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The integration of monitoring and evaluation practices into Non-Profit Organisations: a South African perspective in the Western Cape

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THE INTEGRATION OF MONITORING AND EVALUATION PRACTICES INTO NON-PROFIT ORGANISATIONS: A SOUTH AFRICAN PERSPECTIVE IN THE WESTERN CAPE

A report on a research study presented to

The Department of Social Work

School of Human and Community Development

Faculty of Humanities

University of the Witwatersrand

In partial fulfilment of the requirements

for the degree Masters of Arts in the field of Social Development

By

Lauren McGill

14 February 2020

DECLARATION

I, Lauren McGill, declare that the work submitted is my own and that appropriate credit has been given where reference has been made to the work of others.

Signed:……  ……Date:…04 February 2020……..

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Without the willingness of the research participants and the organisations they work for, this research would not have been possible. Thank you all for your openness and honesty. Thank you to my supervisor, Prof. Pretorius, for your detailed feedback and assurance that I am on the right track and that I will reach my goal in the end! Thanks also to Prof. Eric Atmore and Wian Prinsloo for providing a much-needed critical eye.

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Finally, I would like to thank my darling Dad who I lost halfway through completing my studies. A greater supporter there could never be. Thank you for instilling a love of fairness, kindness and hard work in me. I miss you. I love you.

ABSTRACT

Monitoring and Evaluation (M&E) of programmes offered by Non-Profit Organisations (NPOs) has become common practice in South Africa. Programme evaluation has historically formed part of an accountability and compliance requirement of donors, but shifting to a more Africa-rooted approach, it can and should equally be seen as an indispensable tool NPOs utilise to develop, interpret and iterate on their programmes.

The purpose of this research study was to explore the integration of Monitoring and Evaluation practices into NPOs within the Western Cape, South Africa.

For this research, a qualitative approach and a collective case study design was employed, with the purpose to explore Monitoring and Evaluation practices. Ethics clearance was received by the University of the Witwatersrand and purposive sampling was utilised to select the 12 participants. The study sample was comprised of one participant each from ten NPOs and two key informants, one representing a donor organisation and one representing a M&E specialist organisation, based in the Western Cape, South Africa.

During the data collection process, three different semi-structured interview guides were used as research instruments during face-to-face interviews with the three different groups of participants. The data was analysed utilising thematic analysis.

This research contributes to the knowledge generation of how NPOs in the Western Cape utilise M&E practices within their programmes. The study made a number of findings including: A high degree of collaborative M&E within organisations, with a desire to include the voices of the people for whom the development work is designed; Difficulty in differentiating between donors as there are such a variety, each of which has their own expectations and systems; Paper-based data systems appear to be the norm, with a generally poor grasp of technology amongst NPOs. Based on these findings the study has led to the development of an M&E checklist that NPOs could utilise when considering their programme planning and design.

Keywords: Donor, Empowerment, Non-Profit Organisation, Monitoring and Evaluation,

Social Development, South Africa, Western Cape

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LIST OF ACRONYMS

AfrEA: The African Evaluation Association

B-BBEE: Broad Based Black Economic Empowerment

CBO: Community Based Organisation

CSI: Corporate Social Investment

CVO: Civil Society Organisation

DSD: Department of Social Development

ECB: Evaluation Capacity Building

ECD: Early Childhood Development **or** Evaluation Capacity Development

EGRA: Early Grade Reading Assessment

FBO: Faith Based Organisation

GWME: Government Wide Monitoring and Evaluation

ICT: Information Communication Technology

LF: Logic Framework

M&E: Monitoring and Evaluation

MEL: Monitoring, Evaluation and Learning

MER: Monitoring, Evaluation and Research

MERL: Monitoring, Evaluation, Reflection and Learning

NGO: Non- Governmental Organisation

NPO: Non-Profit Organisation

PMEL: Planning, Monitoring, Evaluation and Learning

SAMEA: South African Monitoring and Evaluation Society

TBE: Theory Based Evaluation

ToC: Theory of Change

UNAID: United Nations Joint Programme on HIV/AIDS

UNICEF: United Nations Children's Fund

VoIP: Voice over Internet Protocol

CHAPTER ONE
GENERAL ORIENTATION AND INTRODUCTION

1.1 INTRODUCTION

This chapter provides an overview of the study, exploring the identified problem and the rationale behind the research. The research question, aims, objectives, as well as the relevance to the field of social development are outlined. A brief description of the methodology and methods is discussed, along with an acknowledgement of the limitations of the study. Key concepts used throughout the study are defined and the organisation of the research report is laid out.

1.2 BRIEF OVERVIEW OF THE STUDY

Monitoring and evaluation (M&E) have become synonymous with responsible project management and social development (Lewis, Packard & Lewis, 2007). However, Non-Profit Organisations (NPOs) still experience M&E as activities led, mandated and funded by donors. This is largely due to the historical trend, in South Africa, of programme evaluations being introduced by large international donor organisations (Babbie & Mouton, 2001; Lusthaus, Adrien & Perstinger, 1999). M&E practices have not yet been completely mastered or integrated into the NPO sector of its own accord, and has, therefore, not been used for its own design, implementation and iterative purposes. This leaves the inevitable perception that NPOs are left out, disempowered and "dictated to".

Robust M&E practices which are fully integrated into an NPO, provide accountability as well as the insight that they are making data led decisions on their programmes. It is a reality that any programme, receiving outside funding, especially in the current competitive climate, can expect a certain amount of scrutiny and accountability by the funders, to their boards or benefactors (Rossi, Lipsey & Freeman, 2004; Weerawardena, McDonald and Sullivan Mort, 2010). Accountability, in this context, is both being held responsible by others, as well as taking responsibility oneself (Ebrahim, 2003). NPOs can either embrace this and find a way to make it work for them, or continually remain in a state of frustration. M&E undoubtably requires technical expertise but there remain elements which could, if understood correctly, be utilised to enhance the work of NPOs. A programme manager does not need to be an expert but they should know the basics and be able to engage in M&E and evaluative

thinking (using information to reflect and learn) (Podems, 2019). It is fundamental to creating a learning organisation.

This research topic was selected by observing the real-world challenges faced by NPOs in navigating M&E. With NPOs providing valuable and supplementary services for the government and to marginalised communities, it is imperative that they remain resilient and sustainable. Utilising Empowerment Theory and an Africa-rooted evaluation approach, this research motivates for improving systems not only in the present, but a long-term view of maintaining and sharing learnings for the future (Lusthaus et al., 1999; Zimmerman, 2000).

By including NPOs and key informants (both donors and M&E specialists) in this study, the researcher sought to explore a holistic understanding of the participants of M&E practices. This process informed the development of a checklist for the NPO sector to consider in their programme design and planning, and, in doing so, grow their own M&E expertise.

1.3 STATEMENT OF THE PROBLEM AND RATIONALE FOR THE STUDY

The competition for NPO funding is becoming increasingly competitive (Weerawardena et al., 2010). According to Rossouw (2018) and Ebrahim (2003), the struggle for NPO financial sustainability is caused by multiple factors, including poor leadership and strategy, diminished international development aid, rapid growth in NPOs around the world, global recessions and governments' inability to effectively spend and allocate resources. Social enterprises and for-profit companies have entered the domain of "doing good", bringing with them a professionalism and level of business acumen never before experienced in the sector. This is forcing NPOs to reconsider "business as usual", and to reinvent themselves in order to compete within this changing landscape (Ebrahim, 2003; Maier, Meyer & Steinbereithner, 2014). Clear M&E practices are highly sought after when the Corporate Social Investment (CSI) sector, or other funders, sort through funding applications. Therefore, for a NPO to have a competitive edge, they need to ensure that they have M&E considerations in place.

The CSI sector annually dispenses billions of Rands on development projects in South Africa (Yorke, 2007). Yet, this sector is largely unregulated, has no ethical oversight and CSI practitioners require no specific qualifications. This is especially significant as, historically, philanthropy has funded wars, started movements and changed the course of history (DSD, 2001). Ultimately, the people who hold the money choose where and how to spend it, as well as dictate the labels and terms, regardless of their skill set. The relationship between donor and NPO is often skewed in favour of financial resources (Podems, 2019). However, ideally, it

should be a mutually beneficial, interdependent relationship; the NPO needs the money and the donor needs the work for its development reputation, tax benefits or B-BBEE score card (Ebrahim, 2003).

M&E practice has historically been dominated and dependent on North American and European literature to determine best-practice standards and external evaluation. The literature from these regions, however, is often insensitive to the African culture and context (Chilisa, 2015). Westernised societies are inherently more individualistic when compared, in general, to an African communal worldview. It is difficult to transplant knowledge from one community to another as each are nuanced in their needs and approach, how much harder it is to supplement from entirely different regions. This causes a discrepancy between what donors view as "successful", versus what NPOs and their beneficiaries view as "valuable". A blind reliance on North American and European models could result in inadequate assessments and flawed implementations. Estrella and Gaventa (1998) argue that "who measures" results and "who defines" success become critical. Inappropriate accountability measures – which are predominantly upward focussed and not holistic – have the potential to do more harm than good (O'Dwyer & Unerman, 2008). Every individual should have the right to participate in decisions which may impact them.

With the NPO sector growing their expertise in M&E practices, the narrative could begin to shift away from a purely "compliance" mindset, into one which the NPO sector is better able to use their learnings and advocate for their programmes. The compliance or accountability mindset is short sighted and rarely takes long term strategic change into account. While it is important to be accountable to one's donors, it is equally important to take responsibility for oneself (Ebrahim, 2003). Fetterman (2001, p. 6) argues that "most evaluators operate significantly below their capacity in an evaluation because the programme lacks even rudimentary evaluation mechanisms and processes. The external evaluator routinely devotes time to the development and maintenance of elementary evaluation systems. Programs that already have a basic self-evaluation process in place enable evaluators to begin operating at a much more sophisticated level".

With professional leadership, oversight by ethical bodies (SACSSP, 2019; DSD, 2019), and individuals involved in the daily, grassroots work, NPOs are valuable partners in leading M&E practices and growing African-rooted evaluation (Cloete, 2016). This is precisely where the proposed importance and contribution of the study lies: Understand the integration of M&E

practices in NPOs to ultimately encourage more robust use of M&E practices; they should be used as strategic tools to improve and adapt programmes, attract greater funding, and provide an enhanced skill set to challenge the status quo and enable a strengthening of the sector.

1.4 RESEARCH QUESTION

The overarching research question for this study was:

How do Western Cape Non-Profit Organisations integrate Monitoring and Evaluation practices?

1.5 AIM AND OBJECTIVES OF THE STUDY

The aim of this study was to explore the integration of Monitoring and Evaluation practices of Non-Profit Organisations in the Western Cape.

The objectives of the study were:

1.5.1 To establish how NPOs in the Western Cape understand M&E practices.

1.5.2 To identify the different M&E practices integrated by NPOs in the Western Cape.

1.5.3 To explore the experiences NPOs in the Western Cape face in integrating M&E practices.

1.5.4 To propose a checklist for NPOs in the Western Cape to consider in their M&E practices.

1.6 RELEVANCE OF THE STUDY TO SOCIAL DEVELOPMENT

This research is undertaken, in part, as fulfilment towards a Master of Arts degree in the field of Social Development. As such, the subject matter was selected specifically for its relevance to the sector. The rights-based approach which underpins social development is discussed in Chapter Two, providing one of the theoretical lenses through which this research was conducted.

M&E is a growing discipline that impacts the NPO sector, however, it is (particularly from the South African perspective) an under-researched topic (Wildschut, 2014). Seeking to better integrate and understand this sometimes-complex subject matter in a practical way, could enhance the effectiveness of NPO integration and utilisation. This could lead to greater wellbeing for the population, particularly the most vulnerable and underserved. Much of the M&E literature is focussed on North American and European literature, with a need for

developing uniquely African insights (Chilisa, 2015; Cloete, 2016). This research adds to the growing body of work in the field of M&E coming from Africa.

1.7 BRIEF DESCRIPTION OF METHODOLOGY AND METHODS

The study utilised a qualitative approach and a collective case study design, with the purpose of exploring M&E practices. The study sample comprised of one participant each from ten NPOs and two key informants, one representing a donor organisation and one representing a M&E specialist organisation, based in the Western Cape, South Africa.

Purposive sampling was utilised to select the participants. During the data collection process, three different semi-structured interview guides were used during face-to-face interviews. Furthermore, documents were collected and reviewed. The data was analysed utilising thematic analysis.

1.8 LIMITATIONS OF THE STUDY

The selection of the qualitative approach was appropriate for this study as the intention is a detailed exploration of specific subject matter. Creswell (2014) motivates that this research method has proven itself as a legitimate research form, with broad consensus on what constitutes qualitative inquiry. Regardless, many researchers still view qualitative case study unfavourably. Yin (2018) addresses the common concerns of qualitative research as:

- Not being rigorous enough;
- Not being generalisable;
- Being unmanageable; and
- Being at a comparative disadvantage when compared to quantitative methods.

The researcher has aimed to address these concerns within this study. To the issue of rigour, the researcher has ensured she has followed reputable systematic approaches. The researcher aimed to learn deeply on this specific subject matter in this context and provided details of the study processes and location to optimise transferability and generalisability for future studies. All interviews and data collected were processed and transcribed systematically and timely to mitigate large, unreadable masses of data accumulating, leading to unmanageable and indecipherable data.

This research topic was selected by observing the real-world challenges faced by NPOs in integrating M&E to their work. Among these challenges there appeared to be commonalities such as selection of M&E tools and terminology, as well as sufficiently trained staff to address the M&E needs of the organisation. The researcher works for a donor organisation and may therefore contain some biases when interpreting the data. However, it is important to note that at the time of the interview, none of the NPOs were currently being funded by the organisation the researcher works for. The researcher does not work in a professional capacity with either of the key informants, ensuring that the element of bias was mitigated as far as possible. The researcher kept a reflective journal and discussed relevant issues with her supervisor for the duration of the research.

The three pretesting interviews were conducted using the VoIP technology, Zoom. Zoom is widely used for video conferencing in business, as the user does not require an account (as is the case with Skype); you can schedule meetings, and calls can be recorded. This data collection process offers many advantages but could likewise incur some potential limitations. Rapport, it is argued, may be harder to establish online, but this has not been firmly established, with some researchers arguing that building rapport online is easier (Lo Iacono, Symonds & Brown, 2016). The researcher made contact with the participants via email several times leading up to the interview in an effort to strengthen rapport and prepare them for the research study by requesting them to collate any M & E tools they make use of. Video mode was used to strengthen the interaction.

The final limitation is the scope of the research. As M&E is a growing field of interest, and the topic undertaken was ambitious, the researcher could have exceeded the limitations of a research report. Taking guidance from the supervisor aided in staying within the bounds of the research, while still being optimistic as to the use of the data in future research endeavours.

1.9 DEFINITION OF CONCEPTS

Key concepts used throughout this research are explored and defined here.

Development: A multi-dimensional process involving major changes in social structures, popular attitudes and national institutions, as well as the acceleration of economic growth, the reduction in inequality and the eradication of poverty (Todaro & Smith, 2014).

Donor: An individual or institution who agrees to voluntarily provide resources, often money, in response to an appeal presented by an NPO in support of their programmes, projects and operational costs (DSD, 2001).

Evaluation: Rossi et al. (2004) describe evaluation in a broad sense to determine the worth of some object. They elaborate that programme evaluation, more specifically, uses social research methods to systematically investigate the effectiveness of social intervention programmes, which then inform social action to improve social conditions. Researchers concur that evaluation is fundamentally systematic and assigns a value/ judgement to something- in programme evaluation this is particularly concerned with studying the processes and results to determine how effective it is (Patton, 2015; Podems, 2019; Posavac and Carey, 2007).

Integration: Lloyd (2005, p.5) describes integration as "seamlessly combining components, parts or elements into a complex but harmonious whole". In this study, this word is used in the manner of bringing together different elements to work together effectively.

Monitoring: The collection of information relating to project progress and the assessment of this information to determine any deviations from planned progress, remediating where necessary (Oosthuizen & Venter, 2017; Podems, 2019).

Non-Profit Organisation: A non-profit organisation is a "trust, company or other association of persons established for a public purpose and of which its income and property are not distributable to its members or office bearers except for reasonable compensation for services rendered" (Republic of South Africa, 1997, p. 2).

Non-governmental organisations (NGOs), community-based organisations (CBOs), civil society organisations (CVOs), faith-based organisations (FBOs), trusts or charities can all be generic names under which NPOs operate. They are all a collection of people who come together for a common purpose (DSD, 2001).

Social Development: A process of planned social change designed to promote the wellbeing of the population, within the context of a dynamic, multifaceted development process (Midgley, 2014).

Sustainable Development: This is referred to as "development that meets the needs of the present without compromising the ability of future generations to meet their needs" (King Committee, 2016, p. 23).

1.10 ORGANISATION OF THE RESEARCH REPORT

This research report is comprised of five chapters.

Chapter One provides the orientation of the study. It offers a brief overview of the study, problem statement and rationale for the study, research questions, aims and objectives of the study. It also shows the relevance of the study to the social development context and gives a brief description of the research methodology and methods applied. The chapter also describes limitations of the study, defines key terms and discusses the organisation of the research report.

Chapter Two is dedicated to the theoretical framework and a literature review relevant to the study. Empowerment Theory is elucidated as the lens through which the study is conducted. The interplay between the theory and the practice of evaluation is explored along with relevant legislation and policy.

Chapter Three discusses the research methodology that was used in this study. The research question and aims and objectives, research strategy, study population, sample and sampling procedures, research instruments, methods of data collection, methods of data analysis, trustworthiness of the study and ethical considerations.

Chapter Four focusses on presentation and discussion of findings. Presentation of findings is done through the three main themes of perceptions of M&E practices, variety of M&E practices and experiences when integrating M&E practices.

Chapter Five offers a summary of the study's main findings, conclusions and recommendations.

1.11 SUMMARY OF CHAPTER

This chapter provided an overview of the study as well as the context, significance and rationale behind the research study. The research question and objectives were detailed and core concepts clarified. The organisation of the report has been outlined. The next chapter will explore the theoretical frameworks and relevant literature as it relates to the research.

CHAPTER TWO

THEORETICAL FRAMEWORKS AND LITERATURE REVIEW

2.1 INTRODUCTION

This section identifies the theoretical lens through which the research was undertaken, as well as describes relevant knowledge and thinking around the topic. The background and current practices of Monitoring and Evaluation is explored along with popular tools. The South African NPO and donor landscape is described as well as relevant legislation, policy and guidelines.

A paradigm is a way of viewing the world and Creswell and Creswell (2018) suggest that researchers make explicit their philosophical worldview as it relates to their field of study. The researcher is a professional social worker, with training from a primarily constructivist perspective, one which recognises different perspectives and lived realities (Podems, 2019). Likewise, African world views and paradigms such as Afrocentrism and Ubuntu are predominantly relational, consequentially, the approaches selected lend themselves in this direction.

2.2 THEORETICAL FRAMEWORKS

This research consults empowerment theory – a rights-based approach – and capacity development as the theoretical frameworks underpinning the study. A decision was made to focus on empowerment theory as the predominant framework to provide the overall orienting lens through which the research study was conducted (Creswell & Creswell, 2018; Punch, 2014) due to the strong correlation between empowerment theory, stakeholder engagement evaluation approaches and the objectives of the study. The rights-based approach and capacity development are closely related; these frameworks further underpin empowerment theory and are interwoven throughout the discussion below.

A rights-based approach to development, with the embedded concept of self-determination provides an entry point to the theoretical discussion. It is an appropriate approach for the South African context which holds the Bill of Rights as central to development. The government-wide M&E policy framework elaborated on below in chapter two, also follows a rights-based approach as does the field of Social Development. According to O'Leary (2017), the focus in this approach is on assisting developing communities to assert their rights to self-determination and not remain passive "gift recipients" of charity. Fetterman (1994, p. 2) defines self-determination as the "ability to chart one's own course in life". Self-determination theory

assumes that we are innately curious and self-directed beings that do not need convincing and coercing (Maier et al., 2014). People want to be paid a fair wage for the work they do and which allows them to live a reasonably good life, however once these standards have been met the financial reward no longer becomes the most compelling reason to take a job (Pink, 2009). Intrinsic rewards such as autonomy, mastery and purpose become the defining factors of work place fulfilment (ibid.). M&E presents a prime area in which to do this. This research study seeks to include the voices of the NPO sector as implementors at a grassroots level of their own M&E. It seeks to enhance their agency and right to self-determination as a fundamental goal of the work they do.

Capacity Development suggests enhancing and strengthening existing capacities as opposed to relying solely on external organisations to transplant their knowledge (Lusthaus et al., 1999). There is an emphasis on partnership, with each acknowledging their own need within the process of development. It is important for NPOs to represent themselves in an authentic way and be able to articulate their work coherently in a way that holds meaning to them and their beneficiaries (O'Leary, 2017). The relevance of this approach as a theoretical base is in viewing the NPO as a central figure in M&E practices, one which comprehends, implements and reports with confidence and authority.

These approaches provide motivation for NPOs to capacitate themselves with the requisite M&E skills needed to improve their programmes and compete for funding.

2.2.1 EMPOWERMENT THEORY: STRENGTHS AND LIMITATIONS

Empowerment theory stems from the seminal work of the Brazilian educator, Freire, who worked with marginalised communities in achieving liberation (Freire, 1970; Hipolito-Delgado & Lee, 2007). Empowerment theory posits that "social problems exist due to the unequal distribution of, and access to resources" (Zimmerman, 2000, p. 44). Most individuals are better served by mutual help, serving others and working for their rights – not having them met by a professional. Rappaport (2000) discusses empowerment as a process of mastery by individuals and groups over their lives. It moves away from the professional being centred as the expert and rather encourages the development of indigenous knowledge of individuals, communities and organisations to develop their own skills to problem solve and make independent decisions (Hipolito-Delgado & Lee, 2007). Empowerment has been positively linked to many successful

programmes over the years but requires more empirical research to determine the extent of this construct on impact (Gullan, Power & Leff, 2013).

Empowerment Theory (Figure 2.1) pertains not only to an emotional level (intrapersonal empowerment) or through action (behavioural empowerment) but also through "understanding systems of power and knowing how to access resources to support success (interactional power)" (Gullan et al., 2013). It is focussed on information, awareness and skill. Gullan et al. (2013) expound that one should not only feel efficacious and have the opportunity to translate this into action, but you should also have the knowledge and ability to act effectively.

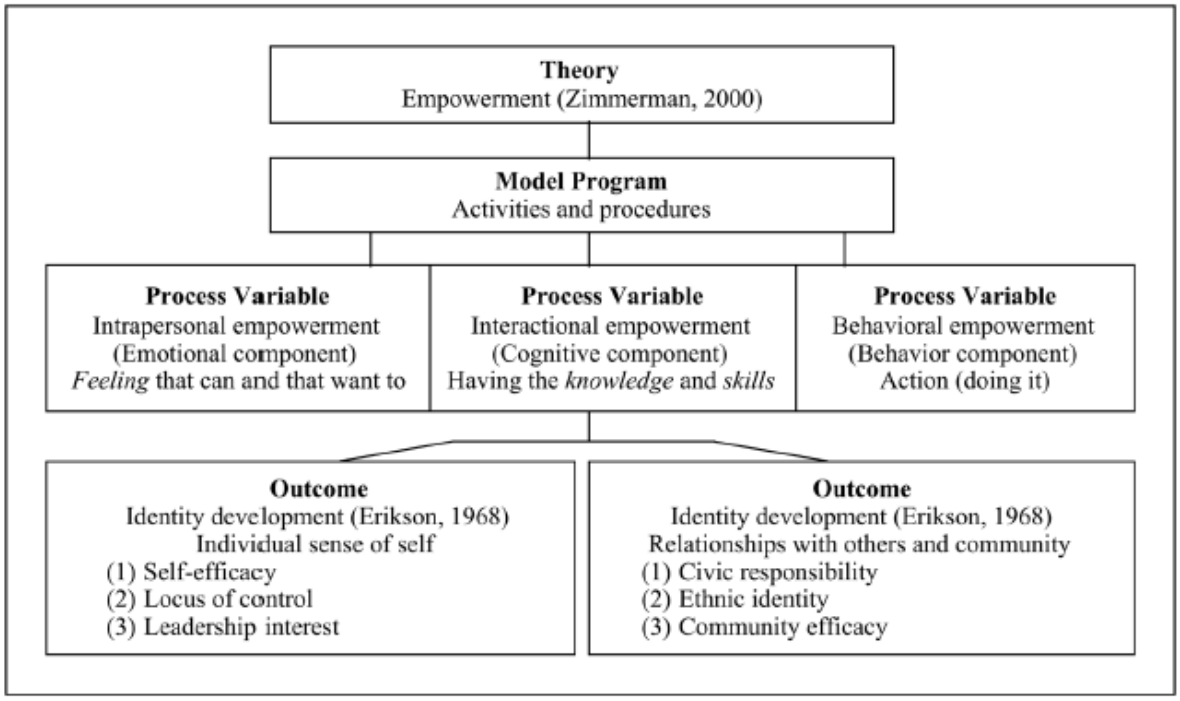


Figure 2.1: Empowerment Theory and the related variables and outcomes (Gullan, Power & Leff, 2013).

Capacity Development and empowerment are interconnected concepts with the view that unless those involved feel a high degree of ownership, results will not be efficacious (Lusthaus et al., 1999). This approach looks not only to improving systems in the present but with a long-term view of maintaining and sharing learnings. Empowerment theory is a useful conceptual framework for this research as it explores how NPOs (the community or organisational level) currently integrate M&E into their work as well as how they can grow this skill set by developing confidence and working towards their own identified goals. Donor mandated

Monitoring and Evaluation typically focusses on operational feedback and audits in a hierarchical format (O'Leary, 2017).

Empowerment evaluation, which is informed by empowerment theory and is discussed below, was first postulated by Fetterman in 1994 and has since grown in popularity across the globe. In the empowerment tradition, people involved in the social programmes can further their work, knowledge and power by being deeply involved in the evaluation process (Fetterman, 2001).

"Empowerment" is often used as a buzz word but many programmes fail to fully implement the empowerment theoretical framework encompassing intrapersonal, interactional and behavioural components (Zimmerman, Eisman & Reischl, 2017). There can also be unintended consequences arising from an empowerment approach as detailed by Jayasinghe and Wickramasinghe (2011). These can involve having the power sit in the hands of a few representatives of the community, usually the already rich and powerful among them.

2.3 MONITORING AND EVALUATION

2.3.1 A BRIEF HISTORY

Babbie and Mouton (2001) describe how from the very beginning of social science in the eighteenth century, much effort was spent on improving the human condition. However, it wasn't until after the Second World War, when social spending programmes started launching, and later in the 1960s, during American President Lyndon Johnson's "War on poverty", that evaluation really grew dramatically (Rossi, Lipsey & Freeman, 2004). With the increased financial investment, came the important question of which programmes were achieving the desired results. Evaluation has since become an integral part of social programmes. The main evaluation theories, scholars, practitioners and text books have emerged from USA, Canada and Britain (Donaldson & Scriven, 2003; Patton, 2008 & Fetterman, 2001; Rossi et al., 2004; Weiss, 1994), these westernised approaches still dominate the global evaluation practice today (Cloete, 2016).

In South Africa professional evaluation practice is still relatively new, growing mainly from the increased spending on educational and social programmes in the last 30 years (Cloete, 2016). However, there are still many more social programmes that stand unevaluated despite the growing recognition that evaluative evidence is necessary, indeed essential for the development of social programmes (Rossi et al., 2004). Therefore, it becomes paramount that NPOs are adequately versed in evaluation practices.

In the late 1990s, evaluation in Africa started being rethought (Chilisa, 2015; Cloete, 2016). Growing resistance emerged towards external westernised evaluation processes which were predominantly donor lead. The one size fits all approach was thought to often times be insensitive to the cultural nuances of the African context and not inclusive enough. Through several conferences and discussions, an African Evaluation Association (AfrEA) was established in 1999, with the hopes of championing the professionalisation of evaluation from an African perspective. This is now a thriving association with biennial conferences, 'thought' leadership, training and resources. Closer to home, the South African Monitoring and Evaluation Association (SAMEA) was established in 2005, with the goal of cultivating a community that supports, guides and strengthens M&E in South Africa (South African Monitoring and Evaluation Association, 2019).

The problem still remains that evaluation practices in non-Western contexts are still weak and struggle to compete with established westernised systems (Cloete, Rabie & de Coning, 2014; Cloete, 2016). Ofir (2013) describes the potential for non-western wisdom, traditions and knowledge systems to help shape the future of evaluation frameworks. The development of more independent African voices articulating what an Africa-rooted evaluation process could look like, is gaining momentum and needs to be fostered.

2.3.2 MONITORING AND EVALUATION IN PRACTICE

Monitoring and evaluation are not the same, they are two distinct but interlinked processes. Monitoring is an ongoing process of collecting data to ensure the project is on track, whereas evaluation aims to assess the overall relevance, efficiency, effectiveness, relevance, sustainability or impact of a project in order to decide what happens next (Buffardi, Hearn, Pasanen, Price & Ball, 2015). Monitoring is interested in what is happening and if what is happening is what you intended to happen. It is different to evaluation in that it does not ask if we are doing the right thing or assign value to it (Podems, 2019). Both of these are very important in the work of NPOs.

Monitoring is a process that most NPOs are well versed in. Once a problem has been identified, the NPO proposes a solution and designs a programme to implement it. A good programme consists of activities, indicators and measurement tools which need to be continuously monitored in order to ensure the programme stays on track. This data should then be reflected on to identify any areas which are not going according to plan or areas which could be improved upon. Often these can only be identified once a programme is in

motion. Most NPOs collect information such as attendance registers, meals served, lessons completed, on a routine basis. However, this is only half of the job. Simply collecting metrics and never reflecting on them is a futile exercise. Simply filling in an M&E checkbox provided by a funder as an accountability requirement is not serving anyone (Podems, 2019). Engaging in the M&E process, asking questions, pushing back and using it to improve your programmes is the progressive stance to take. For this reason, evaluation is examined in more detail.

Good evaluations identify *what* specific changes occurred (good or bad; intended or unintended), they identify *how* the changes occurred and *who* was involved. It should be a transparent truth-seeking process which takes context into account (ibid.). Rossi et al. (2004) argue that evaluation is conducted for a variety of reasons. These could be aiding in decisions on whether a programme should continue, improve, expand or end (which is useful to both donor and NPO). It could also be to increase the effectiveness of programme management and administration, and only lastly to satisfy accountability requirements of donors. It could also be conducted for development, interpretative and empowerment purposes for the NPO. There seems to be a continual balancing act of data collection to advise on strategy and services and the actual delivery of services. Both NPOs and donors tend to err on the side of shorter-term functional responses as opposed to longer-term strategic processes (Ebrahim, 2003). An approach which is able to balance both of these important aspects is needed.

Once an evaluation has been carried out, another point of consideration is by whom and to what extent the findings of the evaluation will be utilised. The findings from an evaluation need to be communicated in order to make the best decisions possible, this is easier if stakeholders have been involved in the process and feel a sense of agency in the process (Buffardi et al., 2015; Patton, 2008). Regardless of the fact that evaluation is primarily sustained by funding from policy and grant makers (Rossi et al., 2004) they should not solely dictate the design and utilisation of findings. It needs a collaborative approach in order to get the most out of the evaluation results – to avoid them getting dusty on a shelf and all the hard work having been for naught.

In 1995 an initiative called ‘PlayPumps International’ began installing children’s roundabouts, which doubled as water pumps, in remote African villages. It seemed like a ground-breaking idea and gained momentum with great celebrity following. Only on evaluation in 2009 by UNICEF, did a clearer picture emerge of the realities of the programme failures (Macaskill,

2015). The pumps broke or did not pump as effectively as the previous hand pumps; the children got bored of the roundabout and the women felt degraded having to push the roundabout to get water; children fell and broke limbs on some of them (ibid.). Every NPO delivering programmes would benefit from having access to information and lessons learned from other development projects to inform the work they do and mitigate against making the same mistakes. Engaging stakeholders demystifies the evaluation process and increases the likelihood that they will actually use the results of the evaluation (Babbie & Mouton, 2001; Rossi et al., 2004). It is agreed that participatory methodologies are congruent with African worldviews and value systems (Chilisa, 2015).

Currently M&E can appear as part of an array of acronyms, depending on the organisation. Some of the common ones are: PMEL (Planning, monitoring, evaluation and learning), MER (Monitoring, evaluation and research), MEL (Monitoring, evaluation and learning) and MERL (Monitoring, evaluation, reflection and learning) (Podems, 2019).

2.3.3 APPROACHES TO EVALUATION

Evaluation is rooted in social science research but has a diverse array of practitioners and approaches. There are complex evaluations but likewise there are many evaluation practices which people with modest experience can carry out (Donaldson, Patton, Scriven & Fetterman, 2010; Rogers, 2008; Rossi et al., 2004). There is no "one size fits all" but this researcher believes that stakeholder-involvement approaches used in conjunction with theoretical underpinnings and tools are the key to improving both the Monitoring and Evaluation of NPOs in Africa.

2.3.3.1 Stakeholder involvement evaluation approaches

Collaborative or participatory evaluation

Collaborative or participatory evaluation differs from external evaluation in that it encourages the stakeholders to become involved in the evaluation along with the evaluator (Rossi et al., 2004). The degree of involvement could vary but the emphasis is on collaboration with those who will use the evaluation findings. Cloete (2016) elucidates the importance of participatory and empowerment approaches in Africa-rooted evaluation, centring on group decision making as well as self and peer assessment.

In collaborative evaluation, the evaluator oversees the process but seeks engagement from different stakeholders along the way. This could be to a lesser or greater extent depending on

the evaluator. In participatory evaluation, responsibility initially starts with the evaluator but over time the process is shared as experience and insight grow (Fetterman, Campos & Zukoski, 2018).

Stakeholder-involvement approaches have fed into emergent literature on corporate social responsibility, ethics and accountability mechanisms (Ebrahim, 2003). Over the last 20 years, control has been shifting to a more participatory approach where it is more inclusive and starts with people's own knowledge, making the process more authentic and likely to be sustainable. NPOs can incorporate M&E as a learning tool to enhance capabilities leading to greater self-reliance (Estrella & Gaventa, 1998; Lusthaus et al., 1999). These participatory practices should include elements of meaning and transformation from the NPO perspective, with a focus on empowerment and away from the traditional "upward accountability" to donors (O'Leary, 2017). Ebrahim (2003) asserts that much "upward" and "outward" accountability is practiced with the "downwards" and "inwards" practices being underdeveloped.

Empowerment Evaluation

Empowerment evaluation was first widely introduced to the evaluation community during a presidential address to the American Evaluation Association (Fetterman, 1994). South Africa was interested early on in the empowerment evaluation process through presentation invitations and workshops in impoverished black communities in the pre-dawn of democracy (ibid.). It is a deeply stakeholder driven approach, aiming to involve programme managers, staff and even beneficiaries with skills to set programme goals, conduct evaluations and use the results to advocate for change (Creswell & Creswell, 2018; Fetterman, 2001). The aim is two-fold, both to understand a situation within its context from the participants own perspective in order to meaningfully improve it**;** as well as to equip people at a grassroots level with appropriate skills and confidence to take control of their own lives and resources around them. Evaluation capacity building (ECB) is a central theme in empowerment evaluation (Fetterman et al., 2015).

Empowerment Evaluation is a democratic process which challenges the idea that external facilitators know more than beneficiaries do about their own circumstances. The evaluator becomes more of a collaborator than expert and mitigates the risk of evaluators insensitively judging programmes based on their (or the donors) perspectives. It builds ownership of programmes and can alter the power balance by involving the entire group of donors, evaluation specialist, programme implementers and beneficiaries (Fetterman, 2001). Figure 2.2 below graphically depicts how the three different evaluation approaches of collaborative,

participatory and empowerment differ in their nuanced forms. The role of the evaluator is depicted as first front and centre (collaborative), to part of the team (participatory), to a background role (empowerment).

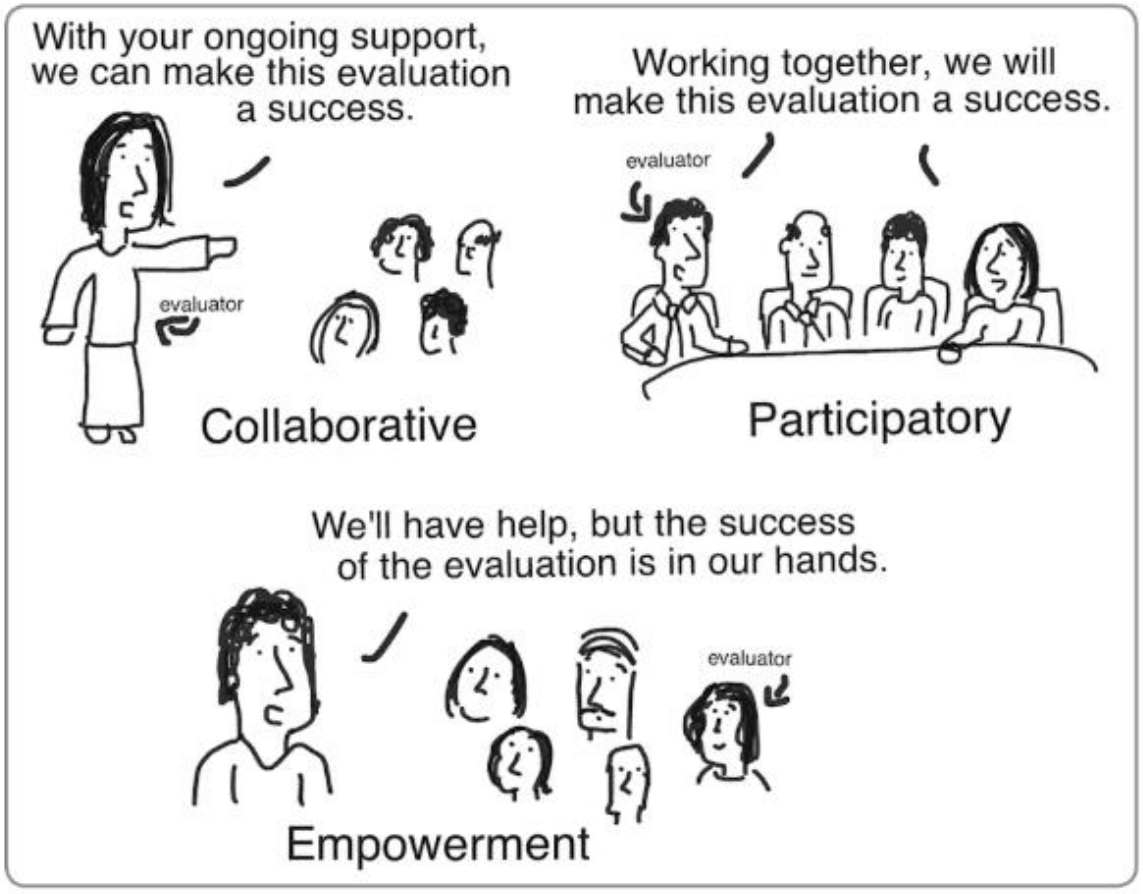


Figure 2.2 : Comparison of stakeholder-involvement approaches to evaluation by evaluator role (Fetterman, Campos & Zukoski, 2018).

2.3.3.2 Theory based evaluations

Theory based evaluations are not in opposition to particpatory approaches but can in fact merge nicely together. According to Wildschut (2014) theory based evaluations (TBE) are not well documented as evaluation is so practical and much of the knowledge sits within donor or specialist organisations. The essence of TBE is that one must understand the "underlying mechanisms" of change in interventions, in order to understand the cause and effect relationship in a programme (Chen in Wildschut, 2014. p. 42). The programme should be sufficently conceptualised and planned out, in so far as one can plan a human service programme which is so often frought with ongoing change. Having theory as a base provides the organisation and any evaluators with a blueprint to refer back to throughout the evaluation

process – these are the two essential components of TBE – a theory and a model for evaluation (Rogers, 2008). Use of the word "Theory", or what Chen and Rossi (1997) refer to as theory with a little 't', is intended to mean that it is a plausible and sensible model of how a programme should work and not that it is widely researched, published and validated. It is more the postulation of a solution.

Stakeholder involvement in theory development is essential to ensure a holistic approach to the communities presented needs. The researcher believes this is a pertinent part of the puzzle as NPOs are increasingly resistant towards TBE and its associated tools, even in the face of the growing popularity of them among donors, both internationally and nationally (Wildschut, 2014).

Chen (1990) contributed significantly to the growth of TBE and postulated that programmes fail due to two reasons, either the theory fails (you had the wrong idea on how to fix an issue) or, the implementation of the theory failed (you did not implement the programme how you should have). Babbie and Mouton (2001) concur, only with the elaboration of no and uncontrolled treatment which would both fall under a lack of implementation.

Theory-based evaluation tools

Despite resistance towards TBE from the NPO sector, there has been increased popularity in the emergence of graphic images to display the theory from the donor sector. These are used as tools to support programme planning, management and evaluation. Two such tools are Theory of Change (ToC) and The Logic Framework (LF). There is unfortunately no standardised language and a plethora of names for these variations, causing much confusion among donors, governments and NPOs. There are many manuals, online tutorials and courses which train people on utilisation of these tools. While there are many variations in terms of names, flow, visual representation, Wildschut (2014) elucidates them as follows:

ToC: Builds an explanatory account of how a programme should work. The inputs (resources), outputs (activities and people involved) as well as the outcomes and impact are all articulated. It specifies the causal links and is an incredibly helpful tool in planning and monitoring your programmes. These are often dislayed in an easy to understand graphical representation (see Figure 2.3) although a good Theory of Change needs to be well thought through and articluated beyond a simple graphic. Cloete et al. (2014) describe ToC as a crucial element in describing an organisations implementation strategy but that many NPOs view them as "compliance" exercises to be submitted with funding applications and are never looked at again.

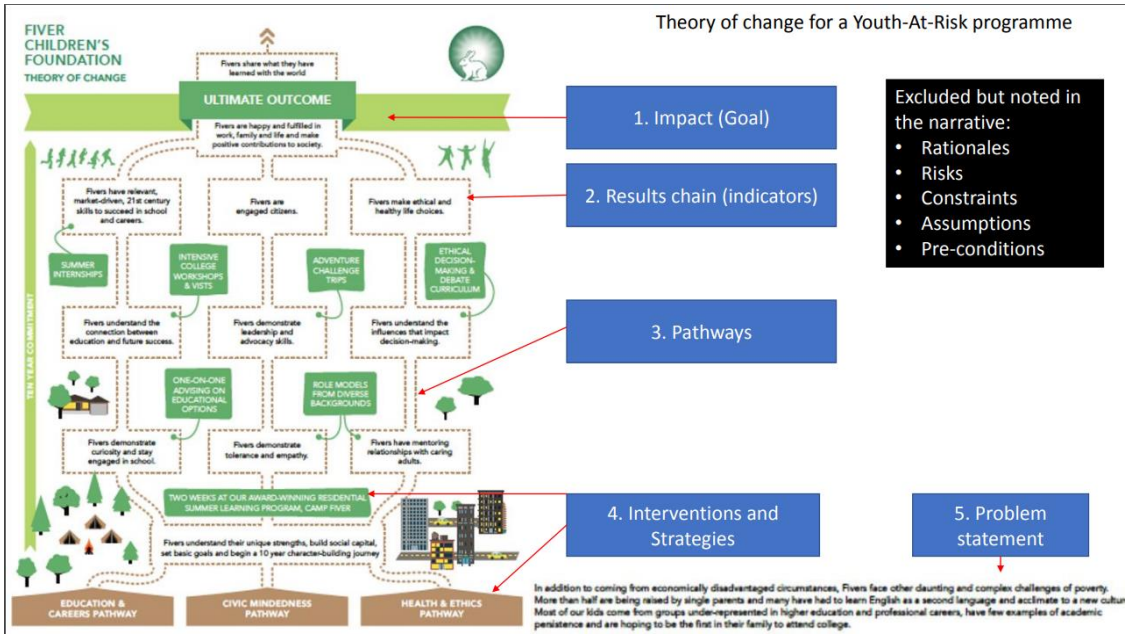


Figure 2.3: Example of a Theory of Change (Fiver Children's Foundation, n.d.)

Logic Framework: Promotes systematic thought on the logic of a development intervention. Consists of blocks including Inputs, Activities, Outputs, Outcomes and Impact as well as Descriptions, Indicators, Means of Verification and Assumptions (although there exists a range of variations on this terminology). Bornstein (2006) and Wildschut (2014) identified logic frameworks (of which there are a plethora of versions) as the tool of choice for donors to ensure a degree of standardisation and accountability across projects and are used in some capacity across most NPOs. They are not well received amongst the NPO community who see them as confusing and unnecessary administrative tasks which do not aid them in completing their work.

Sometimes ToC and Logic Frameworks are used interchangeably, but they are different. A ToC explains why something is done and the Logic Framework explains how something is done, they work well together. One cannot have a Logic Framework without a ToC, but you can have a ToC without a Logic Framework (Podems, 2019).

These tools demonstrate a strong move away from a focus on inputs and activities to that of results and impact. For this to be successful, an inclusive approach should be adopted together with the implementing partners, which the donor organisations should be prepared to include within their funding as it requires time, expertise and personel.

2.3.3.3 Evaluation Capacity Building

Evaluation Capacity Building (ECB), or what Tarsilla (2014) refers to as Evaluation Capacity Development (ECD), not to be confused with Early Childhood Development (ECD), recognises that managers often do not have the expertise or guidance needed to both undertake evaluations or utilise the data from evaluations to improve the organisation's programmes, and therefore seeks ways to improve understanding of and integrate evaluation practice and use (Bourgeois & Cousins, 2013). There are a multitude of reasons for seeking evaluations such as outside pressure from a donor; an accountability requirement; seeking new funding or trying to improve a programme (Preskill & Boyle, 2008). The demand for Monitoring and Evaluation, and consequently M&E capacity building has grown substantially over the last ten years as data driven decision making and greater levels of accountability increase (Morkel & Ramasobama, 2017).

This substantial investment in ECB has predominantly been short term with a "donor-centric" focus, not the enhancement of staff skills in order to effect systemic change within the organisation (Tarsilla, 2014). Most of the training content is developed outside of Africa and is not practically applicable, this along with the short-term training style is ineffective for any meaningful evaluation capacity development to occur (ibid.). Preskill and Boyle (2008) believe that ECB (when done well) represents the next evolution in the field of evaluation with more organisations using evaluative thinking, programmes and society will only improve. They present a model consisting of ten different strategies to implement ECB well into an organisation, of which training is only one (see Figure 2.4 below).

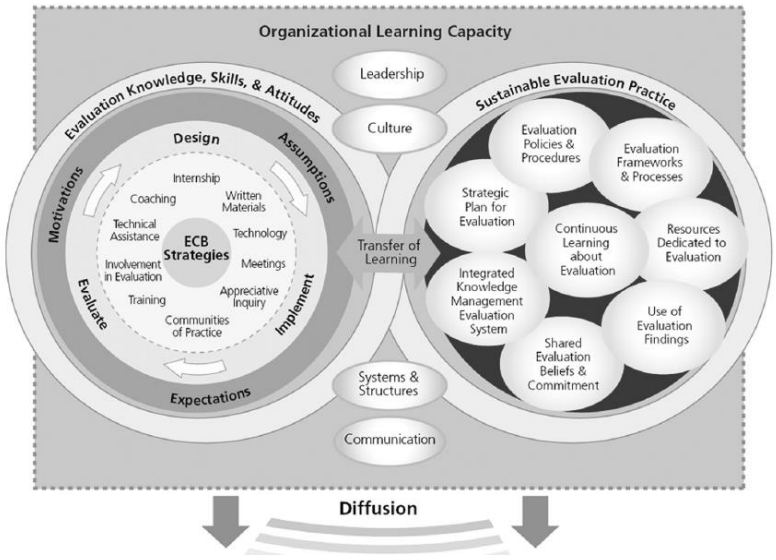


Figure 2.4: A Multidisciplinary Model of ECB (Preskill & Boyle, 2008)

Knowing why an organisation is engaging in ECB helps to determine what kind of capacitation is ideal as well as who should be involved (Preskill & Boyle, 2008). A multi-dimensional approach, consisting of longer-term programmes with opportunities for practical applications with several staff from an organisation involved, appear to be the most favourable ECB approaches. This along with opportunity for more in-depth African approaches, discussions and shared learnings, as well as the use of technology, pose more favourable alternatives (Tarsilla, 2014; Morkel & Ramasobama, 2017; Mapitsa, Khumalo, Engel & Wooldridge, 2019).

2.4 THE SOUTH AFRICAN NPO LANDSCAPE

As mentioned in the definition of concepts in Chapter 1, NGOs; CBOs; Civil Society Organisations (CVOs); FBOs; Trusts or Charities can all be generic names under which NPOs operate. They are all a collection of people who come together for a common purpose (DSD, 2001). NPO is the official title chosen in legislation and by the national Department of Social Development (DSD) and in an effort to standardise shared language, the researcher has elected to utilise this acronym in comparison to other researchers (Bornstein, 2006; Wildschut, 2014).

NPO registration is not mandatory for charitable organisations to exist but it provides a level of professionalism and trust when fundraising. An application and vetting process is carried out by the DSD who oversees the NPO registrations and management. In order to remain compliant, an NPO must provide a narrative report, annual financial statements and an accounting officer's report to the national DSD Directorate within nine months of the end of the financial year (DSD, 2016). At the end of March 2016 there were 153 677 NPOs registered in South Africa (DSD, 2016). The latest statistics show 8,750 registered NPOs in the Western Cape (DSD, 2018), which is in contrast to the 15,654 which appeared in the latest State of South African NPOs report in March 2016. This could be due to an accounting or typing error or due to the high amount of NPOs which are deemed non-compliant. The latter is highly likely as at the end of March 2016, 55.7% of NPOs in the Western Cape were deemed non-compliant (DSD, 2016). There are no statistics available for charitable or CBOs who operate outside of the NPO structures.

2.4.1 THE RELATIONSHIP BETWEEN SOUTH AFRICAN NPOS AND DONORS

Being an under-researched area there were limited studies to draw from, however work undertaken by Bornstein (2006), as well as Wildschut (2014), looked at the relationship between South African NPOs (they utilise the acronym NGO) and donors, with an evaluation

lens. According to Wildschut (2014) the relationship between donors and SA NPOs can be seen as having three distinct phases. Pre-1994 NPOs received substantial international funding with little to no accountability structures built in as they were seen as doing anti-apartheid work. After democracy in 1994, a wider array of international donors funded the SA government directly and NPOs started needing to diversify their funding. Accountability became more stringent and theory-based tools such as logic frameworks were introduced. When the global economic crisis hit in 2007, the need for accountability increased. Due to the competition for NPO funding becoming increasingly competitive (Weerawardena et al., 2010) many NPOs struggle with having adequate funding for their needs, and tender for government contracts or compete with the corporate sector just to remain sustainable.

NPOs face increased levels of accountability both from international and national donors, who appear to be following the lead of the TBE prescribed by international standards (Bornstein, 2006; Wildschut, 2014). There also appears to be a trend of funders preferring to adopt a business-like relationship with NPOs (Maier et al., 2014). The intention is to enhance programme implementation and impact, but Bornstein (2006) argues that often these accountability measures foster fear and deceit, limiting any improvements. In general, NPOs are described as being sceptical of the need and purpose of M&E but nevertheless incorporate it in varying degrees within their contexts, in order to qualify for funding needed (Ebrahim, 2003; Marshall & Suarez, 2014; Wildschut, 2014).

The implementation of more stringent M&E practices has thus far done little to capacitate NPOs. The focus has been primarily on the activities as opposed to how effective the programmes are being implemented. It has placed further burdens in terms of time (staff spending hours on reports) and financial (needing to employ consultants to help them navigate the frameworks). This is a lost opportunity for donors and NPOs to learn and improve on valuable programmes.

2.5 LEGISLATION, POLICY AND GUIDELINES

Six pieces of legislation, policy and guidelines which are relevant to this study have been identified and will be discussed in relation to the notion of M&E. These are the Non-Profit Organisations Act, No. 71 of 1997 (Republic of South Africa, 1997); The Codes of Good Practice for South African Non-Profit Organisations (Department of Social Development, 2001); The Independent Code of Governance for Non-Profit Organisations in South Africa (Rosenthal, 2012); The King IV Code on Corporate Governance (King Committee, 2016), The

Policy Framework for the Government-wide Monitoring and Evaluation system (Republic of South Africa, 2007) and lastly the AfrEA Guidelines (African Evaluation Association, 2019).

2.5.1 THE NON-PROFIT ORGANISATIONS ACT, NO. 71 OF 1997

This foundational piece of legislation was introduced very soon after democracy was reached within South Africa (1994) as a way of unifying and guiding the fragmented NPO domain. It seeks to, "create an environment in which non-profit organisations can flourish…[and]…establish an administrative and regulatory framework within which non-profit organisations can conduct their affairs" (Republic of South Africa, 1997, p. 2).

The Act specifically looks at creating adequate levels of governance, including accountability (which speaks directly to Monitoring and Evaluation). It places high value on transparency, with public and donor access to information being encouraged (Republic of South Africa, 1997). This research holds co-operation and shared responsibility as central, which is coherent within this Act.

2.5.2 THE CODES OF GOOD PRACTICE FOR SOUTH AFRICAN NON-PROFIT ORGANISATIONS, 2001

This is a voluntary code developed by the National Department of Social Development and NPO representatives and is in line with the Non-Profit Organisations Act, No. 71 of 1997. The code describes what is considered good practice in leading and managing NPOs, "with particular focus on governance, administration, fundraising and the donor community" (DSD, 2001, p. 3). It is hoped that by accepting and implementing these guidelines, the NPO sector can advance in the South African context.

The code argues that NPOs carry three main responsibilities: Address the community need; Financial and organisational sustainability; Procedures in place to ensure the correct handling of the resources and programmes (DSD, 2001). Monitoring and evaluation practices are cross cutting through all three of these responsibilities.

The code specifically addresses the responsibility of the governing body to ensure adequate Monitoring and Evaluation methods for its programmes (DSD, 2001), suggesting an internal evaluation of its own practices every two to three years. Furthermore, the code elucidates that an effective strategic plan of action must have controls in place to monitor and evaluate progress, as well as finding opportunities for beneficiary stakeholders and communities to be involved in these processes (DSD, 2001).

2.5.3 THE INDEPENDENT CODE OF GOVERNANCE FOR NON-PROFIT ORGANISATIONS IN SOUTH AFRICA, 2010

This code came about as a response to the King III Code on Corporate Governance, 2009. The King III Code was established without any consultation with the NPO sector and as such contained language largely inaccessible to the NPO sector. It was deemed necessary to have a self-regulated (not imposed by state or corporates) code of governance which more accurately reflected the values and principles of the non-profit sector (Rosenthal, 2012). This code was compiled with the extensive consultation and advice of many individuals and organisations within the NPO sector.

As with the Codes of Good Practice for South African Non-Profit Organisations, this independent code is voluntary, but recommended to all NPOs. "The Independent Code represents a statement of values, principles and recommended practices to which all NPOs in South Africa are invited and encouraged to subscribe" (Rosenthal, 2012, p. v). It seeks to promote best governance practice and promote the fundamental values and operating principles to which NPOs, regardless of size, can commit themselves.

The Code mentions "monitoring actual" performance as one of the roles of the board (Rosenthal, 2012, p. 4), which is expanded further to be an important board governance responsibility to regularly monitor and evaluate performance of the individual and the collective against specific objectives (Rosenthal, 2012).

Within the value of democracy and empowerment, the code stipulates that beneficiaries need to be given the opportunity to evaluate products and services received (Rosenthal, 2012). In being accountable and transparent, it is important to measure the impact of programmes and activities, reporting on both successes and failure (Rosenthal, 2012).

2.5.4 THE KING IV CODE ON CORPORATE GOVERNANCE, 2016

This Code iterates and replaces the King III Code from 2009, a voluntary set of principles for good governance. King IV takes cognisance of the new global realities such as "inequality, globalised trade, social tensions, climate change, population growth, ecological overshoot, geopolitical tensions, radical transparency and rapid technological advancement and scientific advancement" (King Committee, 2016, p. 3). King IV aims to set out the philosophy, principles, practices and outcomes which serve as the benchmark for corporate governance in South Africa (ibid.).

The report's foundation is ethical and effective leadership. Good governance which underpins this is relevant to both the public and private sector. King IV specifically addresses the challenges that public entities such as NPOs face by its, "integrated, systemic, inclusive, sustainable and longer-term view of society", (King Committee, 2016, p. 23). NPOs enjoy a dedicated supplement within the report (King Committee, 2016).

There are 17 principles outlined within the code, which an organisation can use to substantiate their claim of good governance. As with all of the above codes, the intention is to guide and inspire rather than to have dogmatic compliance without any mindful application. King IV makes mention of the board's role in monitoring implementation and execution (King Committee, 2016), which is then expanded in principle five and more specifically within the NPO supplement.

2.5.5 POLICY FRAMEWORK FOR THE GOVERNMENT-WIDE MONITORING AND EVALUATION SYSTEM

There does not appear to be any existing guidelines or policies specific to M&E within the NPO sector in South Africa, other than those mentioned within the above policies and codes.

The policy framework for the government-wide monitoring and evaluation (GWME) system is the overarching policy framework for M&E for the South African government. This framework was put in place to assist government in becoming more effective by providing an evidence base for resource allocation and identifying how challenges should be addressed (Republic of South Africa, 2007). The system further aims to provide a framework of principles, practices and standards to be used throughout government.

This policy framework advocates for M&E being fundamentally rights-based and inclusionary – which is in accord with the theoretical underpinnings of this study.

2.5.6 THE AFRICAN EVALUATION ASSOCIATION GUIDELINES

The AfrEA was founded in 1999 to promote "Africa-rooted" and "Africa-led" evaluation (African Evaluation Association, 2019). There was a great need for information sharing, advocacy and capacity building within the African evaluation context and no such hub existed. It joins the efforts of governments and international partners to develop a strong African evaluation community that is relevant and responsive to the unique cultural contexts of Africa. To this end a set of Africa centric, "de-colonised", evaluation guidelines were developed through conference plenary discussions and subsequent interviews with relevant experts.

Making evaluation culturally relevant and enriching existent evaluation practices by considering the African world view furthers the global evaluation profession as a whole. These paradigms inform what gets evaluated, how this evaluation is utilised and how programmes change. It is fundamentally important to development initiatives in Africa.

"Much of the evaluation practice in Africa is based on external values and contexts, is donor driven and the accountability mechanisms tend to be directed to recipients of aid rather than both recipients and providers of aid" (Chilisa, 2015. p. 8). It was therefore resolved that African evaluation standards should be based on African standards and world views and that African intellectual leadership and knowledge needed to be fostered and grown. Further to this, the development of African thought leadership, theories and practices is envisioned, moving beyond seeing all the world through the lens of single Western ideology.

2.6 SUMMARY OF CHAPTER

This chapter introduced the rights-based approach and capacity development underpinning the theoretical framework of empowerment which were consulted in the research process. The influence of these on Stakeholder Approaches to evaluation, which form the rationale for this study was highlighted. The Monitoring and Evaluation landscape was explored from a global and African context and the relationship between donors and South African NPOs was interrogated. Legislation, policy and guidelines relating to this research were described. The next chapter focuses on the research methodology used to conduct the study.

CHAPTER THREE

RESEARCH METHODOLOGY

3.1 INTRODUCTION

This chapter outlines the research question, aims and objectives as well as the research strategy. The population, sample, sampling procedure and research instruments are outlined. The research instruments and discussion of pretesting is incorporated along with the research methodology. Lastly, the trustworthiness of the study as well as the ethical considerations are described. All the approaches and techniques which were used to conduct the study are covered in this chapter.

3.2 RESEARCH QUESTION, AIM AND OBJECTIVES

The research question for the study was:

How do Western Cape Non-Profit Organisations integrate Monitoring and Evaluation practices?

The resultant aim of this study was to explore the integration of Monitoring and Evaluation practices of Non-Profit Organisations in the Western Cape.

The aim was achieved through the following objectives:

3.2.1 To establish how NPOs in the Western Cape understand M&E practices.

3.2.2 To identify the different M&E practices integrated by NPOs in the Western Cape.

3.2.3 To explore the experiences NPOs in the Western Cape face in integrating M&E practices.

3.2.4 To propose a checklist for NPOs in the Western Cape to consider in their M&E practices.

3.3 RESEARCH STRATEGY

The research strategy is influenced by the purpose of the study (Babbie & Mouton, 2001) as well as the nature of the research problem and the audience for the study (Creswell & Creswell, 2018). This research works from both the interpretivism and constructivism paradigm in which qualitative research is rooted. Interpretivism “seeks understandings and perceptions of individuals for their data to uncover reality” (Nguyen & Tran, 2015). Constructivism is a learning theory which offers an explanation of how human beings learn, essentially saying that

we construct meaning and knowledge through the interaction of what we already know and that which we are exposed to (Mogashoa, 2014; Podems, 2019). This learning process is one of active inquiry and building on prior knowledge and experience (ibid.). Interpretivism, constructivism, qualitative research and social development have a symbiotic relationship with one another, in that they are immersive and active processes, with the individual at the centre. This renders constructivism an astute choice for this research.

An advantage of qualitative research, is that it seeks to understand and garner deep insight into subject matter, directly from those experiencing it. This enabled the researcher to get the necessary insights for the study (Babbie & Mouton, 2001; Podems, 2019). Discovering important questions and processes and not testing or generalising them, as well as exploration are some of the purposes of qualitative research (De Vos, Strydom, Fouche, & Delport, 2011; Patton, 2015). Taking a holistic view and learning participants meanings by the researcher being actively involved in collecting data, qualitative research presents itself as the most appropriate research strategy for this study (Creswell & Creswell, 2018; Punch, 2014).

The collective case study design was employed within bounded systems, in their real-world contexts, so as to explore the same issue within multiple contexts to gain different perspectives (Creswell & Poth, 2018; Punch, 2014; Yin, 2018). Creswell and Creswell (2018) propose that the researcher develops an in-depth analysis of a case, often a programme, activity or process, which is the advantage of using this approach. The collective case study approach often makes use of a smaller sample size (3–4) to allow deeper interrogation. This study is purposely slightly broader as it allows for some comparison but is still a relatively small sample study. It provides only a “snapshot” of experiences.

The purpose and type of research conducted is exploratory, helping to clarify and gain new insights (McGivern, 2013). Exploratory research leads to comprehension and insight into a topic rather than generalisable data (Babbie & Mouton, 2001). Therefore, the findings of the study cannot be generalised due to the deep, subjective nature of the research. However, every attempt will be made to accurately document the research processes, protocols and data for further replicability and insight (Creswell & Creswell, 2018).

As Yin (2018) expounds, exploratory research should always have a purpose. These methods assisted the researcher in gaining deep insight into M&E practices in the Western Cape. This allowed a checklist to be developed to encourage these organisations to enhance their M&E practices.

3.4 POPULATION, SAMPLE AND SAMPLING PROCEDURES

The study population was all NPOs in the Western Cape, South Africa. The study sample drawn from this was comprised of one participant each from ten NPOs and two key informants; one participant from a donor organisation and one M&E specialist from an M&E consultancy. This selection was in line with Patton's (2015) description of a beneficial number for exploring breadth and depth within case study research. The participants from the NPOs were the individuals responsible for overseeing the Monitoring and Evaluation practices within the organisation. NPOs were central to the research but key informants (M&E specialist and Donor) were approached to share their perspectives and complement the data collected. This is to ensure a holistic perspective on M&E practices.

Purposive sampling was utilised to make the selection of the participants. Patton (2015) describes purposive sampling as a technique that strategically selects information rich participants to investigate. It is important that participants who will help the researcher understand the subject matter, be selected to take part (Creswell & Creswell, 2018). The concept of "Verstehen" was pioneered by Max Weber in the 19th Century. By adopting this stance, the researcher seeks deep respect and understanding of the participants in order to understand their perspectives (Patton, 2015).

The following sampling criteria was used in selecting study participants:

- Participants should have been employed at the NPO for at least one year prior to taking part in the study;
- Participants should oversee the M&E of the organisation;
- The NPO should not currently be receiving funding from the researcher's employer;
- Apart from the above, there will be no further exclusion criteria.

The researcher approached (telephonically and via email) a combination of both small and large NPOs from the network of a peer learning platform, Nation Builder, as well as from within the Western Cape NPO network. Once participants were identified, an introduction and participant information sheet were extended to them via email. Permission from the NPO management was obtained in written form and ethical clearance was obtained from the University of the Witwatersrand. Email correspondence ensued for approval, preparation in respect of requesting them to prepare any helpful M&E tools which could be shared during the interview, as well as arrangements for interviews, at a time and location suitable to the

participants. No coercion was utilised and it was made clear, particularly in the circumstances where participants had been put forward by NPO directors, that it was a completely voluntary and anonymous process.

In addition to sampling the above participants, key informants were also approached. The following purposive sampling criteria were used in selecting key informants:

- Key informants (donor and M&E specialist) had to be involved in M&E practices for at least three years prior to taking part in the study.
- Key informants should not currently be engaged in a professional memorandum of understanding with the researcher.
- Apart from the above, there will be no further exclusion criteria.

3.5 RESEARCH INSTRUMENT

The research instrument (or tool) which the researcher employed in this study was three different semi-structured interview guides – one for the NPO participants, one each for the donor and M&E specialist (*Appendices F, G and H*). The semi-structured interview guide provides a framework for questions, predominantly open ended, which allows for detailed yet flexible discussion (De Vos et al., 2011). An advantage of the semi-structured interview guide is that it allowed the researcher to guide the interview process according to the objectives, while still allowing the participants to share views and experience which were important to the research (Hennink, Hutter & Bailey, 2011; Punch, 2014). This added depth allowed the researcher to explore information not previously thought of.

A potential disadvantage of open-ended questions is a research participant going in a different direction to what the researcher requires. This was mitigated by the researcher asking follow up and probing questions which ensured we stayed on track. The use of the interview guide ensured the data collection process was systematic and comprehensive according to the research objectives.

3.5.1 PRETESTING THE RESEARCH INSTRUMENTS

As suggested by Bryman (2012) it is always advisable to pre-test the research instrument before the data collection process begins. The purpose of this phase is to determine the quality of the questions, the comprehension, whether the questions yield the applicable information and the logical flow of the questions.

The researcher selected one NPO and two key informants (one donor and one M&E expert) to take part in the pretesting phase. These participants are named "Participant 1–3". The semi-structured, in-depth interview guides went through this pretesting phase to ensure that data obtained was sufficient and of a substantial quality for the research purposes (Bryman, 2012). Several small changes were implemented based on feedback and experience of interview flow during this phase. Data collected during pretesting the research instruments did not form part of the final data analysis of the study.

The three pre-test participants were interviewed using Zoom, which is VoIP technology. Zoom is widely used for video conferencing in business as the user does not require an account (as is the case with Skype); you can schedule meetings and calls can be recorded. Where it offered the participants greater flexibility in location and time for the interviews this was posed as an option. Rapport was built up leading up to these interviews through the exchange of several emails clarifying the research goals and obtaining signed consent. Video mode was further utilised to strengthen rapport. Lo Iacono et al. (2016) argue that the use of VoIP technology democratises the research process and opens it up to more respondents.

3.6 RESEARCH METHODS

3.6.1 METHODS OF DATA COLLECTION

The two methods of data collection employed within this study were face-to-face interviews and a collection of documentation relating to M&E practices. Interviews were conducted using VoIP technology in the pretesting phase, which is discussed in the previous section.

Face-to-face interviews were conducted with the all 12 research participants, who are referred to as "Participant 4–15". Individual interviews are the most frequently used and important qualitative data collection tools (Babbie & Mouton, 2001; Patton, 2015; Punch, 2014; Yin, 2018). Interviews are insightful, providing in-depth responses, explanations, as well as personal views. They can however also contain bias and inaccuracies (Patton, 2015; Yin, 2018). Interviews were used to gain insight into the thinking around NPO M&E practices, as well as addressing elements the researcher had not previously considered. The individuals from ten NPOs provided varied insight from the NPO perspective, while the key informants enabled the researcher to gain somewhat of a holistic perspective of expectations in the M&E and donor field. This enabled the researcher to provide more thorough and suitable recommendations. The researcher attempted to create an environment in which the participants could represent accurately their perspectives and experiences (Patton, 2015).

Varied documentation relating to the NPOs' M&E practices were collected to illustrate more clearly to the researcher what these practices look like in actuality. Documentation is a stable source of evidence which can be reviewed repeatedly, it is also unobtrusive and both specific and broad (Yin, 2018). A review of these methods and models provided greater context and highlighted practical differences and challenges faced by NPOs. An example of documentation provided ranged from: theory of change, logic models and various purpose-built assessment forms. Not all NPOs had tools to share, these were only collected from NPOs who were making use of these practices. The intention was to draw on multiple data sources (interviews with multiple sources and document reviews) for a thorough exploration (Creswell & Poth, 2018).

3.6.2 METHODS OF DATA ANALYSIS

Data analysis in qualitative studies is an exercise in understanding and meaning generation from the social context (Posavac & Carey, 2007). Successful qualitative research involves deep description of situations and contexts as well as an analysis of the findings for recurring themes and issues (Creswell, 2014). The challenge of qualitative analysis is sifting through large swathes of data to find patterns. The researcher consulted the 12 tips for ensuring strong foundations for qualitative analysis (Patton, 2015) and took cognisance of the assertion that analysis begins during fieldwork, where the researcher starts gaining insights.

This research study made use of thematic analysis. According to Braun and Clarke (2006), thematic analysis should be seen as a foundational method for qualitative analysis. It is an accessible and flexible approach which can be used within different theoretical frameworks (ibid.), as such it was appropriate within this research.

Thematic Analysis consists of six phases, as outlined by Braun and Clarke (2006) below:

Phase 1: The researcher familiarises themselves with the data. Through repeated readings and transcribing of data the researcher gains depth of understanding and can start searching for emerging patterns and meanings. In the context of this study, all recorded interviews were transcribed by the researcher, as well as all documentation provided by participants, reviewed.

Phase 2: The initial codes were produced and then data were organised into meaningful groups. The researcher made use of coloured reference cards to identify as many repeated patterns, with as much context as possible – even those which seemed contrary to the researchers thinking. Patton (2015) asserts that finding the patterns in the data inevitably has a subjective, judgemental element, depending on the purpose of your research.

Phase 3: Once all the data was coded, the researcher tried to pull together similar codes into overarching themes. This was done in a visual way, with sub-themes in groups and even a "miscellaneous" group. The researcher did not discard anything at this stage.

Phase 4: Reviewing and refining the themes occurs at this stage where some themes may fall away or join with other groups. It is important that there be clear and identifiable distinctions between the groups. The researcher reread through all data to ensure nothing was missed.

Phase 5: This phase is about refining and defining the dominant themes and sub-themes. In the context of this study, the researcher was able to concisely describe each theme succinctly in a few sentences by the end of this phase.

Phase 6: The final phase is about producing the research report in a compelling way which shows the validity and the merit of the research.

3.7 TRUSTWORTHINESS OF THE STUDY

The question of objectivity and data verification arises in qualitative research, where the researcher is compelled to persuade the audience that the findings are trustworthy and worth taking note of (Babbie & Mouton, 2001). Qualitative and quantitative research overlap in issues of trustworthiness (Creswell, 2014). Four concepts named Guba's constructs as cited in Shenton (2004), were created to address a particularly qualitative perspective. Knowing the criticism surrounding qualitative research, the researcher attempted to rigorously adhere to the following aspects.

3.7.1 CREDIBILITY

Credibility is one of the most fundamentally important aspects of a study. The researcher ensured that she was researching what she set out to research and that her interpretations were as close to reality as possible (Shenton, 2004). Within this study, the following methods to ensure credibility were followed:

- Triangulation of data, through the use of interviews and document reviews ensured multiple sources of information (Yin, 2018). Voice recording and transcription was used. A wide range of participants from different sized NPOs were included.
- Voluntary participation and commitment to confidentiality encouraged the honesty of participants.

- An independent professional well versed in research and NPO management agreed to perform the role of peer scrutiny (ibid.).

3.7.2 TRANSFERABILITY

The nature of qualitative research is such that a deep understanding of a particular situation is sought, rather than generalisability or application to other contexts, as is the case with quantitative studies (Babbie & Mouton, 2001; Patton, 2015; Shenton, 2004). However, the researcher can, by providing detailed descriptions of situations, contexts, research tools and purposive sampling, ensure the reader has as much background information as possible to allow for further research. In this way, the researcher has attempted to address the transferability construct.

3.7.3 DEPENDABILITY

Dependability is intricately linked to credibility. Babbie and Mouton (2001) go so far as to say you cannot have one without the other. However, as is the nature with qualitative study – it is impossible to say – even after as much detail has been provided, that the same findings would appear in a similar study. Theory and literature are hoped to add to the dependability of the study (Yin, 2018).

3.7.4 CONFIRMABILITY

Confirmability was addressed by the researcher reflecting on aspects of bias and reflexivity. Triangulation of data ensured multiple perspectives and the researcher hopes, a clear reflection of what the research participant wished to convey. A trail of evidence with a case study data base was maintained (Yin, 2018). All participants will receive copies of the research ensuring the researcher is held accountable for the research findings.

3.8 REFLEXIVITY

Qualitative research is interpretative research which cannot ever fully be removed from the researcher's personal background and experiences (Creswell & Creswell, 2018), and being reflexive involves self-questioning and self-understanding (Patton, 2015). The researcher wished to remain aware of potential biases and endeavoured to hold each situation as objectively as possible. Becoming aware that such biases exist is fundamental to this process.

The researcher's training as a Social Worker and current work within a donor organisation present experiences which could influence how results are interpreted. "Reflexivity reminds the qualitative inquirer to be attentive to and conscious of the cultural, political, social…origins of one's own perspective and voices of those one interviews", (Patton, 2015, p. 70).

The researcher maintained a research journal for thoughts and feelings which arose as the research was in motion. Patton (2015) asserts that to excel in qualitative inquiry requires self-awareness. The research supervisor provided further balance by guiding and advising on the process.

3.9 ETHICAL CONSIDERATIONS

Researchers abide by a code of conduct which describes what is acceptable and unacceptable professional behaviour (Babbie & Mouton, 2001). Ethics have to do with moral behaviour and as this research entailed interaction with human subjects, special care and sensitivity was employed (Yin, 2018). To promote the integrity of the research as well as protect the research participants and encourage participation, ethical considerations were applied throughout all stages of the research process (Creswell, 2014).

Prior to commencement of the study, ethical clearance was obtained from the Departmental Human Research Ethics Committee (Non-medical) in the School of Human and Community Development, protocol number: (*Appendix I*). As a registered Social Worker, the researcher abides by the SACSSP code of ethics who state professional ethics to be at the core of the social work profession (SACSSP, n.d.). Research and evaluation standards are specifically mentioned within the code, which are in line with the following principles which guided this study.

The researcher took into consideration the ten humanistic principles undergirding qualitative inquiry as outlined by Patton (2015). These principles cover uniqueness, respect, equity, person centeredness and non-judgmentalism among others. The following principles were abided by and will be discussed in greater below: Voluntary participation, Informed consent, Confidentiality, Anonymity and lastly, Sound data analysis and reporting.

3.9.1 VOLUNTARY PARTICIPATION

Voluntary participation means that participants are involved in the study of their own free will, under no duress by any third party. According to Shenton (2004) this ensures the genuine willingness to take part and share information which provides greater honesty to the research.

Participation in this research was entirely voluntary, with no threat of fear or favour regardless of the choice made. A participant information sheet (*Appendix A*) was made available to clearly articulate the purpose and process of the research. These were verbally expounded on by the researcher assuring them of the voluntary nature of the research and the possibility to withdraw at any stage. This was particularly relevant where NPO directors had nominated a participant from within their organisation, the voluntary nature of the research was clarified with each participant several times.

3.9.2 INFORMED CONSENT

Informed consent allows participants to grasp sufficient understanding to decide for themselves if they would like to contribute to the research or not (Creswell, 2014; Yin, 2018).

Information was provided to prospective participants in the form of participant information sheets, consent forms (*Appendix C*) and verbally answering any questions and concerns before research commenced. Participants were informed of the time and length of the proposed interview as well as the request to audio record the session. Each participant was requested to sign the participation and audio consent forms, which outlined the research aims and expectations. The consent forms also contained contact information of the researcher and supervisor for further clarification.

All participants consisted of professional people within NPOs or donor organisations, who also needed to agree to the involvement of the participants. Due to the professional nature of the participants, it was expected that each was sufficiently literate.

3.9.3 CONFIDENTIALITY

Confidentiality is the protection of information as well as the identity of the participants within a research process. In order for participants to participate freely and not feel that their contribution could reflect negatively or otherwise on themselves or their organisation, confidentiality is central to effective research (Creswell, 2014; Yin, 2018). All raw data is kept on password protected devices and shared only with the research supervisor for academic purposes. The consent forms articulate confidentiality as key and the researcher emphasised this during the contact sessions with all participants.

3.9.4 ANONYMITY

Anonymity ensures that when the research is published, no participants will be identifiable in any form from the research. To ensure this, participants are referred to as "Participant 4–15" to protect the identities of all involved. The NPO's from which they come were not identified.

3.9.5 SOUND DATA ANALYSIS AND REPORTING

The researcher has the responsibility for interpreting and presenting the data as accurately as possible (Babbie & Mouton, 2001; De Vos et al., 2011). The researcher has stored, analysed and interpreted only the data collected, without falsification to ensure accurate research.

3.10 SUMMARY OF CHAPTER

This chapter provided an overview of the research methodology and strategy. The research question, aims and objectives were discussed as well as the population, sample and sampling procedures. The research instrument and pretesting phase were looked at. The trustworthiness, reflexivity and ethical considerations were all explored. The next chapter will focus on the presentation and discussion of the main findings from the study.

CHAPTER FOUR

PRESENTATION AND DISCUSSION OF FINDINGS

4. 1 INTRODUCTION

This chapter is focussed on the interpretation, presentation and discussion of the research findings. The research was focussed on exploring how NPOs understand the concepts "Monitoring" and "Evaluation", how they integrate these practices into the work they do and their experiences in doing so, including any challenges they may face. The contribution of this study is greater understanding of the M&E practices integrated within the NPO sector.

The profile of the organisations and the research participants is presented in tabular format. In order to adhere to the ethical considerations of the studies, no identifying details will be used. A total of 15 participants were interviewed, with the first three ("Participants 1–3") comprising the pretesting phase. The data gathered during this phase helped to refine the interview schedule but does not form part of the data analysed. The following 12 participants ("Participants 4–15") comprise the data analysis and interpretation presented in this chapter.

The interviews were conducted in such a way that transcription by the researcher took place on the same day, directly after the interview. This was a critical time for reminders, reflections and clarification (Patton, 2015). Themes and patterns were sought across the interview data which are discussed within this chapter in the form of themes, sub-themes and sub-sub-themes (ibid.). The discussion includes reference to relevant literature and past studies.

4.2 PROFILE OF NPOS

The size (organisational budget), geographical scope and NPO sector is presented in Table 4.1 below. Organisations ranged in size (organisational budget) from R5 Million to R50 Million. A typical bell curve would be represented, with the lower and higher budgets sitting on the outskirts and the majority ranging from R10–R30 Million.

The geographical scope ranged from one NPO focussed within a community and two broadly throughout Africa. The norm was for a regional and national focus.

The NPO sectors represented were Education, Youth Employment, Business and Skills Development and Social Welfare, with only one selecting "other" as they believed their sector could not adequately be described. Most (nine) of the participants identified "Education" as being at least a part of the sector they are involved in.

Table 4.1: Profile of the organisations (N=12)

Participant	Size (organisational budget)	Geographical scope	NPO sector
4	>R20 Million	Africa	Youth employment
5	>R20 Million	Africa	Education
6	>R10 Million	Regional	Social Welfare
7	>R50 Million	National	Education
8	>R30 Million	Regional	Other: Education, Early life, Employment
9	>R20 Million	National	Education Social Welfare
10	>R30 Million	National	Other
11	>R10 Million	Community	Education Health Social Welfare
12	>R40 Million	National	Education Business & skills development
13	>R5 Million	Regional	Education
14	>R10 Million	Regional	Education
15	>R10 Million	National	Education

Expanding on the profile of the organisations, in particular the research participants, Table 4.2 below presents their position, experience and qualifications.

Table 4.2: Profile of research participants (N=12)

Participant	Position	Experience	Qualifications
4 Donor	M&E specialist	11 yrs	M. Programme evaluation
5 M&E Specialist	Executive Manager of M&E	12 yrs	M. Dev studies; P.G M&E; M. M&E
6 NPO	COO**	15 yrs	BA PPE; M. Int Dev.; M&E short courses
7 NPO	Management Co-ordinator for exco team	12 yrs	Certificate in office management
8 NPO	COO**	8 yrs	B. com Honours strategic management
9 NPO	Programme & Research Manager	9 yrs	M. Research & Psychology
10 NPO	M&E manager and Strategic Partnerships manager	21 yrs	H. Sociology; M. Social Science Methods
11 NPO	COO**	19 yrs	B Com.; MBA
12 NPO	Co-founder and CEO*	10 yrs	Chartered Accountant
13 NPO	Director	11 yrs	B. Chemical Engineering; BTEC Project Management
14 NPO	CEO*	33 yrs	Bsc.; B.Ed
15 NPO	Data Management Officer	4 yrs	BA Film, English & International Relations

*CEO: Chief Executive Officer **COO: Chief Operating Officer

The individuals interviewed were all in charge of the oversight of the M&E for the organisation but ranged in title from data management officer to CEO. This is in line with findings in the literature which do not stipulate directly who should hold the M&E but rather have it as a function of management as well as the involvement of various stakeholders (Patton, 2008; Rossi et al., 2004).

There were a range of qualifications of the research participants, which confirms the trans discipline nature of M&E as well as the varied backgrounds of people working in the NPO field (Podems, 2019; Cloete, 2016; Rossi et al., 2004). All, bar one, had at least a bachelors university degree. Experience in their sectors ranged from 4–33 years which confirms that the selection criteria was adhered to.

The intention of the study was to interview a range of NPOs to get a variation on perspectives, as well as two key informants (one donor and one M&E specialist) in order to provide some nuance and holistic understanding. The researcher believes that the profile of the organisation's researched as well as the participants adequately represents this aim.

4.3 THEMES AND FINDINGS FROM THE STUDY

The main themes, sub-themes and sub-sub-themes were derived from the interviews and document review of the research study and are displayed in Tables 4.3 and 4.4 below.

Table 4.3: Main themes, sub-themes, sub-sub-themes

Main Themes	**Sub-themes**	**Sub-sub-themes**
Perceptions of M&E practices	Terminology	
	SA context	
	Rating scale	
Variety of M&E practices	Online vs paper-based systems	Theory of Change Baseline assessments Project monitoring tools Post-intervention tools
	Tools	
	Integration, participation and collaboration.	
Experiences when integrating M&E practices	Donors	Feedback loops Flexibility/ Collaboration
	Capacity Building	
	Emotions	Frustration and Nervousness

Participants were invited to share any form of document or tool which formed part of the Monitoring and Evaluation within the organisation. Most were able to share either hard copy, electronic or referred me to their website. Some felt that their documents were in an incomplete stage to share and others felt that their documents were for internal use only so were not able to share.

Table 4.4: Document review

Participant	Document review
4	ROLE Survey; Theory of Change
5	Kirckpatrick training assessment tool
6	Annual report; Theory of Change
7	Impact report; Organisation overview
8	Theory of Change
9	Baseline assessment; Weekly planning documents; Consent forms; Home visiting records; planning and reporting forms; Follow up forms; Referral forms; Service provider forms
10	Annual report; Baseline assessment
11	Theory of Change
12	Theory of Change; Poverty stoplight tool; Impact report; Annual report
13	Theory of Change
14	Annual report; Principals competency assessment; Theory of Change
15	Theory of Change

4.3.1 PERCEPTIONS OF M&E PRACTICES

The first main theme which emerged was how participants perceived M&E practices. This ranged from what they understood by Monitoring and Evaluation terminology, how they understood M&E within a South African context and how they perceived their particular organisation's M&E practices helped them to achieve programme goals.

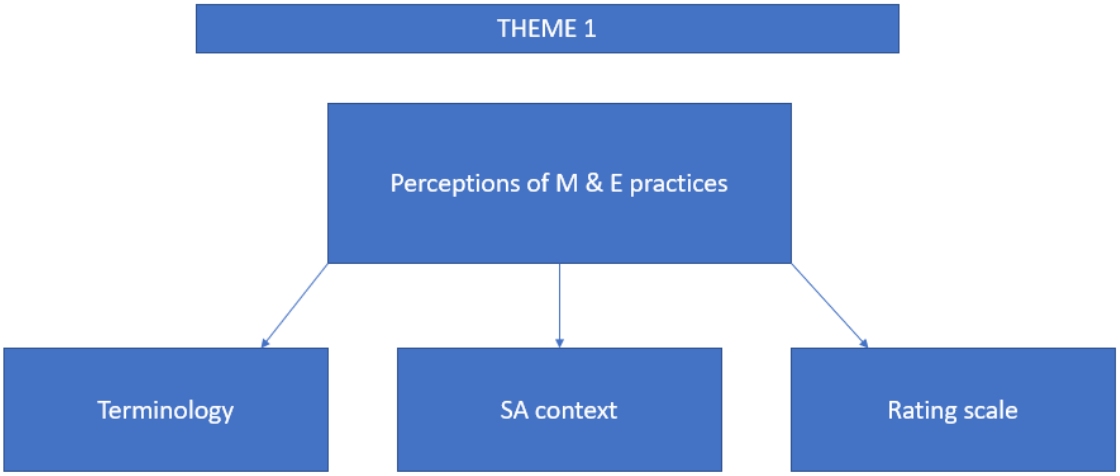


Figure 4.1: Theme 1

4.3.1.1 Terminology

Monitoring and Evaluation are two distinct, interlinked but separate processes. Oosthuizen and Venter (2017) describe monitoring as the collection of information relating to project progress and the assessment of this information to determine any deviations from planned progress, remediating where necessary. While Patton (2015) describes programme evaluation as studying how a programme works and what results it gets, to determine how effective it is.

Both the Donor (Participant 4) and Key Informant (Participant 5) were astute in their understanding of Monitoring and Evaluation Terminology. There was no hesitation or confusion as to how they defined M&E or what practices they considered important.

Participant 4: *Monitoring is keeping track of your progress against set objectives to see if you are on track to achieve your strategy or Theory of Change impact. Evaluation is about checking whether or not what you have done is the right thing and whether it did create the impact you wanted and it also allows for course correction should you find that it is not.*

Participant 5: *Monitoring is part of programme management…at least it should be. It is about collecting routine data that will help you make implementation and management decisions and improve your programme continuously. Evaluation is more of a reflective undertaking. It helps to have an independent external viewpoint though it doesn't always have to be done by someone who is entirely independent. It answers some of the bigger picture questions of if it was all worthwhile; whether you did achieve what you set out to achieve.*

Participant's 8, 9, 10 and 11 all had similarly comprehensive answers along the lines of:

Participant 8: *Monitoring and evaluation is the process by which we would monitor the activities of the programme and evaluate whether these activities are resulting in the change we were looking for as we would evaluate it against our Theory of Change per programme.*

There was a recurring consensus (albeit to varying degrees) among the aforementioned participants that evaluation is an external function, not to be undertaken by the organisation themselves.

Participant 10: *For me it is absolutely critical that we make a distinction between Monitoring and Evaluation. Monitoring is about understanding your work, being reflective on your work. The evaluation component – I find – based on my experience in the sector is something that is more likely to get hived off to a specialist or to management*.

Participant 11: *There are elements of evaluation built into monitoring but we see it as more external where at specific points in time you would conduct an evaluation to determine the impact. This is usually not done very often and usually by someone external*.

Participant 12 agreed that the two terms needed to be separated but felt that evaluation was an important part of an organisations learning culture and that an external evaluation should not tell you anything new about your organisation.

Participant 12: *I think too often evaluation is only spoken about in the context of an external evaluation and I don't really believe that you need external evaluation if you are doing a good job. If we are truly honest and self-reflective and focussed on the goal and not just self-preservation you will do a good job.*

Participants 6, 7 and 14 were unable to answer this question in depth. Participant 6 indicated they do not use this language and declined to be drawn into conversation on terminology. Subsequently, in the interview it did emerge that the participant had a grasp of what is meant

by M&E but was deterred by the terminology. Participant 13 and 15 answered the question in part, with participant 13 relating it directly to funding and participant 15 only focusing on the monitoring aspect of the question.

Participant 13: *It's one of the things we do regularly for funding. It's all about Inputs and Outputs.*

Participant 15: *It is how we keep track of all of our activities, who we engage with, how we engage with them, how often we engage with them and what they get out of our engagements with them.*

In summary, those participants with specialist training in M&E were able to accurately describe it, however, almost half of the research participants could not adequately articulate what they understood by the terms "Monitoring and Evaluation" or how they related to the work they do (5 out of 12). When comparing size and scope of organisations there did not seem to be a pattern as the five varied in both organisational budget and scope. It was interesting to note that all five had no formal M&E qualification, this did appear to offer an explanation of the limited understanding shown here.

The greater staff contingent of an organisation may well benefit from shorter term or online courses on M&E, in relation to broad and basic understanding as well as demystifying concepts. Participant 8 expressed this sentiment in the following way:

A lot of the staff don't understand the terminology and tools – it would be useful for them to go on even 1- or 2-day courses.

However, NPO intervention programmes should be sufficently conceptualised and planned out in so far as one can plan a human service programme which is so often frought with ongoing change (Rogers, 2008). Much training content developed outside of Africa may not be practically applicable and may not be sufficient (particularly the short-term training style) for the individual leading the M&E of an organisation (Tarsilla, 2014).

4.3.1.2 SA Context

Monitoring and Evaluation in South Africa is still a relatively new and evolving profession (Cloete, 2016). Some of the unique challenges we face as a country emerged in how we integrate M&E, how it differs to traditional Euro centric M&E and, of course, the issue of cultural and language diversity.

Participant 4 (Donor): *In SA M&E is very new so as a country we are still grappling with how to integrate it. In Africa it is still certainly seen as aid and donor driven and there is little capacity to do it. The ideal M&E approach for SA is that it needs to be participatory, it needs to be culturally sensitive, it needs to be empowered. If you take this kind of approach where there is a collective consensus, where the beneficiary has a right to say what they are measured on. Where they have access to the interpreted data and be able to make a decision on how they are impacted on. I think this is what SAs nuanced approach to M&E can be.*

Participant 8: *At my previous organisation I came to realise very quickly that the beautiful graphs I was looking at had been designed by someone sitting in New York, not on the ground. The first time I went out on a field visit, there were women sitting on the floor quickly filling out questionnaires which were meant to be month long registers. It was a mess!*

Participant 12: *The crux of the methodology is that it is owned by her. It's not imposed on her. There is no judgement. Wherever she wants to go, she goes. At no point do we say by the time you leave you need to be up to this level – every family is unique and every priority is unique – it is self-directed by her.*

Participant 14: *Our programmes are very collaborative and culturally sensitive. We go at the speed of the principal.*

A South African expression of M&E came through quite strongly with the majority of participants showing a collaborative approach. This concurs with the literature of Ofir (2013) who describes the potential for non-Western wisdom, traditions and knowledge systems to help shape the future of evaluation frameworks. The development of more independent African voices articulating what an Africa-rooted evaluation process could look like, is gaining momentum and needs to be fostered. The concept of development by people, for people is central to this process.

In a country where there are 11 official languages, Participant 11 had the following to say:

The other area is around language. I need everything to be in English but most of our staff and beneficiaries are not English.

Language can be confusing both in the terminology which is used in M&E, as well as using a language which is not the mother tongue of the stakeholders. Due to the proliferation of labels in M&E it is no wonder that people are confused. It is important for every organisation to understand for themselves what they mean when talking about the various M&E labels.

Words mean different things to different people (Podems, 2019). If English is not the first language of someone- remember that the labels are not the important part but rather the meaning behind them. Ensure that whoever you are working with, understands the heart of what you are trying to achieve. Language is so important that Podems (2019) includes it in what she believes the five key influencers on evaluation to be: power, politics, culture, context and language. Language and culture work hand in hand and are extremely important in any development work (Podems, 2019; Cloete, 2016). The voices who will be impacted by the development work need to be heard and included.

4.3.1.3 Rating Scale

The NPO participants were each asked to rate themselves on how well they felt their current M&E practices helped them in achieving their goals. The rating scale went from 0 as the lowest rating to 5 being the highest. Some found it difficult to separate out the ratings among their different programmes but on a whole the participants rated themselves mid to high in effectiveness of how their current M&E practices assist in goal achievement.

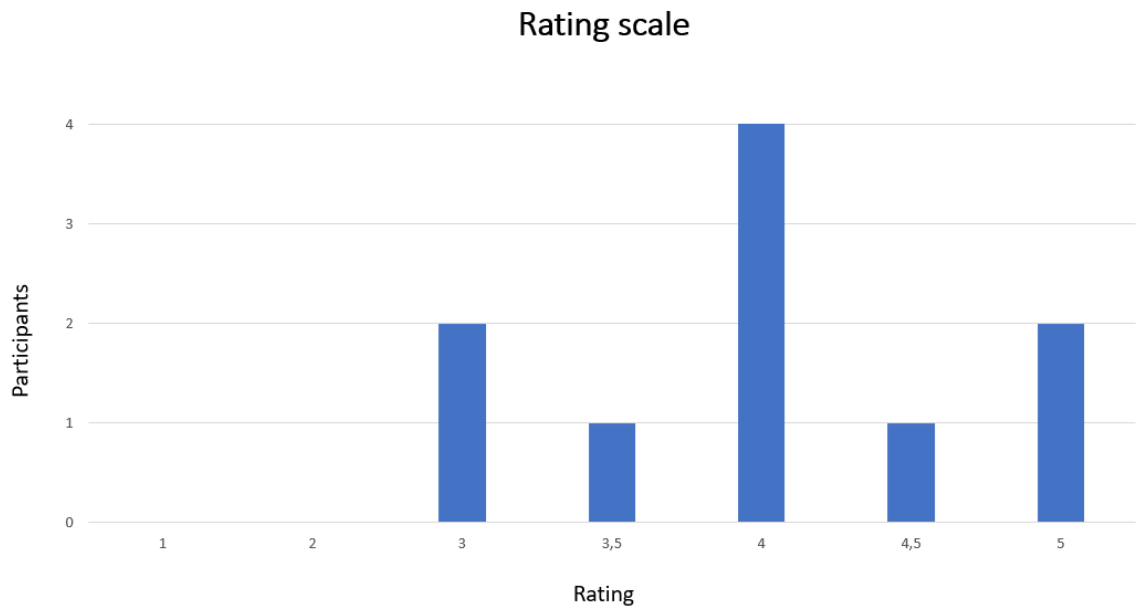


Figure 4.2: Rating Scale

Participant 6: 4.5. *We have started using the data a lot better in assessing where the gaps and bottle necks are and where we are failing.*

Participant 7: 3.5. *There are times when we feel we don't have what we need at our disposal and then we need to find a way or a temporary solution. The systems we have can be expanded.*

Participant 10: *5. I don't think I can get much more out of our projects than what we are getting right now.*

Participant 11: 3. *Definitely things that are in place that are keeping us on track knowing what we are doing but definitely room for improvement and adding stuff to it. I think it is valuable working with an expert in the field like a consultant. This is helpful for them to just review and help us narrow down. They help you take that step back.*

Participant 13: *4. We are ready for an external evaluator to come in and evaluate us and show us what is right and what is wrong. I am confident.*

It was interesting to note that no participants rated themselves poorly on this scale. The majority of the responses were on the average side, reflecting some caution, rather than over confidence. Further research would need to be conducted on how effective their M&E processes actually are and how closely these align to their responses.

4.3.2 VARIETY OF M&E PRACTICES

The second main theme which emerged was the variety of M&E practices across the organisations. These were further broken down into sub-themes of Online vs Paper-based systems; Tools, and lastly Integration, participation and collaboration. The sub-sub-theme emerged under tools where a variety of tools were categorised for the purposes of this research.

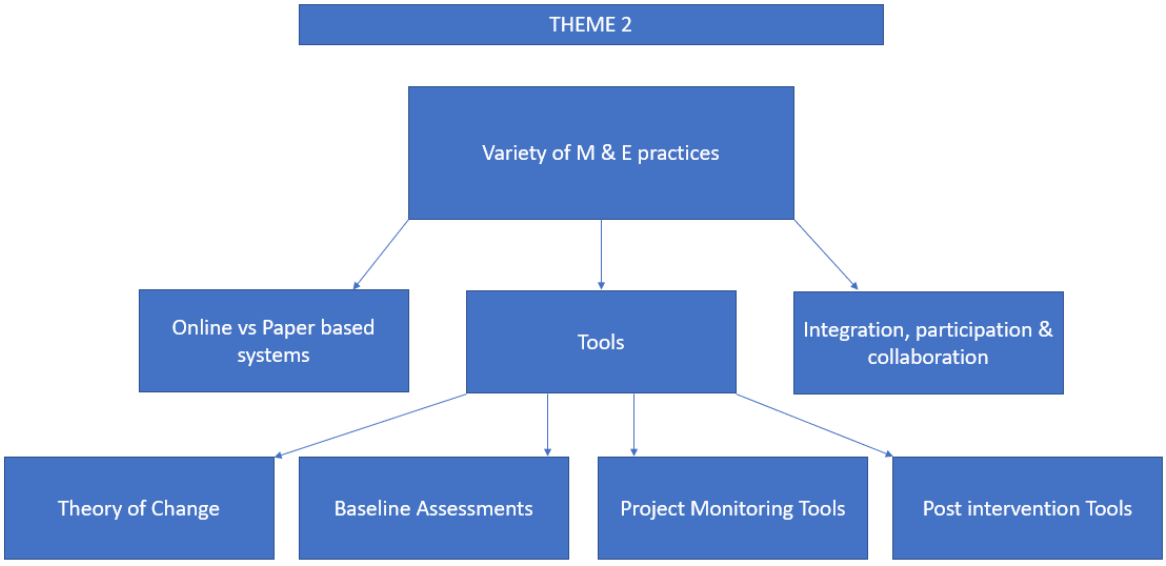


Figure 4.3: Theme 2

4.3.2.1 Online vs Paper-based systems

This theme emerged when discussing more of the practical elements of M&E and how the data is captured and stored. At least five of the organisations expressed themselves to be largely paper based, with only rudimentary use of technology and software systems such as Excel. The process of first capturing data on a paper-based system and then transferring it to an online data system seemed common practice. Excel is used by most of the participants.

Participant 9: *A lot of our M&E is hardcopy but we don't have an online system. We capture all our data into Excel sheets but we don't use data management systems or cloud-based stuff. It's very time consuming. It slows the whole process down and is arduous, we are not tracking data, seeing gaps, reflecting back, altering programmes.*

Participant 10: *We literally use hard copy forms and then convert these into Excel format. It is very time consuming and inefficient. Every time someone asks me a question I have to re-mine the data – it's ridiculous!*

Participant 14: We use *very clever Excel sheets but we are looking at getting a data system that captures all of this because it is getting quite big now.*

Salesforce was used by three participating NPOs. Participant 6 is part of an organisation with executive level staff who have the business training and skills needed to navigate this software. Furthermore, they offer training to other NPOs in implementing Salesforce.

Participant 6: *We can really pull any report anyone could possibly need because we capture the raw data.*

However, participant 8 and 11 have not had an easy time implementing Salesforce:

Participant 8: *We only makes use of Salesforce for one of the projects, we are investigating other systems at the moment because we find Salesforce a bit of a nightmare and expensive.*

Participant 11: *When I first started working here everything was very paper based and we have evolved onto an electronic system... Salesforce has taken a long time to get to grips with. The biggest thing with Salesforce is the users. We have settled on fewer more well-trained users using Salesforce. Then capacitating these staff. It has been a long process of upskilling. It is definitely not without its constraints. Even this year I feel like we have gone back.*

Two participants reported having access to DevMan (a cloud-based software platform for monitoring, evaluation and programme management) through funders, but were not positive about it. This software is costly, in excess of $28,000.

Participant 10: *We don't have a data base and I have been fussing with our board for the last 5 years to invest in one. We use DevMan which is completely inappropriate and inefficient for my needs.*

The most positive feedback regarding an online system, came from Participant 15 who is using Google Data Studio with the assistance of a consultant to build the required systems.

Participant 15: *It is quite a new thing and we have kind of moved up in the world in terms of our management of data. We do all our work in google sheets because we use google data studio which is a free programme that allows us to create interactive data visualisation dashboards that are live and that update automatically so that internally people who are not interacting with the raw data can see the summaries. Technology is a big challenge in the organisation because the people involved are retired teachers and principals and the median age of employees is about 45–50. So, I am the youngest by far. Trying to make data accessible and simple is key.*

Being able to compile historical and ongoing data, access it when needed and to be able to reflect on your data is of fundamental importance in M&E. This is an aspect of the research which could be expanded upon as it would be incredibly useful to NPOs, especially considering where we currently sit in the so-called "fourth industrial revolution", which is characterised by the fusion of technologies (Schwab, 2016). It is happening at an exponential pace and changing entire industries, with inequality being the greatest societal concern. The gap in access to knowledge is widening as our world globalises, with the more educated and wealthy individuals receiving the bulk of the opportunity and exposure to technological advances (Patel, 2008). Technologies such as computers, the internet and cell phones allow increased access to information and can be powerful tools for social development when used inclusively (Patel, 2008). The question is no longer *if* you will use Information and Communication Technology (ICT) within your programme development, but rather *which* ICT tools will assist you to realise your objectives optimally. Patanakul, Iewwongcharoen and Milosevic (2010) argue that in order to be successful, a project manager must become an expert in utilising the correct tools within the correct phase of the project life cycle. Unfortunately, what their study showed is that most project managers are using very few of the tools and techniques at their disposal. Those

that they do use, do not necessarily correlate with being the most effective but are often dictated by habit within the organisation or what a particular software package offers.

4.3.2.2 Integration, Participation and Collaboration

Monitoring and Evaluation is reported as being well integrated into most of the organisations processes and all staff are encouraged to participate:

Participant 6: *All client facing staff have to capture data – they are involved in capturing information for our systems; managers and support staff are involved. Our fundraiser and finance team are using this data all the time. Our donors want to know the data. The staff iterate programmes based on what they see with the beneficiaries.*

Participant 10: *Definitely my partners on the ground are involved and definitely the team – the fieldworkers. Not because I need it – but because they need it! Not the board – they are irritating and they don't get it! They have unrealistic expectations.*

Participant 11: *We have a very participatory process, ToC is all workshopped with our staff. Now we are going through another round of sharing it again and reinforcing checking that everyone understands it. The programme managers and site coordinators work a lot with their own data, producing monthly reports. We include donors, beneficiaries, school and academic partners, the board – everyone is kept up to speed with our M&E.*

Participant 12: *It is very collaborative; our beneficiaries take ownership. The beneficiary is number one. We want them to want to eradicate poverty in their own lives. We also want school owners who want to have 5-star creches and not 2-star creches.*

This corroborates with Chilisa (2015) on the Africa rooted approach to evaluation which amplifies the participatory and relational approach. Having evaluation as an embedded approach within your organisation is seen to improve the understanding, analysis and subsequent adherence to results. Feedback loops are expressed to be of utmost importance if you are wanting the buy in from beneficiaries.

Participant 4 (Donor): *Data collection can vary, but participation is key – listening to our "customer" if you want to call it that. Involving stakeholders and fundamentally reporting back to them is critical.*

Participant 11: *We have recently started a community newsletter where we filter our learnings back to our beneficiaries on the ground. They are really enjoying this.*

Participant 15: *We didn't share feedback on data with partners. This became an organisational focus that because they spend time collecting data, assessing children. We need to share the information. We are able to analyse and now we are known as an organisation that shares what we receive. It brings a bigger level of respect and exchange.*

Only two of the organisations reported that it is only leadership of the organisation is involved in M&E processes. Both of these organisations were of the larger organisations interviewed, which could indicate the difficulty in participatory processes, the bigger your organisation is.

Participant 7: *The business manager, the advancement manager, the school network leader and the six school leaders are involved in the M&E of the organisation. The board is involved in an oversight level in terms of providing signatures etc.*

Participant 8*: The 3 C's: CEO, COO & CSO. Then depending on the team, it will be the team leader. As far as donors are concerned – it varies. I would love the board to be involved in this. My previous organisation the beneficiaries were more involved – here, not so much.*

4.3.2.3 Tools

Tools aid the participants and organisations in their M&E processes. An abundance of tools were revealed during the interviews, as well as during the document review stage of the research. The most common tool mentioned was "Theory of Change". Every NPO mentioned a ToC in one form or another and not one mentioned the Logical Framework, which contrasts with Wildschut (2014) and possibly shows an evolution in terms of popularity of tools. The other tools have been divided into broad categories of Baseline Assessments; Project Monitoring Tools and Post-Intervention Tools for the purposes of this study.

- **Theory of change**

Theory of Change was the most common tool mentioned, participant 4 (donor), had this to say on the Theory of Change:

NPOs are starting to have their ToC in place because they know that without that they cannot financially survive. Almost all grant criteria say what M&E systems do you have in place and show us some evidence. You are almost immediately excluded if can't answer those questions. This has created a knee jerk reaction where people say they have it but once you interrogate a bit deeper you realise that their ToC is whatever you asked them in the grant application.

The only participant who did not make use of a ToC was participant 10, who didn't feel it was possible for her organisation to have one at their particular stage of development. Participant 14 admitted to having an organisational ToC but not really knowing what it is all about. Participant 9 admitted to having a ToC for funding requirements but not using it at all other than that.

Participant 12: *We are very clear on our Theory of Change. It is written down, it has evolved over the years. I don't think it's particularly helpful to us right now. I think once you are a well-established organisation what is more helpful is the KPIs (Key Performance Indicators) and that you are clear which ones are measuring what.*

The other research participants were positive about the ToC and it was either displayed on walls in the office or referred back to within the year as a working document.

Participant 11: *I think one of the most significant shifts for us was documenting the Theory of Change. We have a ToC for each of the three programmes we have. It looks at the resources we need, the activities we do and what outputs we expect to achieve and then the outcomes for the short, medium and longer term. Then it looked at in all of that what are the indicators that are going to measure and what are the tools we can use to measure that. This is one of the most significant tools we have used over the years because it puts everything one way for everyone to understand.*

The difference seemed to lie where NPOs had training specifically tailored to their organisations. They were able to fully understand the ToC and apply it to their contexts as well as continually refer back to it with confidence. Shorter, group or free online courses do not appear to be sufficient for this.

- **Baseline assessments**

Various kinds of baseline assessment tools were mentioned by more than half of the participants. The following having been grouped together for the common purpose of gathering information at the beginning of an intervention, in order to follow up at some later stage to compare progress.

- Centre assessments (ECD centre baselines; physical structure assessments etc)
- Content knowledge tests (pre-tests; Early Grade Reading Assessments (EGRA); Early literacy tests etc)
- Person specific tools (Poverty stoplight; registration or intake forms)

- Evaluability Assessment

Participant 9: *Normally when we are trying to find ECD centres to work with, we will find the centres and do this baseline and tailor the intervention to fit with what comes out of the baseline. This informs the intervention. It covers everything from identifying features, demographics, functioning of governing body, building etc and we do this form to track inputs and then redo this form as a follow up to track what has changed.*

Participant 12: *In 2013 one of the questions keeping me awake was our long-term impact. We started using the poverty stoplight tool. We use it to baseline all applicants and their families and then bring it into our life coaching and business mentoring. The beauty is that it is not my goal – it is the beneficiaries' goals.*

Participant 13: *We monitor how many kids register at the beginning of the year and how many complete. We also do baseline testing for maths and science, to see what they know in the beginning of the programme. Then we analyse and put together a programme for that child. At the end of the year we give them the same test and we compare the two to see what the increase in percentage is.*

- **Project monitoring tools**

These tools were used on an ongoing basis to track activities and progress. These tools are all used to gauge how the beneficiaries are performing on the programme; if the programme is running as it should and to pick up any irregularities along the way.

- Project monitoring (attendance registers; workshops held; budget reviews; field visit tools)
- Content acquisition (Systemic tests; matric results; Early literacy assessment; EGRA; pop quizzes)
- Varied qualitative monitoring tools

Participant 13: *Each tutor has an attendance list. They do this weekly and convert into percentages on a monthly basis. The end of year result is directly linked to attendance.*

Participant 14: *We have a principal's evaluation where we assess the principals twice a year on a spider gram where we would evaluate them on various moral imperatives, academic*

sharing, collaboration. But this is very subjective. We also have our EGRA testing down in superb detail. We track every single child and their score will get interpreted into a comment. This comment is then collated and put into a report for parent. This parent then receives a booklet with ideas on how to help their child achieve success in the areas they are needing to improve in.

Participant 15: *Qualitative Monitoring is always evolving. We don't depend on one single tool that we use every year. We are constantly making new forms and that is not systematised, it is more what do we need to know now and who will we share that information with. We collect the info routinely but what we do with it is not routine.*

- **Post-intervention assessment tools**

These tools are used to obtain feedback on how the beneficiaries either performed or experienced the various interventions. They are valuable to inform evaluation and possible programmatic changes which need to occur on future iterations. As with the above categories many are cross cutting themes. Participants had the least to say about the post-intervention assessment tools, especially as it concerned the dedicated time for reflection and learning in order to iterate on programmes. Ebrahim (2003) asserts that NPOs tend to prioritise action over analysis and that a reconfiguration of understanding is needed. An evaluative mindset as one which better enables them to help more people and grow as an organisation. The following were shared as examples of post- intervention assessment tools which are utilised:

- Beneficiary feedback on experience (Online survey; Focus groups)
- Content acquisition (Post-tests; self-assessment; systemic tests; matric results)
- Project evaluation (3 years post-intervention tests)
- Reflection and learning sessions (including implementation staff; feedback loops)
- Stories of change
- Most significant change

4.3.3 EXPERIENCES WHEN INTEGRATING M&E PRACTICES

The final main theme which emerged was that of experiences when integrating M&E practices. The sub-theme of Donors and sub-sub-theme of feedback loops, flexibility and collaboration, as well as local/ international trends came through. Another sub-theme of capacity building emerged as well as that of emotions, with the sub-sub-theme of frustration and nervousness.

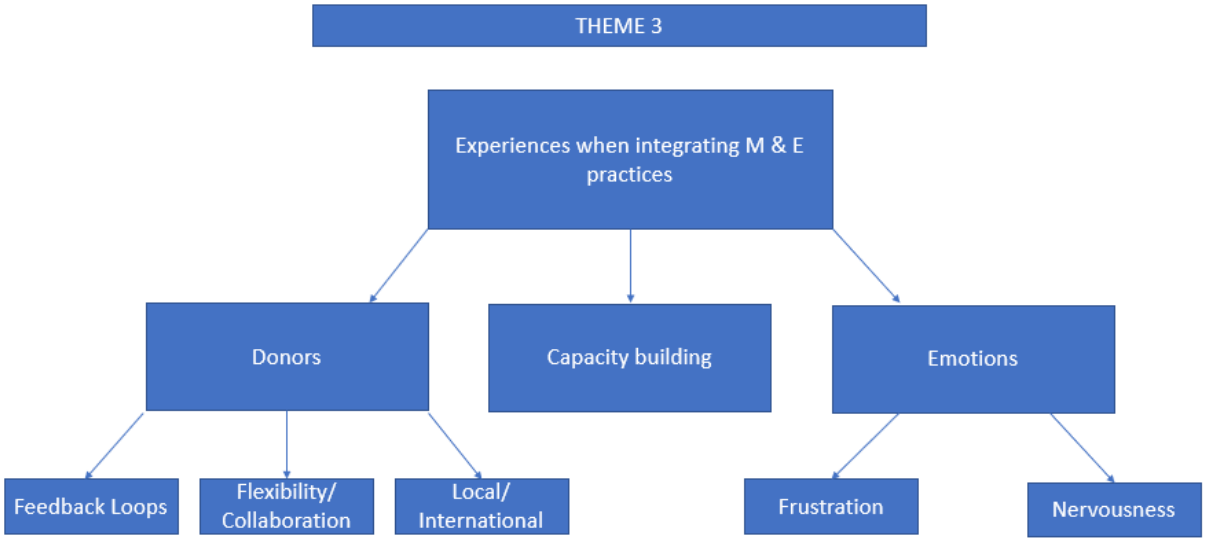


Figure 4.4: Theme 3

4.3.3.1 Donors

It is difficult to generalise and draw conclusions from "donors" as a group as they are so varied. A donor can be anyone from the government; a large international funding agency such as UNAID; a corporate foundation; a philanthropy or an individual. Each of these entities will have their own unique reasoning as to why they are funding what they are. A government, corporate foundation or international funding agency is more likely to follow stricter reporting structures and timelines whereas the philanthropies and individuals may be more flexible in terms of what their reporting looks like. All participants had a range of experiences with their donors, some overwhelmingly positive and some stifling and acrimonious.

Participant 5 (Key Informant): *I think some donors have some very particular ways in which they want things done and they want specific terminology used. This can be very confusing and frustrating for NPOs where you have to do the same thing in different ways for different donors.*

Participant 7: *A donor wanted information on how many AIDS orphans there are – we don't collect this information. It is very sensitive. But if that's what the donor wants – we have to give it to them.*

4.3.3.1.1 Feedback Loops

Participants had mixed feelings on donor feedback as NPOs receive funding from such different sources. Each of these funders has a different expectation in terms of feedback they

wish to receive. It can range from zero expectation to incredibly detailed reporting and everything in between.

What came through strongly from the participants was the need for a better feedback loop from donors to whom lengthy reports were submitted. This concurred with previous research undertaken by Bornstein (2006) who commented that reports went largely unread with no feedback from donors or even worse they were asked for further information – already contained in the report which showed the report had not been read.

Participant 6: *We were two days late in getting a final report in. The day after the deadline we got an email from the project manager asking for the final report. The next day we sent it with apologies and a very big long report. We never heard back! We were part of a plan to disseminate information and it was fascinating the fact that we got follow up the day we were late but then never received feedback on the report. I guess my biggest frustration is the lack of a feedback loop. If you don't ever feedback it just goes into the ether.*

4.3.3.1.2 Collaboration/ Flexibility

To what extent were donors felt to be open to collaborate with NPOs as opposed to being prescriptive in their expectations on strategy, implementation and reporting. The majority felt this was a very difficult question to answer as once again there are so many different types of donors and no standardised methodology.

Participant 7: *Some of them are very very, very strict! Others are easier. Most are very specific – they call the shots – you don't! If they want you to change this letterhead or this font – you have to just do as they say. It is quite tough because you are always running around trying to please them.*

Participant 8: *I think there is a very wide range. Some are very progressive; others are very cognisant of not wanting to waste our time on onerous reports. The corporates are really intense in terms of wanting rigorous M&E systems. One though has offered their experience to help us improve our capacity.*

Participant 9: *At an NPO you have a limited amount of staff trying to do a maximum amount of work. If the funder requires more M&E – the people will have less time for programmatic inputs. One funder required a monthly, quarterly, 6 month and annual report all due on the same day. It was insane. There was no room for debate. Donors one to the next, they are so completely different! One will ask for 58 tools, a thousand sets of data. Then a similar funder*

will ask for absolutely nothing. I can't see a rhyme or reason for why this is the case. It doesn't seem to correlate to size of funder or grant. It comes down to who is that person sitting in the fund manager position.

This seems to be in line with previous research of Wildschut (2014) who commented that NPOs generally have limited capacity and struggle to meet the demands of donors in supplying them with the prescribed evaluation tools. There was variation in donor expectation, which impacted organisational capacity management, making it difficult for planning and budgeting.

Participant 10: *There is no shared ownership in co creating with donors. None.*

Participant 11: *Some are involved and others are not involved at all. Some only get our annual report – they don't ask for anything – no monitoring data at all. Then others do site visits and it is rigorous monitoring. All our donors give us funding for what we are wanting to do. Mostly we can cut and paste our own monitoring for what we want to do. Some funders we tell one piece of the puzzle to and to others we tell another piece. We may be putting it into their format but we are still measuring what we want to measure.*

Participant 12: *One of our big funders comes from a heavy research background and we had to dial them back a lot and basically put our foot down. I think this is important for organisations. If it doesn't benefit organisations – don't do it! We needed to convince them that it was the right way to go. I have found that in nine out of ten cases you can do that. I think the main thing is that your M&E needs to work for you and not to waste money on unnecessary things.*

Participant 13: *It depends on each donor. Their expectation is not the same. Some are looking at numbers of kids, some their focus is the result, some they focus on the subjects you are doing. Some only look at annual budget and money management. It's different expectations. Some are looking at the kind of students you are working with. Fundraising is an area everyone is struggling in. You don't know exactly what the person is expecting.*

In general, when it came to collaboration with donors, it was felt that there is not a lot of co-creation or co ownership at all. Chilisa (2015) argues that evaluation has the potential to contribute significantly to the lives of African people and should therefore not be the sole responsibility of managers, evaluation specialists and scholars- but a way of life for its citizens.

4.3.3.1.3 Local/ International

There is a decrease in international funding for NPOs but the local donors who have taken over are following suit in the international trend of M&E in terms of accountability (Wildschut, 2014). Of the 10 NPOs interviewed, the large majority (over half) are receiving funding primarily from local donors. A limited number of NPOs receive funding from international sources. This is in line with earlier research by Bornstein (2006). Figure 4.5 below illustrates the split between donors among NPO research participants.

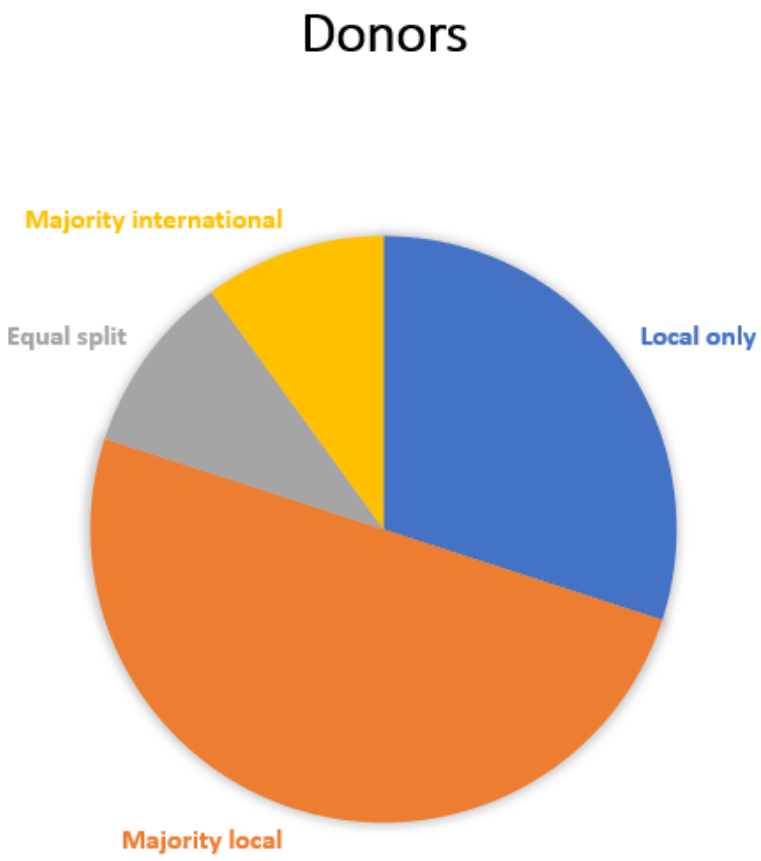


Figure 4.5: Donors

Participant 7: The *majority of the money we receive is local, we receive funding from only three overseas organisations. Our core funding comes from corporates in South Africa.*

Participant 14: *Our top funders are very local. We tried to access some big corporates in Gauteng but didn't have much traction so now we focus on the Western Cape and are quite successful through our networks as well as individuals who have been very generous.*

4.3.3.2 Capacity Building

Staff at NPOs vary in their skill set and often find they do not have the expertise needed to embark on successful M&E (Tarsilla, 2014; Bourgeois & Cousins, 2013). As participant 8 observed, there is generally a higher turnover of staff:

My experience has been that the skill sets of people who run NPOs is generally quite low and that people reach a ceiling and move on. If you are not able to pay someone to be better resourced, go on training – you are going to have to realise you aren't going to get the best quality of data to account for the money being spent. The evaluation part of who is analysing and interpreting the data is really interesting for me. You can make the numbers say whatever you want them to. I think interpreting data is a key skill that is missing from the sector. I also think it is a very top down programmatic response and not a learning cycle. Where we have built in cycles where we pause and look at what can we learn and what can we change and improve.

This has the effect of differing sets of capacitation among organisations. Generally speaking, if you cannot pay a good salary, it is highly unlikely that you will retain staff and have the skill set to perform good M&E.

Participant 4 (Donor): *You need to understand M&E for yourself before you can challenge donors on their methods. There is a very disempowered way of thinking about M&E right now, and not much capacity within the NPO sector itself.*

Participant 7: *We don't have a lot at our disposal because of being an NGO, we don't have these resources on hand. Sometimes we lack communication internally. Students who have come through the programme are now leaders – which is a great story but has its challenges. We need help figuring out our strategy.*

Participant 9: *There are a lot of varying programmes which need to be threaded together which can be a bit of a beast. I think we could definitely benefit from capacity building all the time. I was brought on board partially to help improve the M&E but it can't be one person's responsibility – everyone ideally needs to be familiar with the language, tools and processes.*

Participant 10: *NGOs are all scared of M&E because no one is doing it right and no one has enough and no one has the systems in place.*

Participant 10: *I want to get to a point with the team where they are reflective of their own work and that they understand the importance of this.*

Participant 11: *Sometimes I feel the programme managers are not using their data enough. When it comes to writing a monthly report, everyone is trying to find the data and write the report but actually there is data that I think should be used every week. Say for example the attendance register. I think this is the downside of seeing it as ok I have the attendance register, I've captured it into salesforce – my job is done. That analysis element is missing. They aren't saying I haven't seen this kid this week and following up as to why. Seeing monitoring as a tick box for someone else and not seeing the importance of it in your own work.*

Participant 12: *So much of the training is done by external M&E specialists and I actually think we need some more training to hear the voices from the Non-profit leaders.*

Participant 13: *One of our donors gave us training in M&E and this helped us.*

There was overwhelming agreement that capacity building was needed within the NPO sector. Including this as a line item to a budget invoked some nervousness as the expense of external trainers is so large. NPOs struggle to address this capacity shortfall within their own systems and would benefit from targeted assistance in this regard from their donors.

4.3.3.3 Emotions

The two main emotions which came up through the study with regard to M&E, were nervousness and frustration, an echoing of research undertaken by Bornstein (2006). Participant 9 expressed some degree of nervousness in the following way:

I think most NGOs feel that M&E is something you will get into trouble for not doing. NGOs are all scared of it because no one is doing it right and no one has enough and no one has the systems in place. It's a bit of a school teacher/ school children relationship of not doing homework. The NGOs need to see that it can be something else and the funders need to stop treating it punitively.

The frustration appeared when NPOs felt they couldn't be honest with donors, inevitably this comes down to the unequal power dynamic present in the NPO/ donor relationship which needs to be challenged.

Participant 7: *Donors, don't waste our time. Time is important. In the NGO space you are always feeling like their time is more important. We are paying salaries of people who are*

putting all your requests together. There is just a lack of mutual respect. You have no rights as an NPO – you have to put your tail between your leg.

Participant 9: *Whatever they [donors]ask for – we will give them. We want to portray that we can do everything to the donors and we don't want to be the ones saying that they are being unreasonable but there are things I wish they knew.*

The dominant emotions of nervousness and frustration which emerged during the study, shone a light on the disconnect and unequal power dynamics which still appear to exist within the donor/ NPO relationship.

4.5 SUMMARY OF CHAPTER

This chapter looked at the interpretation, presentation and discussion of the research findings. The organisations, participants and documents were examined and themes and patterns sought, with literature applied. The following chapter will bring together the main findings, conclusions and present recommendations which can be used as a checklist for NPOs on how to assess their current M&E systems and possible areas of improvement.

CHAPTER FIVE

MAIN FINDINGS, CONCLUSIONS AND RECOMMENDATIONS

5.1 INTRODUCTION

In this final chapter of the study it is intended to determine whether the goal and objectives of the study have been achieved through the literature reviewed in Chapter 2 and the empirical study findings in Chapter 4. The main findings and conclusions that emerged from the study are drawn. Using this knowledge as a base, recommendations are presented as well as a checklist on M&E practices for NPOs to consider.

5.2 AIM AND OBJECTIVES OF THE STUDY

The research was guided by the following research question:

How do Western Cape Non-Profit Organisations integrate Monitoring and Evaluation practices?

The aim of this study was to explore the integration of Monitoring and Evaluation practices of Non-Profit Organisations in the Western Cape and the researcher accomplished the above through the following objectives:

5.2.1 Objective 1: To establish how NPOs in the Western Cape understand M&E practices.

This objective was achieved through an exploratory qualitative study, both through the literature review and through the interviews with the research participants.

5.2.2 Objective 2: To identify the different M&E practices integrated by NPOs in the Western Cape.

This objective was achieved through the literature review of the different M&E practices, the interviews with research participants and the document review from the organisations.

5.2.3 Objective 3: To explore the experiences NPOs in the Western Cape face in integrating M&E practices.

This objective was achieved through preliminary reading of relevant literature, but predominantly through the interviews with the research participants.

5.2.4 Objective 4: To propose a checklist for NPOs in the Western Cape to consider in their M&E practices

This objective was achieved through the work of this empirical study, compiling all the relevant material together and distilling these into what emerged as important elements to consider in M&E practice. A checklist (*Appendix J*) is proposed for NPOs to consider.

5.3 MAIN FINDINGS AND CONCLUSIONS

5.3.1 Objective 1: To establish how NPOs in the Western Cape understand M&E practices.

The main findings and conclusions of this objective were as follows:

5.3.1.1 Finding 1: Nearly half of the research participants could not adequately articulate what they understood by the terms "Monitoring and Evaluation". It was interesting to note that these participants had no formal M&E qualification.

Conclusion 1: The person who is tasked with leading the M&E of an NPO would benefit from having a formal qualification in the field of evaluation. All staff within an NPO would benefit from short-term training on M&E to demystify concepts and create shared language.

5.3.1.2 Finding 2: The majority of the research participants expressed a collaborative approach to Monitoring and Evaluation, with a desire to include the voices of the people for whom the development work is designed.

Conclusion 2: It is fundamentally important to include the voices of the people for whom the development work is intended, in the conversation. Ideally, they should be involved in the needs assessment, design, implementation, review and feedback stages. There is an opportunity for a more Africa-rooted M&E process to emerge.

5.3.2 Objective 2: To identify the different M&E practices integrated by NPOs in the Western Cape.

The main findings and conclusions of this objective were as follows:

5.3.2.1 Finding 1: Paper-based systems which are then transferred onto a digital programme such as Excel emerged as the most common data management practice of NPOs surveyed. Salesforce was implemented successfully by one NPO which had highly

skilled staff; Google Data Studio was spoken positively about by one NPO who is making use of a consultant to assist with implementation.

Conclusion 1: This was perhaps one of the most surprising findings which presents the most opportunity for growth and learning. There is still much progress to be made within NPOs as it relates to ICT and data management.

5.3.2.2 Finding 2: Staff and beneficiary involvement, as well as feedback loops between them play a role in most of the NPOs interviewed.

Conclusion 2: Ensure your staff and beneficiaries are involved in the M&E processes – especially taking care to include feedback loops where they have provided you with information. Ensure that once this information has been collated and analysed, you feedback how you will use it or how programmes will change as a result.

5.3.2.3 Finding 3: Every NPO is different and has their unique perspective on how they will be addressing the challenges they face. This is why there is a plethora of tools to choose from and many more being purpose built.

Conclusion 3: Among the plethora of tools presented, it would be helpful to consider what tools your NPO could benefit from in addressing your M&E needs. Considering the life cycle of an intervention (planning through to post-intervention) allows you to contemplate each phase and available tool to assist the nuanced needs of your intervention. The following is an example of how you could break it down:

- Planning and strategising (i.e. Theory of Change)
- Forming baselines (i.e. ECD centre assessment)
- Monitoring tools (i.e. School readiness assessment)
- Post-intervention assessment tools (i.e. Stories of Change)

5.3.3 Objective 3: To explore the experiences NPOs in the Western Cape face in integrating M&E practices.

The main findings and conclusions of this objective were as follows:

5.3.3.1 Finding 1: It is difficult to generalise and draw conclusions from "donors" as a group as they are so varied. A donor can be anyone from the government; a large international funding agency such as UNAID; a corporate foundation; a philanthropy or an individual.

Conclusion 1: As donors are so varied, it may be worthwhile for the NPO to clarify at the exploratory and memorandum of understanding (MOU) stage of a relationship what the reporting expectations are upfront. The NPO can also request that for any data expectations the donor has, to please be kept up to speed with any analysis and findings derived from it.

5.3.3.2 Finding 2: Staff at NPOs vary in their skill set and there is often a high turnover of staff. If you want to do M&E well, you need to attract the right staff, pay well and have ongoing capacity building.

Conclusion 2: Capacity building is a very important piece of the puzzle and should be viewed in an ongoing manner, with opportunity for self-identification of needs and with donors taking on some of the responsibility of involvement.

5.3.3.3 Finding 3: The two main emotions which emerged in relation to M&E practices within NPOs were frustration and nervousness. The frustration appeared when NPOs felt they couldn't be honest with donors, and the nervousness arose from feeling that they weren't doing M&E correctly.

Conclusion 3: The unequal power dynamic between donors and NPOs needs to be challenged, including language such as funders/ beneficiaries, which entrenches this. Creating a culture of learning from mistakes and not hiding them is crucial.

5.3.4 Objective 4: To propose a checklist for NPOs in the Western Cape to consider in their M&E practices

5.3.4.1 Finding 1: Through the literature reviews, interviews and document review several areas presented themselves as areas of consideration in M&E practice.

Conclusion 1: Checklists have shown to be useful in both the fields of medicine and aviation, where they have dramatically reduced mortality and risk (Gawande, 2009). Combining this logic with that of evaluability assessments, which is a pre evaluation activity designed to determine if an organisation is ready to be evaluated and which type of evaluation would be useful (Zint, Covitt & Dowd, 2011), a checklist is presented below in Table 5.1 as well as *Appendix J*. This checklist draws on the literature and research from this study as a humble offering to organisations looking to improve their M&E.

Table 5.1: M&E checklist for NPOs

M&E checklist for NPOs	
Has the challenge and the beneficiaries your organisation is seeking to impact been adequately identified? (ie: problem statement; needs assessment; situational analysis)	
Do you know exactly how your organisation is attempting to effect change on the identified challenge (ie: Theory of change)	
Have you taken the language and cultural context into consideration?	
How are the beneficiaries involved in the design, implementation and learning?	
Do you have clearly defined, measurable and agreed upon goals?	
Does everyone know what they need to do? (ie: Implementation plan)	
Do you have the relevant tools to collect data (planning, baseline, monitoring and post intervention)	
Is everyone clear on the measurement criteria (ie: Indicators)	
How are you storing your data? Is it accessible? What measures are in place to protect confidentiality and ensure data quality and integrity?	
Do you make time to analyse the data and learn from it?	
How are you providing feedback to your staff, beneficiaries, donors etc?	
Are you fostering a learning culture within your organisation?	

5.4 RECOMMENDATIONS

The study makes the following recommendations based on the findings and conclusions presented above:

- The person who is tasked with leading the M&E of an NPO would benefit from having a formal qualification in the field of evaluation. All staff within an NPO would benefit from short-term training on M&E to demystify concepts and create shared language. There are a multitude of free online trainings and workbooks that would be beneficial for this purpose. A consultant could also be utilised in a "coaching" capacity to upskill your management.

- Invest in a good data management system. The use of ICT has numerous benefits to programme design and management. It improves effectiveness and efficiency by enhancing planning, Monitoring and Evaluation functions. It improves budgetary control through software use, automation and accessibility. You should be able to access historical raw data as well as to have a more simplistic dashboard "birds-eye" view. Excel appears to be insufficient; Salesforce appears to be too complex and costly.

- In terms of M&E tools, these would need to be tailored to the organisation and their specific interventions, but you could draw inspiration from the following:

- Theory of Change appears to be invaluable as a strategic planning tool and it is recommended that organisational specific guidance/ training/ workshop is implemented. Free online or group training appeared to be insufficient.
- Baseline assessments which are used to collate information before the start of an intervention (Centre assessments; Content knowledge tests; Person specific assessments; ROLE survey).
- Project monitoring tools which assist the NPO to ensure the intervention is (and remains) on track throughout the intervention (project monitoring; content acquisition; qualitative feedback).
- Post-intervention tools which are useful after the intervention has taken place, to assess if the desired outcome has been achieved (Beneficiary feedback on experience; Content acquisition; project evaluation; stories of change; Kirkpatrick model; Reflection and learning sessions within the organisation with implementation staff included).

- Participation, collaboration and integration are critical to the South African context. It is fundamentally important to include the voices of the people for whom the development work is intended, in the conversation. Ideally, they should be involved in the needs assessment, design, implementation, review and feedback stages. However, participation is not only relegated to the NPO/ beneficiary relationship but should be thought through at the donor/ NPO level as well.

- Feedback Loops are a fundamental part of collaboration. These are crucial between the NPO and the beneficiary; within the NPO staff contingent; as well as between the donor and NPO. As a rule, if information is sought from a source, feedback should be provided on how this information was utilised and what conclusions were drawn from them.

- Capacity Building: If you want to do M&E well, you need to attract the right staff, pay a fair wage and have ongoing (self-identified) capacity building. This is an area that donors can have huge impact in partnering with NPOs on.
- Addressing unequal power dynamics between the NPO and donor will go a long way to ensuring better working relationships and inevitably a better result for the development on the ground that both are seeking.

Table 5.2: Resources to assist M&E capacity building

Description and website
Better evaluation: Evaluation capacity strengthening https://www.betterevaluation.org/en/rainbow_framework/manage/strengthen_evaluation_capacity
Civicus: Basic principles of Monitoring and Evaluation https://static.philanthropyu.org/course-data/Planning+for+Monitoring+and+Evaluation/Module+1/Civicus+Monitoring+and+Evaluation.pdf
Engage handbook on M&E http://www.engage.org.za/mandehandbook.pdf
Free online courses https://courses.philanthropyu.org/courses https://www.plusacumen.org/courses
Nation Builder standardised impact reporting guideline https://proudnationbuilder.co.za/
ROLE survey

http://dmm.cci.fsu.edu/IADMM/iowaDmm/materials/ImplementationTeams/Survey/ROLESurvey.pdf
Self-assessment impact tool https://www.inspiringimpact.org/self-assessments/measuring-up/
Theory of Change https://www.thinknpc.org/resource-hub/ten-steps/ https://www.dgmt-growingconfidence.co.za/plan-step-one
Wellspring grantee resources https://wellspringphilanthropicfund.github.io/ResourcesFromSurvey/

5.5 POSSIBLE AREAS FOR FURTHER RESEARCH:

During the process of conducting this research study two areas presented themselves as possible areas for further research:

- The NPOs interviewed were involved in M&E to varying degrees. The effectiveness of these NPO M&E practices could be a worthwhile study to conduct.
- The area which presented itself as the most under researched and under tested was that of the use of ICT tools in the M&E process. Further research into which ICT tools are the most suited for M&E within the NPO space could be invaluable.

5.6 SUMMARY OF CHAPTER

In this final chapter of the study the main findings and conclusions were presented. A checklist which draws on the literature and research from the study is offered to NPOs and any organisation looking to improve their M&E. Comprehensive recommendations as well as resources are also presented in an effort to encourage the development of M&E within the NPO sector, one which is more efficient, confident and self reflective. Given the current uncertain economic climate, where sufficient funding is often elusive, a robust M&E practice offers NPOs a pathway to sustainability.

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APPENDIX A

SOCIAL WORK
THE SCHOOL OF HUMAN AND COMMUNITY DEVELOPMENT (SHCD)

Private Bag 3, Wits, 2050 • Tel: 011 717 4472 • Fax: 011 717 4473 • E-mail: socialwork.SHCD@wits.ac.za

PARTICIPANT INFORMATION SHEET FOR NPOs

Title of the study: The integration of monitoring and evaluation practices into Non- Profit Organisations: A South African perspective in the Western Cape.

Good Day,

My name is Lauren McGill, I am a registered post graduate student at WITS University studying towards my MA in the field of Social Development. I am also a registered Social Worker and manage a corporate foundation in my professional capacity.

I am conducting research as part of the completion of my degree, specifically focussed on the integration of monitoring and evaluation practices within the NPO sector. As an NPO you are ideally positioned to take part in this research. I would like to invite you to participate in the study. Any participation is entirely voluntary, and you would be free to withdraw or abstain from answering any questions at any stage. There are no consequences or financial benefits from participating in this research.

Should you agree to participate, an interview (of no longer than one hour) will be arranged at a place and time that is suitable to you. With your permission this session will be tape recorded. Only the researcher and the supervisor will have access to this recording and the recording will be stored on a password protected computer for no longer than six years. The transcript of the recording (without any identifying information) will be securely stored permanently as it may be used for future studies.

Please be assured that your personal details will be kept confidential and no identifying information will be included in the final research report. The results of the research may also be used for academic purposes including books, journal and conference proceedings. A summary of the findings will be made available to participants on request.

Please contact me on +27 82 494 1149 or 1881527@students.wits.ac.za or my supervisor, Dr. Edmarie Pretorius on Edmarie.Pretorius@wits.ac.za or +27 11 7174 476 if you have any questions regarding my study. We shall answer them to the best of our ability. If you have any complaints about the study please contact the Human Research Ethics Committee (Non-Medical) Administrator: Ms Shaun Schoeman on Shaun.Schoeman@wits.ac.za or +27 11 717-1408.

Thank you for taking your time to consider participating in the study.

Warm Regards,



Lauren McGill

APPENDIX B

SOCIAL WORK
THE SCHOOL OF HUMAN AND COMMUNITY DEVELOPMENT (SHCD)

Private Bag 3, Wits, 2050 • Tel: 011 717 4472 • Fax: 011 717 4473 • E-mail: socialwork.SHCD@wits.ac.za

PARTICIPANT INFORMATION SHEET FOR KEY INFORMANT (DONORS)

Title of the study: The integration of monitoring and evaluation practices into Non- Profit Organisations: A South African perspective in the Western Cape.

Good Day,

My name is Lauren McGill, I am a registered post graduate student at WITS University studying towards my MA in the field of Social Development. I am also a registered Social Worker and manage a corporate foundation in my professional capacity.

I am conducting research as part of the completion of my degree, specifically focussed on the integration of monitoring and evaluation practices within the NPO sector. As a funder you are ideally positioned to take part in this research. I would like to invite you to participate in the study. Any participation is entirely voluntary, and you would be free to withdraw or abstain from answering any questions at any stage. There are no consequences or financial benefits from participating in this research.

Should you agree to participate, an interview (of no longer than one hour) will be arranged at a place and time that is suitable to you. With your permission this session will be tape recorded. Only the researcher and the supervisor will have access to this recording and the recording will be stored on a password protected computer for no longer than six years. The transcript of the recording (without any identifying information) will be securely stored permanently as it may be used for future studies.

Please be assured that your personal details will be kept confidential and no identifying information will be included in the final research report. The results of the research may also be used for academic purposes including books, journal and conference proceedings. A summary of the findings will be made available to participants on request.

Please contact me on +27 82 494 1149 or 1881527@students.wits.ac.za or my supervisor, Dr. Edmarie Pretorius on Edmarie.Pretorius@wits.ac.za or +27 11 7174 476 if you have any questions regarding my study. We shall answer them to the best of our ability. If you have any complaints about the study please contact the Human Research Ethics Committee (Non-Medical) Administrator: Ms Shaun Schoeman on Shaun.Schoeman@wits.ac.za or +27 11 717-1408.

Thank you for taking your time to consider participating in the study.

Warm Regards,



Lauren McGill

APPENDIX C

SOCIAL WORK
THE SCHOOL OF HUMAN AND COMMUNITY DEVELOPMENT (SHCD)

Private Bag 3, Wits, 2050 • Tel: 011 717 4472 • Fax: 011 717 4473 • E-mail: socialwork.SHCD@wits.ac.za

PARTICIPANT INFORMATION SHEET FOR KEY INFORMANTS (M&E SPECIALIST)

Title of the study: The integration of monitoring and evaluation practices into Non- Profit Organisations: A South African perspective in the Western Cape.

Good Day,

My name is Lauren McGill, I am a registered post graduate student at WITS University studying towards my MA in the field of Social Development. I am also a registered Social Worker and manage a corporate foundation in my professional capacity.

I am conducting research as part of the completion of my degree, specifically focussed on the integration of monitoring and evaluation practices within the NPO sector. As a specialist in the field of M&E, you are ideally positioned to take part in this research. I would like to invite you to participate in the study. Any participation is entirely voluntary, and you would be free to withdraw or abstain from answering any questions at any stage. There are no consequences or financial benefits from participating in this research.

Should you agree to participate, an interview (of no longer than one hour) will be arranged at a place and time that is suitable to you. With your permission this session will be tape recorded. Only the researcher and the supervisor will have access to this recording and the recording will be stored on a password protected computer for no longer than six years. The transcript of the recording (without any identifying information) will be securely stored permanently as it may be used for future studies.

Please be assured that your personal details will be kept confidential and no identifying information will be included in the final research report. The results of the research may also be used for academic purposes including books, journal and conference proceedings. A summary of the findings will be made available to participants on request.

Please contact me on +27 82 494 1149 or 1881527@students.wits.ac.za or my supervisor, Dr. Edmarie Pretorius on Edmarie.Pretorius@wits.ac.za or +27 11 7174 476 if you have any questions regarding my study. We shall answer them to the best of our ability. If you have any complaints about the study please contact the Human Research Ethics Committee (Non-Medical) Administrator: Ms Shaun Schoeman on Shaun.Schoeman@wits.ac.za or +27 11 717-1408.

Thank you for taking your time to consider participating in the study.

Warm Regards,



Lauren McGill

APPENDIX D

CONSENT FORM FOR PARTICIPATION IN THE STUDY

Title of the study: The integration of monitoring and evaluation practices into Non- Profit Organisations: A South African perspective in the Western Cape.

I hereby consent to participate in the study and be interviewed. The purpose and procedures of the study have been explained to me.

I understand that:

- My participation in this study is voluntary and I may withdraw from the study without being disadvantaged in any way.
- I may choose not to answer any specific questions asked, if I do not wish to do so.
- There are no foreseeable benefits or particular risks associated with participation in the study.
- My identity will be kept strictly confidential and any information that may identify me will be removed from the interview transcript.
- A copy of my interview/discussion transcript without any identifying information will be stored permanently under lock and key and may be used for future research.
- I understand that my responses will be used in the write up of the research report and may be presented in conferences, book chapters and journal articles.

Name: _____

Date: _____

Signature: _____

APPENDIX E

CONSENT FORM FOR AUDIO-TAPING OF THE INTERVIEW/ DISCUSSION

Title of the study: The integration of monitoring and evaluation practices into Non- Profit Organisations: A South African perspective in the Western Cape.

I hereby consent to tape-recording of the interview or discussion.

I understand that:

- The recording will be stored in a password protected computer with restricted access to the researcher and the research supervisor.
- The recording will be transcribed and any information that could identify me will be removed.
- When the data analysis and write up of the research study is complete the audio recording of the interview/discussion will be kept for two years following any publication or for six years if no publications emanate from the study.
- The transcript of recording (without any identifying information directly linked to me) will be stored permanently under lock and key. It may be used for future studies.
- Direct quotes from my interview/discussion without any information that could identify me may be cited in the research report or other write ups of the research.

Name: _____

Date: _____

Signature: _____

APPENDIX F

INTERVIEW GUIDE FOR NPOs

Title of the study: The integration of monitoring and evaluation practices into Non- Profit Organisations: A South African perspective in the Western Cape.

Introduction

- Welcome participant
- Purpose of the interview
- Seek participant's consent

Demographic information

Size & scope of Org.	Position at Org.	Years' experience in field	Qualifications	NPO sector
Per Annum >R 5 Million >R 10 Million >R20 Million Other: Regional National Other:				Education Health S. Welfare Environment Other:

Questions

1. Tell me about your organisation. What are your overall goals/ programmes?
2. How would you describe the term 'M&E' to a new staff member?
3. Share with me how your organisation deals with monitoring and evaluation.
   3.1 Please share M&E tools that you make use of.
4. On a scale of 1-5 describe how effectively the current M&E process helps you achieve your goals? Motivate.
5. Who are the key stakeholders in your M&E?
   5.1 What role does your board play?
   5.2 Are your beneficiaries involved?

6. Are your top 3 donors local or international?
7. In your view, how do donors approach M&E?
   7.1 Is their approach helpful? Why or why not?
8. What is your experience of 'shared ownership' in the M&E processes along with your donors?
   8.1 Are Donor M&E demands specified or flexible?
9. What do you wish donors would understand about the NPO perspective on M&E?
10. Can you think back to a situation where your organisation did not handle M&E effectively and share this with me? What would you have done differently?
11. In what way do you feel that your NPO could benefit from additional guidance to improve your M&E practices?
12. Out of all the topics we have talked about today- or perhaps missed- what would you like to add?

Many thanks for taking this time to share your experience and expertise with me.

APPENDIX G

INTERVIEW GUIDE FOR KEY INFORMANT (DONORS)

Title of the study: The integration of monitoring and evaluation practices into Non- Profit Organisations: A South African perspective in the Western Cape.

Introduction

- Welcome participant
- Purpose of the interview
- Seek participant's consent

Demographic information

Size & scope of Org.	Position at Org.	Years' experience in field	Qualifications
Per Annum >R 5 Million >R 10 Million >R20 Million Other: Regional National Africa Global			

Questions

1. Tell me more about your organisation. What are your overall goals?
2. Please describe in your own words what you understand M&E to mean.
3. What is your organisations approach to M&E- both to monitor your own work as well as that of your NPOs?
4. Please could you share and explain the specific M&E frameworks/ tools you work from?
5. In your view, how do NPOs approach M&E?
   5.1 Is their approach helpful? Why or why not?

6. How much of a sense of ‘shared ownership’ do you have in the M&E processes along with your NPOs?
7. What do you wish NPOs would understand about the donor perspective on M&E?
8. Can you think back to a situation where an organisation did not handle M&E effectively and share this with me? What could have been done differently?
9. Out of all the topics we have talked about today- or perhaps missed- what would you like to add?

Closing Remarks

Many thanks for taking this time to share your experience and expertise with me.

APPENDIX H

INTERVIEW GUIDE FOR KEY INFORMANTS (M&E SPECIALIST)

Title of the study: The integration of monitoring and evaluation practices into Non- Profit Organisations: A South African perspective in the Western Cape.

Introduction

- Welcome participant
- Purpose of the interview
- Seek participant's consent

Demographic information

Size & scope of Org.	Position at Org.	Years' experience in field	Qualifications
Per Annum >R 5 Million >R 10 Million >R20 Million Other: Regional National Africa Global			

Questions:

1. Tell me more about your organisation. What are your overall goals?
2. Please describe "M&E" in your own words and your organisations approach to it.
3. In your view, how do NPOs approach M&E?
   3.1 Is their approach helpful? Why or why not?
4. How much of a sense of 'shared ownership' do you have in the M&E processes along with NPOs/ donor organisations when evaluating programmes?
5. Research elucidates the importance of pre-testing before an evaluation takes place. What are simple markers you could advise low resourced NPOs to consider before evaluation?

5.1 Please share any evaluability assessment or checklist you use.

6. As an evaluator, what is one thing NPOs should do that would make your life easier when being asked to evaluate a programme?
7. What do you wish NPOs would understand about the evaluator's perspective on M&E?
8. Do you have specific M&E frameworks/ tools you work from?
   8.1 Please name them and provide examples
9. In your view, what are the three top M&E tools that you would recommend NPOs use and why?
10. Can you think back to a situation where an organisation did not handle M&E effectively and share this with me? What should have been done differently?
11. Out of all the topics we have talked about today- or perhaps missed- what would you like to add?

Closing Remarks

Many thanks for taking this time to share your experience and expertise with me.

APPENDIX I

ETHICS CLEARANCE CERTIFICATE

SOCIAL WORK
THE SCHOOL OF HUMAN AND COMMUNITY DEVELOPMENT (SHCD)

DEPARTMENTAL HUMAN RESEARCH ETHICS COMMITTEE (SOCIAL WORK) CLEARANCE CERTIFICATE

PROTOCOL NUMBER: SW/19/06/34

PROJECT TITLE: The Integration of Monitoring and Evaluation Practices into Non-Profit Organisations: A South African Perspective in the Western Cape

RESEARCHER/S: L McGill (1881527)

SCHOOL/DEPARTMENT: SHCD Social Work

DATE CONSIDERED: 16 July 2019

DECISION OF THE DEPARTMENTAL COMMITTEE: Approved

RATIFIED BY THE WITS HREC (NON-MEDICAL): 19 July 2019

EXPIRY DATE: 19 July 2021

DATE: 26 July 2019 **CHAIRPERSON:** Dr F Masson

Cc: Supervisor: Dr Edmarie Pretorius

DECLARATION OF RESEARCHER(S)

To be completed in **DUPLICATE** and **ONE COPY** returned to the Administrative Assistant, Room 8, Department of Social Work, Umthombo Building Basement.

I/We fully understand the conditions under which I am/we are authorised to carry out the abovementioned research and I/we guarantee to ensure compliance with these conditions. Should any departure to be contemplated from the research procedure as approved I/we undertake to resubmit the protocol to the committee. **For Masters and PhD an annual progress report is required.**

SIGNATURE DATE 16/08/2019

PLEASE QUOTE THE PROTOCOL NUMBER ON ALL ENQUIRIES

APPENDIX J

M&E CHECKLIST FOR NPOS

M&E checklist for NPOs	
Has the challenge and the beneficiaries your organisation is seeking to impact been adequately identified? (ie: problem statement; needs assessment; situational analysis)	
Do you know exactly how your organisation is attempting to effect change on the identified challenge (ie: Theory of change)	
Have you taken the language and cultural context into consideration?	
How are the beneficiaries involved in the design, implementation and learning?	
Do you have clearly defined, measurable and agreed upon goals?	
Does everyone know what they need to do? (ie: Implementation plan)	
Do you have the relevant tools to collect data (planning, baseline, monitoring and post intervention)	
Is everyone clear on the measurement criteria (ie: Indicators)	
How are you storing your data? Is it accessible? What measures are in place to protect confidentiality and ensure data quality and integrity?	
Do you make time to analyse the data and learn from it?	
How are you providing feedback to your staff, beneficiaries, donors etc?	
Are you fostering a learning culture within your organisation?	