluation		
22. Continuous external Monitoring and Evaluation of the programme.		✓
Total	(22)	5

Table 2 below illustrates the documented evidence that supports the Programme Manager's perception of implemented programme improvements.

Table 2

Document Verification of Programme Manager's Perceptions of Implemented Improvements of 2006 Process Evaluation.

Recommendation	Programme Manager's Perception of Implemented Improvements	Document Evidence of Implemented Improvements
SETA accreditation		
2. Training venues comply with SETA requirements	Yes	Strategy Goal 5
3. Facilitators obtained SETA Accreditation	Yes	Trainer Accreditation Certificates
Course content		
5. Page numbers included in the course manual	Yes	Extract of New Manual Layout
6. Contents pages included in the course manual	Yes	Draft Agenda for 2010
7. Glossary of key terms and key examples translated into Xhosa and Afrikaans included in the course manual	Yes	Draft Agenda for 2010
8. More examples and case studies included in the course manual	Yes	Draft Agenda for 2010
9. More examples and case studies included in the training sessions	Yes	Draft Agenda for 2010
10. More interactive exercises included in the training course	Yes	Draft Agenda for 2010
Training delivery		
11. More Rural NPOs who attended the EOC received funding from the Grant-making Organisation	Yes	Newsletter
12. Referral system developed to refer participants to other service providers.	Yes	Training Calendars and Training Programme Outline
14. Increased service offerings to rural areas	Yes	Annual Report 2009/10
Formalising internal processes		
16. Integrated database developed to track participants' attendance of Training programmes	Yes	MS Access Database Printout
Marketing		
17. Changes have been made to the course marketing strategy of the Grant-making Organisation.	Yes	Capacity Building Pamphlet 2010
Communication		
18. Interdepartmental meetings held and monthly reports generated	Yes	Meeting Agendas 2009
19. Improved statistical reporting	Yes	MS Excel Database Improved(observed on-site)
20. Improved networking opportunity for course participants	Yes	Training Calendar Events
21. Shared services provided by collaboration with similar grant-making organisations	Yes	None

It was found that most improvements that were suggested by the 2006 Process Evaluation were implemented by 2010 (17 out of 22). These results are not consistent with what the literature on evaluation use suggests. Weiss (1972) suggests that most programmes do not use the improvements suggested to them by evaluators. The reason for the improvements being used on the EOC can be attributed to the fact that the 2006 Process Evaluation was designed to inform the funders of the programme of what the programme has achieved, and how it had been implemented. Moreover, it was also conducted to inform the Programme Staff about programme implementation. Programme Staff were included during the research process, as well and were informed about the objectives of the evaluation. These factors are important as they encourage evaluation use (Rossi et. al, 2004).

Patton (1997) suggests that for evaluation findings to be used, evaluators should consider its *intended users* and how the results can be best used to fit their needs. Therefore, because the 2006 Process Evaluation was structured in such a way that it could clarify information for the programme funders as well as assist the Programme Staff in improving their programme's service delivery, most of the improvements suggested by the Author were implemented.

Furthermore the implementation of these improvements was dependent on what the particular needs of the Grant-making Organisation were at that specific time. The Grant-making Organisation prioritised what it could achieve in terms of implementing the improvements set forth by the 2006 Process Evaluation over an extended period of time. According to Kirkhart 's (2000) model of evaluation usage, the fact that the Grant-making Organisation was able to implement some of the changes within a short space of time is an important finding. The reason being that for evaluation recommendations to be implemented, the evaluation report itself needs to influence the individuals involved in the implementation of the programme. Moreover, Kirkhart's (2000) model also posits that evaluation improvements can be used to facilitate debate within organisations to bring about change within a particular programme. This is case with regards one of the

improvements suggested by the Author that the Grant-making Organisation obtain SETA accreditation.

The Programme Manager has indicated that aligning the courses in accordance with SETA standards is a long term priority for the Grant-making Organisation. It is currently being discussed as an organisation-wide concern. This particular improvement has been met with some resistance by the programme staff operating within the EOC context, while it has been accepted by the programme staff and departments responsible for the delivery of other courses that the Grant-making Organisation offers. This particular improvement has facilitated debate and changed how the programme staff of the Grant-making Organisation think about the implementation of their particular programme. This finding should be considered when evaluating whether or not the evaluation improvements have been used. This finding is congruent with what Kirkhart (2000) terms as *influence* and Mark and Henry (2003) term as *elaboration*. These factors are important in whether or not a programme improvement gets used, and could therefore explain why the improvements that have been implemented by the Grant-making Organisation.

Evaluation question 2: What other changes or improvements have been implemented in the EOC by the Grant-making Organisation?

After analysing the sub- section on Further and Additional Improvements to the EOC in the Process Evaluation Questionnaire it was found that four additional changes have been made to the EOC. The Programme Manager indicated that the EOC changed its name to Basics in Organisational Development. Changes have been made to the administrative forms used for all programmes offered by the Grant-making Organisation. Furthermore, additional courses have been added to the service offerings provided by the Grant-making Organisation. These additional changes can be seen in Table 3 below

Table 3

Additional Changes Implemented to the CBTP by the Grant-making Organisation.

Additional Changes Implemented	Year Implemented
Application and Enrolment forms have been improved	2008
Emerging Leader Programme Course included	2006-ongoing
Global Development for Peace and Leadership Programme included	2009
Volunteer Management Course included	2009

By implementing additional courses the Grant-making Organisation has increased its service offerings. The Programme Manager has indicated that the 2006 Process Evaluation has influenced these additional changes as well, even though they were not part of the original improvements suggested by the Author. Furthermore, the 2006 Process Evaluation has also allowed the Grant-making Organisation increased opportunities to network with other funding agencies like the National Development Agency (NDA) and the Department of Social Development (DSD). These results are consistent with the literature on evaluation use (Henry & Mark, 2003).

These additional changes have been brought about by the *effects* of the evaluation. Kirkhart (2000) posits that effects are the result of changes in perceptions and behaviour that occur due to evaluation. By thinking about the programme differently, changes to the implementation of a programme may occur unintentionally, and have resulted in instrumental use. Furthermore Henry and Mark (2003) suggest that evaluation findings can also result in *salience* (raising the social consciousness about a particular problem in society). The 2006 Process Evaluation allowed for salience to occur by raising the awareness of the DSD as well as the NDA with regards to the need for Capacity Building Training in the Western Cape.

However, it needs to be noted that none of these additional changes concerned the best practice of similar programmes documented on page 16 specifically, the addition of post-programme support (e.g. mentors, technical assistance and software) could strengthen the effect of the EOC.

Evaluation question 3: Do the perceptions of the Programme Manager and the Author differ regarding the way in which the 2006 Process Evaluation integrated usage?

Table 4 below illustrates how the Programme Manager and Author responded on the Evaluation Use questionnaire.

Table 4

Evaluation Usage Perceptions of Programme Manager and Author as Measured by the Evaluation Use Questionnaire.

Questionnaire Item	Programme Manager	Author
1. The 2006 Process Evaluation was tailored towards the needs of the EOC.	Agree (4)	Strongly agree (5)
2. The programme staff of the EOC were included in the 2006 evaluation process.	Agree (4)	Agree (4)
3. The improvements made by the 2006 Process Evaluation were relevant to the EOC.	Agree (4)	Strongly agree (5)
4. The evaluation findings and improvements were communicated in a manner that was easy to understand.	Agree (4)	Strongly agree (5)
5. The results of the evaluation were readily accepted by the staff of the Grant-making Organisation.	Agree (4)	Don't know (3)
6. The evaluation report was delivered at the appropriate time for the Grant-making Organisation to make appropriate changes to their programme.	Agree (4)	Strongly agree (5)
7. The evaluator respected the programme staff of the Grant-making Organisation.	Agree (4)	Strongly agree (5)
8. Utilisation of evaluation findings were included as part of the evaluation design for the 2006 Process Evaluation.	Agree (4)	Agree (4)
9. The Evaluation changed how the programme staff thought about the implementation of the EOC programme.	Agree (4)	Strongly agree (5)
10. The evaluation changed the state of functioning of the Grant-making Organisation.	Disagree (2)	Strongly agree (5)
11. The 2006 Process Evaluation helped programme staff understand their programme better.	Don't Know (3)	Agree (4)
12. By allowing their programme to be evaluated the Grant-making organisation increased the opportunity for organisational development to occur.	Disagree (2)	Strongly agree (5)
13. The 2006 Process Evaluation was conducted to demonstrate that those involved in the delivery of the CBTP are accountable for it.	Agree (4)	Don't know (3)
14. The 2006 Process Evaluation was conducted to improve the service delivery and implementation of the overall CBTP	Agree (4)	Strongly agree (5)
15. Evaluating the CBTP has allowed the Grant-making organisation to improve its data collection processes.	Agree (4)	Strongly agree (5)
16. The interaction between programme staff has changed as a result of the 2006 Process Evaluation.	Agree (4)	Don't know (3)
17. By allowing its CBTP to be evaluated the Grant-making Organisation has encouraged similar service providers to thin differently about their respective programmes.	Don't know (3)	Don't know (3)
18. Programme staff have developed the necessary skills to continue with ongoing monitoring and evaluation of the 2006 Process Evaluation.	Agree (4)	Disagree (4)
19. Funders have become more interested in the implementation of the EOC programme as a result of the 2006 Process Evaluation.	Agree (4)	Don't know (3)
20. The Author and programme staff were continuously liaising and communicating with each other during the evaluation process.	Agree (4)	Strongly agree (5)
21. Enough post-evaluation technical support was provided to the programme manager and staff to ensure that the improvements made would be implemented	Don't know (3)	Strongly disagree (1)
22. The improvements made could be realistically implemented in a short space of time after the evaluation.	Disagree (2)	Agree (4)
23. The Grant-making Organisation's strategic interests were take into account when devising the evaluation improvements	Agree (4)	Strongly agree (5)
24. The Grant-making Organisation's functional capacity was taken into account when devising the evaluation improvements.	Agree (4)	Disagree (2)
25. Changing how the programme staff have thought the evaluation has resulted in positive changes in the implementation of the EOC.	Agree (4)	Strongly Agree (5)

The Programme Manager and Author do differ in the way in which the 2006 Process Evaluation integrated usage. The difference in the mean scores on the Evaluation Use questionnaire for both Programme Manager and Author was significant. Table 5 represents the Programme Manager and Author's opinions regarding integrated usage.

Table 5

Programme Manager and Author's Perceptions of Integrated Evaluation Use in the 2006 Process Evaluation.

Evaluation Use Questionnaire	Programme Manager	Author	<i>t</i>	<i>p</i>
Perceptions of Evaluation Use	3.48	4.04	3.76	.047**

Note. ** $p < .05$ (two-tailed)

It is understandable that the Author of the 2006 Process Evaluation would have a more positive perception of evaluation use than the Programme Manager. The Author was after all responsible for evaluation and these self-report data could reflect her bias regarding this responsibility. On the other hand, despite this statistically significant result, it should be kept in mind that both the Author and the Programme Manager had a high mean score indicating positive perceptions of the use of the 2006 Process Evaluation.

CONCLUSION

This evaluation of the use of the 2006 Process Evaluation showed that most of the suggested improvements were implemented, additional changes were made to the EOC programme and that both the Programme Manager and the Author had positive perceptions regarding the use of the 2006 Process Evaluation. These results contradict the literature on evaluation use which generally reports poor usage of evaluation. A possible explanation for the current, positive results could be that it involved easily

implementable process changes and not fundamental changes to programme theory, outcomes or impact. Were these programme aspects involved, it is doubtful whether the same results would have been attained. However, this should not detract from the thorough process evaluation the Author did and the good implementation attempt the Programme Manager engaged in.

Contribution to evaluation science

The following evaluation has provided a new direction in assessing the use of evaluation improvements in South Africa. It is the first of its kind and offers a framework in which to conduct similar studies in future. It also presents an opportunity for other evaluators to use this evaluation as a case study which would demonstrate which factors need to be taken in consideration to ensure that the improvements suggested once an evaluation is complete will be used.

This evaluation has also provided the Grant-making Organisation with an objective perspective on the progress that has taken place within the organisation. It has provided an indication of the extent to which organisational development and growth has occurred since the 2006 Process Evaluation. Furthermore, it has also demonstrated the importance of maintaining contact and the relationship between the evaluator and client in order to ensure that the evaluation improvements will be used and integrated as part of the programme delivery.

The current evaluation has enabled the Author of the 2006 Process Evaluation to gauge the extent to which their improvements, recommended therein, were used. It has provided the Author with an objective perspective (based on evaluation use literature) as to how to best improve the chances of evaluation improvements being used.

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University of Cape Town

Appendix A: Process Evaluation Questionnaire

2006 Process Evaluation Questionnaire

Please read the statement and indicate your response to the statement with an X in the appropriate box.

University of Cape Town

2006 Process Evaluation Questionnaire

Please mark your response with an X in the blocks provided below.

Categories					
Improvement	Tried this and had clear and positive results	Tried this but had no clear results yet	Tried this somewhat but do not expect any results	Tried this and it backfired	Have not tried this at all
SETA accreditation					
Business plan to obtain SETA accreditation					
Training venues upgraded to comply with SETA requirements					
Facilities for the CBTP ⁱ attained SETA accreditation					
SETA accreditation obtained					
Course content					
Page numbers included in the course manual					
Contents pages included in the course manual					

Categories					
Improvement	Tried this and had clear and positive results	Tried this but had no clear results yet	Tried this somewhat but do not expect any results	Tried this and it backfired	Have not tried this at all
Glossary of key terms and key examples translated into Afrikaans and Xhosa and included in the course manual					
More examples and case studies included in the course manual					
More examples and case studies included in the training sessions					
More interactive exercises included in the training course					
Training delivery Have more EOC Programmes been included in the training calendar schedule by the Grant-making organisation?					

Categories					
Improvement	Tried this and had clear and positive results	Tried this but had no clear results yet	Tried this somewhat but do not expect any results	Tried this and it backfired	Have not tried this at all
Referral system developed to refer participants to other service providers					
Increased service offerings to rural areas					
More rural NPOs who attended the CBTP received funding from the Grant-making organisation					
Marketing Changes have been made to the course marketing strategy of the Grant-making organisation					
Formalising internal processes Selection criteria for participants developed					

Categories					
Improvement	Tried this and had clear and positive results	Tried this but had no clear results yet	Tried this somewhat but do not expect any results	Tried this and it backfired	Have not tried this at all
Selection criteria for participants developed					
Integrated database developed to track participants attendance of training programmes					
Communication					
Interdepartmental meetings held and monthly reports generated					
Improved statistical reporting					
Improved networking opportunities for course participants					
Shared services provided by collaboration with similar grant-making organisations					

Categories					
Improvement	Tried this and had clear and positive results	Tried this but had no clear results yet	Tried this somewhat but do not expect any results	Tried this and it backfired	Have not tried this at all
Monitoring and Evaluation Monitoring and evaluation of the programme					

Apart from the improvements listed above, have you made any other changes to the CBTP (including the EOC)? Please list these changes below.

1. _____

2. _____

3. _____

4. _____

5. _____

Appendix B: Evaluation Use Questionnaire

Evaluation Use Questionnaire

This questionnaire will examine how you experienced the full evaluation process of the 2006 Process Evaluation.

University of Cape Town

Evaluation Use Questionnaire

Please indicate your response with an X in the blocks provided below.

1. The 2006 Process Evaluation was tailored towards the needs of the CBTPⁱⁱ.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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2. The programme staff of the CBTP were included in the 2006 evaluation process.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

3. The recommendations made by the 2006 Process Evaluation were relevant to the CBTP.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

4. The evaluation findings and recommendations were communicated in a manner that was easy to understand.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

5. The results of the evaluation were readily accepted by the programme staff of the Grant-making organisation.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

6. The evaluation report was delivered at the appropriate time for the Grant-making organisation to make the appropriate changes to their programmes.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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7. The evaluator respected the programme staff of the Grant-making organisation.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

8. Utilisation of evaluation findings was included as part of the evaluation design for the 2006 Process Evaluation.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

9. The evaluation changed how the programme staff thought about the implementation of the CBTP programme.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

10. The evaluation changed the state of functioning of the Grant-making organisation.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

11. The 2006 Process Evaluation helped programme staff to understand their programme better.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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12. By allowing their programme to be evaluated the Grant-making organisation increased the opportunity for organisational development to occur.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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13. The 2006 Process Evaluation was conducted to demonstrate that those involved in the delivery of the CBTP are accountable for its overall success.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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14. The 2006 Process Evaluation was conducted to improve the service delivery and implementation of the overall CBTP.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

15. Evaluating the CBTP has allowed for the Grant-making organisation to improve its data collection processes.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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16. The interaction between programme staff has changed as a result of the 2006 Process Evaluation.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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17. By allowing its CBTP to be evaluated, the Grant-making organisation has encouraged similar service providers to think differently about their respective programmes.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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18. Programme staff has developed the necessary skills to continue with ongoing monitoring and evaluation as a result of the 2006 Process Evaluation.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

19. Funders have become more interested in the implementation of the CBTP programme as a result of the 2006 Process Evaluation.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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20. The Author and programme staff were continuously liaising and communicating with each other during the evaluation process.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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21. Enough post-evaluation technical support was provided to the programme manager and staff to ensure that the recommendations made would be implemented.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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22. The recommendations made could be realistically implemented in short space of time after the evaluation.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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23. The Grant-making organisations' strategic interests were taken into account when devising the evaluation recommendations.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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24. The Grant-making organisation's functional capacity was taken into account when devising the evaluation recommendations.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
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25. Changing how the programme staff has thought about evaluation has resulted in positive changes in the implementation of the CBTP programme.

Strongly Agree	Agree	Don't know	Disagree	Strongly Disagree
----------------	-------	------------	----------	-------------------

ⁱ Capacity Building Training Programme

ⁱⁱ Capacity Building Training Programme

Appendix C: Letter of Permission

UNIVERSITY OF CAPE TOWN



School of Management Studies

University of Cape Town, Private Bag,
Rondebosch 7701
Telephone: +27 21 650-5218
Fax: +27 21 689-7570
4 February 2010

TO WHOM IT MAY CONCERN

Thank you very much for your willingness to enable one of our Master's students to work with a programme from your organisation. I appreciate your contribution to the education of our students.

Please note that our students are required to work within the ethical framework of the Faculty of Commerce when collecting information from programme documents or programme recipients. This framework deals with confidentiality, sensitivity when requesting information from people and responsible reporting of results.

We also undertake and ensure you that the student will display professional behaviour at all times while working in your organisation or on your programme. At the end of the process, you will receive a useful report which will enable you to make informed decisions regarding your programme.

In order to comply with the rules of the Faculty of Commerce, we request you to sign below to indicate that the student will have access to programme records and where applicable, to programme recipients.

Thank you very much.

Yours sincerely

A handwritten signature in black ink, appearing to read "J. Louw-Potgieter".

PROF J LOUW-POTGIETER
HEAD: SECTION OF ORGANISATIONAL PSYCHOLOGY

AGREEMENT TO ACCESS PROGRAMME RECORDS AND/OR RECIPIENTS:

A handwritten signature in black ink, appearing to read "Mustard".
AUTHORISED PERSON
Community
Investment Manager

A handwritten signature in black ink, appearing to read "Community Trust".
ORGANISATION

29/02/10
DATE

Appendix D: Letter of Approval

UNIVERSITY OF CAPE TOWN



Faculty of Commerce Ethics in Research Committee

Courier: Room 2.21 Leslie Commerce Building Upper Campus University of Cape Town
Post: University of Cape Town • Private Bag • Rondebosch 7701
Email: Irwin.brown@uct.ac.za
Telephone: +27 21 650-2311
Fax No.: +27 21 689-7570

1 July 2010

Mr Asgar Bhikoo
School of Management Studies
University of Cape Town
asgar.bhikoo@uct.ac.za

Dear Mr Bhikoo

Project title: Assessing evaluation usage of a grant-making organisation's enhancement of capacity programme

This letter serves to confirm that the project entitled: **"Assessing evaluation usage of a grant-making organisation's enhancement of capacity programme"**, as described in your final submitted protocol dated 8 June 2010, has been approved subject to final confirmation by the Commerce Faculty Ethics in Research Committee. You may proceed with the research subject to the following condition:

Inclusion of covering note advising that participation is voluntary and providing contact details in the event of questions.

Please note that if you make any substantial change in your research procedure that could affect the experiences of the participants, you must submit a revised protocol to the Committee for approval.

Best wishes for great success with your research.

Regards,

IRWIN BROWN

A/Prof Irwin Brown
Commerce Faculty Ethics in Research Committee

"OUR MISSION is to be outstanding teaching and research university,
educating for life and addressing the challenges facing our society."