



Council on Higher Education

*Towards a Framework for the
Monitoring and Evaluation of
South African Higher Education*

Discussion Document

April 2004



Monitoring and Evaluation Directorate

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CONTENTS

Foreword	iv
Acknowledgements	vi
Abbreviations and Acronyms	vii
Executive Summary	viii
<i>Part 1</i>	
Background	1
1.1 Purpose and Objectives	1
1.2 Impetus for Monitoring and Evaluation in the International and South African Context	2
1.3 Conceptualisations of Monitoring and Evaluation	6
1.4 Summary	9
<i>Part 2</i>	
The CHE Monitoring and Evaluation System	10
2.1 Policy Context and the Monitoring and Evaluation System	10
2.2 Utilisation of Monitoring and Evaluation	11
2.3 Scope and Focus of the CHE Monitoring and Evaluation System	13
2.4 Summary	20
<i>Part 3</i>	
The Monitoring and Evaluation Process	22
3.1 Implementation Process	22
3.2 Location and Articulation of the Monitoring and Evaluation System in the CHE	23
3.3 Utilisation and Dissemination of Monitoring and Evaluation Information	25
3.4 Summary	26
Bibliography	27
Appendix: WP Principles and Goals and the NPHE	30
Tables and Figures	
Table 1 Complimentarity and Differences between Monitoring and Evaluation	8
Table 2 Specific Aims of the Monitoring and Evaluation of HE Transformation	13
Figure 1 The Higher Education System	18
Figure 2 Example Indicators in the Domain Students	19

FOREWORD

The Council on Higher Education (CHE) is an independent, statutory body established in terms of the Higher Education Act of 1997. The mission of the CHE is to contribute to the development of a higher education system that is characterised by equity, quality, responsiveness, and effective and efficient provision and management. The CHE makes this contribution by providing advice on higher education policy issues to the Minister of Education, through the quality assurance activities of its Higher Education Quality Committee (HEQC), and various other important activities.

One of the key 'other' activities is the *monitoring and evaluation* of important areas of and issues in higher education, of the performance of higher education with regard to the achievement of policy goals and objectives and of developments in the economy, polity and society that impact on higher education.

The responsibility to monitor and evaluate higher education is accorded to the CHE by the 1997 White Paper on higher education. It is also a natural outgrowth of this responsibility for the CHE to produce regular reports on the state of South African higher education. Finally, the ability of the CHE to provide informed, considered, independent, strategic and proactive advice on higher education issues to the Minister of Education depends on its capacity to identify the key issues and developments in higher education as well as in the wider society that may affect the higher education system. In all these regards, a strong capability to monitor and evaluate key areas of and issues in higher education as well as specific economic, social and political developments is vitally important.

During the past year the CHE has been involved in a process of research and development that has drawn on local and international specialists to produce an effective framework for the monitoring and evaluation of higher education. This CHE discussion document *Towards a Framework for the Monitoring and Evaluation of South African Higher Education* now presents for public discussion and comment a proposed framework to monitor and evaluate South African higher education.

The discussion document

- Outlines the purpose and objectives of the CHE Monitoring and Evaluation System, and relates its goals to a review of local imperatives in higher education and international trends;
- Locates the need for monitoring and evaluation in the context of a far-reaching process of restructuring and transformation of South African higher education;
- Explicates key concepts such as 'monitoring' and 'evaluation', and the relationship and difference between these concepts and activities;
- Proposes a Monitoring and Evaluation Framework
 - For the development of specific monitoring indicators in the domains of teaching and learning, research, and community service;
 - For conducting research on and evaluating change in the higher education system in terms of the desired outcomes of the transformation of the South African higher

education system, i.e. equity, quality, responsiveness and efficiency, as well as in relation to broader socio-economic trends;

- That is mindful that the outcomes of policy implementation may or may not be as intended;
 - That analyses policy intentions and associated policy instruments, and the national and disparate institutional contexts within which policy is implemented;
 - That takes into account paths to change and provides explanations about success, deviation, and failure of policy and policy implementation;
 - That is geared towards providing a deeper understanding of the modalities, pace and contradictions of change in higher education at both the systemic and the institutional level;
 - That does not burden higher education institutions with new demands for data, but builds progressively on existing data, capacities and experiences and forges links with existing databases of the Department of Education (such as HEMIS) and of other government departments, of statutory bodies (such as the National Research Foundation, the Human Sciences Research Council and Statistics South Africa), and of the HEQC.
- Focuses on the implementation process, and the arrangements and further developments that are necessary to ensure the success of the CHE Monitoring and Evaluation System; and
 - Gives attention to the dissemination and utilisation of monitoring and evaluation information by intended users. The participation of key higher education role-players in the further and ongoing development and implementation of the CHE Monitoring and Evaluation system is a necessary condition for its success as well as for the achievement of high levels of utilisation of the results of monitoring and evaluation.

Submissions and comments are therefore invited on every aspect of this discussion document and on the proposed framework for monitoring and evaluation of higher education. All submissions and comments will be analysed and, where appropriate, feed into the further development and finalisation for implementation of the CHE Monitoring and Evaluation System by the CHE Council.

The closing date for all submissions and comments on the CHE Monitoring and Evaluation Framework is **28 May 2004**. All enquiries, submissions and comments should be directed to:

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 Pretoria, April 2004

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ABBREVIATIONS AND ACRONYMS

CHE	Council on Higher Education
CHERDA	The Cape Higher Education Research and Development Alliance
CHET	Centre for Higher Education Transformation
DE	Distance Education
DoE	Department of Education
DoL	Department of Labour
DST	Department of Science and Technology
HBU	Historical Black University
HE	Higher Education
HE Act	Higher Education Act No. 101 of 1997
HEI	Higher Education Institution
HEMIS	Higher Education Management Information System
HEQC	Higher Education Quality Committee
HSRC	Human Sciences Research Council
MIS	Management Information System
NCHE	National Commission on Higher Education
NPHE	National Plan for Higher Education
NRF	National Research Foundation
PIS	Performance Indicator System
SAPSE	South African Post-Secondary Education
SAQA	South African Qualification Authority
UNESCO	United Nations Educational, Scientific and Cultural Organisation
UNICEF	United Nations Children's Fund
WP	Education White Paper 3: A Programme for the Transformation of Higher Education, 1997

EXECUTIVE SUMMARY

This document presents for consultation and comment the Council on Higher Education's (CHE's) Framework for a monitoring and evaluation system for South African higher education (HE).

Part One of the Framework outlines the purpose and objectives of the proposed CHE Monitoring and Evaluation System, and relates its goals to a review of international trends and local imperatives in HE. In particular, it is noted that monitoring the HE system is among the responsibilities allocated to the CHE by the White Paper on Higher Education (WP) and the Higher Education Act No. 101 of 1997 (HE Act). By means of the proposed CHE Monitoring and Evaluation System set out in this document, the CHE aims to discharge this responsibility as well as generate additional information and analysis so as to better advise the Minister of Education on all HE matters, produce more comprehensive and analytical reports on the state of South African HE, and generally contribute to the effective steering of South African HE.

Internationally, the impetus for the monitoring and evaluation of HE has typically been precipitated by the rise of the evaluative state with its demand for greater accountability of publicly funded institutions. This specific monitoring and evaluation practice has been introduced into the developing world by global donor funds with exposure to HE, often without much regard for local circumstances.

In South Africa, the National Commission on Higher Education (NCHE) of 1996 proposed the replacement of the South African Post-Secondary Education (SAPSE) monitoring system with new management information and performance indicator systems which would be able to shed light on the progress of HE towards the achievement of national policy goals. A new monitoring and evaluation system should be able to account for the paths to change and explanations about success, deviation and failure of policy and policy implementation.

The CHE Monitoring and Evaluation System is thus focused on the process of transformation of HE as well as on the analysis of the modalities and pace at which change takes place at both the systemic and the institutional level. It is geared towards providing a deeper understanding of the modalities and contradictions of change in the sector.

Part Two outlines the CHE's proposal for a monitoring and evaluation system in detail. It locates the need for the CHE Monitoring and Evaluation System in the context of a far-reaching process of restructuring in South African HE that reaches from institutional mergers to programme rationalisation with the general purpose of overcoming the apartheid legacy in the sector and transforming the HE system in such a way that it redresses past inequalities, serves a new democratic social order, meets pressing national needs, and responds to new local and international realities and opportunities. In such a context, the outcome of policy implementation may or may not be as intended. Thus, it is argued that the development of a monitoring and evaluation system has to be mindful of intentions of policy and associated policy instruments, and of the national and disparate institutional contexts within which policy is implemented.

Utilisation is a second, important consideration in the development of a monitoring and evaluation system. Unless the data and analysis that it produces is utilised, the exercise is futile. Hence, the system must be designed with specific aims in mind and with a focus on the intended use by intended users. The CHE Monitoring and Evaluation System is thus designed to discharge the monitoring mandate bestowed upon it by the WP and the HE Act in an integrated, innovative and responsive manner. The data and analysis are intended to have utilisation at the system and institutional levels; to offer crucial information for HE stakeholders and policy-makers, and to the South African public at large; to create an awareness of general trends in HE as well as of the efficacy of specific policy instruments and structures; and to contribute knowledge both for application in policy-making and for the advancement of a theoretical understanding of change in the sector.

At the conceptual-methodological level, the scope and focus of the CHE Monitoring and Evaluation System is honed by the complex relation between the need for specificity to monitor and evaluate the achievement of specific policy goals and the simultaneous need for continuity so as to be able to discern trends and progress over time and add depth to the breadth of data in the system. The dynamic nature of policy can be illustrated in HE by looking at the way the National Plan for Higher Education (NPHE) prioritises certain WP policy goals over others (see Appendix). This problem is solved methodologically by identifying equity, efficiency, quality and responsiveness as the high-level outcomes that HE reform needs to realise in terms of its core functions, and associated therewith in terms of student and staff composition and research, in a dynamic context that looks at these domains of HE from a systemic perspective.

The identification of strategic indicators (which retain the possibility of disaggregation into institutional types and individual institutions) and related data sources within the monitoring domains of students, staff and research at the systemic level has been investigated in a preliminary way by means of a feasibility study. Because of the commitment not to burden the higher education institutions (HEIs) with additional demands for data, the CHE Monitoring and Evaluation System primarily operates using existing data within and without the HE system and research.

Part Three of the Framework looks at the implementation process, and the arrangements and further developments necessary to ensure the success of the CHE Monitoring and Evaluation System. It notes that after the initial developmental phase, i.e. after December 2003, the process of implementation entails, firstly, the conduct of a series of discussions with key role-players in the HE system; secondly, a closer investigation of readily available data sources and simultaneously the negotiation of data exchange protocols with potential data providers in order to populate the indicator tables with baseline data; and thirdly, further modelling work to fine-tune the system and expand it progressively into other domains and to private HE providers as well as agricultural and nursing colleges.

The development and implementation of the CHE Monitoring and Evaluation System is located in the Monitoring and Evaluation Directorate of the CHE. An important task of the new Directorate is the coordination of the partnerships with data providers and researchers, and the facilitation of co-operation with the Higher Education Quality Committee's (HEQC's) Accreditation and Coordination, and Audit and Evaluation directorates in the process of monitoring and evaluation.

The CHE anticipates that regular and full-scale monitoring and evaluation will commence in late 2004, following the development of the implementation plan by the Monitoring and Evaluation Directorate. To ensure the smooth implementation of the CHE Monitoring and Evaluation System internally, the CHE will employ a number of strategies. Firstly, operational synergies will be realised between the Monitoring and Evaluation Directorate and the two HEQC directorates by the sharing of databases within the CHE management information system and the joint production of publications on the state of HE. Secondly, the CHE will take an active part in supervising and supporting the implementation process through a new Standing Committee on Monitoring and Evaluation. Thirdly, the CHE will constitute specialist research and expert teams to support it technically with the implementation and ongoing development of the system.

The utilisation of monitoring and evaluation information will be ensured through reaching out actively to intended users through various means and by forging closer links to the media. Existing CHE publications such as *The State of South African Higher Education*, a new publication series called the *Higher Education Monitor*, and the CHE website will be used to disseminate widely data and analysis from the CHE Monitoring and Evaluation System.

The framework of the CHE Monitoring and Evaluation System underwrites the CHE's commitment to contribute effectively and creatively to the transformation and development of the South African HE system.

BACKGROUND

1.1 PURPOSE AND OBJECTIVES

Among the many responsibilities allocated to the CHE by the WP is the monitoring of the HE system. The WP specifically refers to advising the Minister of Education on:

- The performance of the system, having regard to available performance indicators...
- The progress being made towards achieving national equity and human resource development goals and measures to overcome impediments to achieving transformation goals.¹

During the past year the CHE has been involved in the elaboration of a framework for the monitoring and evaluation of the HE system which should help it to:

- Discharge its responsibility to provide advice to the Minister of Education on all HE matters;
- Generate information and analysis that could be of use for the effective steering by government of HE; and
- Produce, as required by the HE Act, reports on the state of South African HE that are ever more comprehensive and analytical.²

In the pursuit of these objectives the CHE has developed a framework within which to monitor and evaluate whether, how, to what extent and with what consequences the vision, policy goals and objectives of the transformation of HE defined in the WP are being realised at a systemic and at an institutional level. Thus the CHE Monitoring and Evaluation System is geared to:

- Describe and analyse the state of HE in relation to the implementation of the transformation agenda set by the WP and the NPHE, as its implementation strategy;
- Establish the direction in which the HE system is moving in relation to the goals and objectives set in national policy and whether this direction corresponds to the original objectives;
- Establish the role and efficacy of policy, structures, instruments, strategies and processes in the implementation of change at HEIs; and
- Establish and analyse the form and pace at which change takes place, and how and to what extent this relates to the agency of the different social actors involved.

¹ Department of Education (1997). *Education White Paper 3: A Programme for the Transformation of Higher Education of 1997*: Section 3.25(i & j). Hereafter: WP (1997).

² Republic of South Africa (1997). Higher Education Act No. 101 of 1997. *Government Gazette No. 18515*, Notice 1655, 19 December 1997. Pretoria: Government Printers. Sections 5 and 19.

This document presents the CHE's framework for the development and implementation of a monitoring and evaluation system for South African HE. The framework proposes a conceptualisation of monitoring and evaluation which is not based on the collection of data but on the interpretation of the data on HE available both within and without the Higher Education Management Information System (HEMIS) and its explanation through further research. Thus understood, the monitoring and evaluation system has as its main purposes:

- The generation of knowledge about how HE transformation takes place;
- The sharpening of CHE's advice to the Minister of Education;
- The improvement of HE through the application of new knowledge on systemic and institutional transformation; and
- The strengthening of democracy as far as the dissemination of the analysis and interpretation of data generate the public space for the critical interrogation of policy development and implementation.

1.2 IMPETUS FOR MONITORING AND EVALUATION IN THE INTERNATIONAL AND SOUTH AFRICAN CONTEXT

The rise in the preoccupation with monitoring, performance indicators and evaluation was an integral part of the state demand for accountability of publicly funded institutions which internationally reached its zenith during the 1980s. This was particularly felt at HEIs around the world that were asked to show not only that they were doing their work for the state at acceptable costs but also that they were doing a job worth paying for. The need to demonstrate efficiency and effectiveness created the space for the multiplication of, largely quantitative, indicators which were to measure, mostly, the relation between costs and outcomes of the different services and activities characteristic of HE as an enterprise.³ This movement was part of the rise of the evaluative state and the need for HE to respond to the consequences of massification⁴ at a time when the state was pursuing deregulation and the market was rediscovered as the invisible regulator of socio-economic processes. The need for institutional self-regulation, as opposed to direct state control, aided the rise of the 'exploratory evaluation' characterised by the appointments of commissions of enquiry that sought to steer HE in the appropriate direction.⁵

One of the most important features of the advent of the evaluative state in this context was that the actual power to evaluate was transferred from the state not to the institutions

³ See for example: Abercromby, K. and Fielden, J. (2000). *UNESCO Higher Education Indicator Study: Accountability and International Co-operation in the Renewal of Higher Education. Final Report*. London: Commonwealth Higher Education Management Service (CHEMS). Available at http://www.unesco.org/education/wche/project_studies/indicators.doc (08 August 2002). Hereafter: Abercromby and Fielden (2000). Johns, J. and Taylor, J. (1990). *Performance Indicators in Higher Education (UK Universities)*. London: The Society for Research into Higher Education and Open University Press. Hereafter: Johns and Taylor (1990). Davis, D. (1996). *The Real World of Performance Indicators: A Review of their Use in Selected Commonwealth Countries*. London: Commonwealth Higher Education Management Service; Kells, H.R. 1992. "Performance Indicators for Higher Education: A Critical Review with Policy Recommendations." PHREE Background Paper Series No. PHREE/92/56. World Bank.

⁴ Neave, G. (1998). "The Evaluative State Reconsidered", *European Journal of Education*, Vol. 33 No. 3, pp.265-284, p.273. Hereafter: Neave (1998).

⁵ Neave (1998), p.269.

themselves but to intermediate organisations which had as their responsibility the control and overseeing of institutional self-regulation through the utilisation of performance indicators.⁶ In two decades of performance indicators' literature the relationship between inputs, outputs and processes have gone through every possible permutation of weight and import of components. In 1990, Johns and Taylor⁷ revisited the issue of performance indicators in HE concluding that outputs without inputs and processes were meaningless in explaining the differences in institutional performance and, more importantly, that the nature and history of institutions was a fundamental variable to make sense of whatever trend performance indicators pointed to.

The main issue, however, is the purpose of using performance indicators. Is it to allocate funding? Is it to measure achievement against certain targets? Are those targets actually measurable? And, finally, is measuring worth it at all?

The trend to measure and the demand for accountability have not been limited to the Northern hemisphere, where this movement started. In the developing world, the urgency for accountability and evaluation has usually come hand-in-hand with international aid funds (e.g. IMF, World Bank) that more often than not have worked towards the generalisation of a globalised view of society, government and economy, disregarding contextual issues as well as local discourses and practices. In the specific terrain of HE, evaluation is often linked to the primacy of one model of HE reform against which the achievement of other systems should be measured and judged. In this sense, monitoring and evaluation systems in the developing world could be seen as an aspect of the importation of the managerial model of HE.⁸

Most of the literature on monitoring and evaluation in HE is related to accountability and resource allocation with issues of social transformation being at best peripheral to the construction of performance indicators and at worst being limited to the capacity of HE to generate economic wealth and to run its business in a cost-effective manner. While certain aspects of the movement towards quality assurance of HE seem to be tempering this, especially in those countries where quality improvement is as fundamental an objective for external scrutiny as accountability, so far we do not know of any national HE system that has taken the issue of transformation head on and incorporated the problems of social and institutional change in the conceptualisation and implementation of a monitoring and evaluation system. While the UNESCO project on HE indicators translated into indicators most of the transformative objectives of the World Declaration on Higher Education and of the Framework for Priority Action arrived at the World Conference on Higher Education of

6 Neave (1998), pp.278-9.

7 Johns and Taylor (1990).

8 Arnove, R.F. and Torres, C.A. (eds) (1999). *Comparative Education: The Dialectic of the Global and the Local*. Oxford: Roman and Littlefield. Marginson, S. and Mollis, M. (2002). "The Door Opens and the Tiger Leaps: Theories and Reflexivities of Comparative Education of a Global Millennium", *Comparative Education Review*, Vol. 45 No. 4, pp.581-615. Marginson, S. and Mollis, M. (2002). "The Assessment of Universities in Argentina and Australia: Between Autonomy and Heteronomy". *Higher Education Review*. Vol. 43, Abercromby and Fielden (2000).

1998, so far most of the work is concentrated on the development of quantitative performance indicators leaving the issue of change untouched.⁹

In the South African case, the first attempt at monitoring HE performance, the SAPSE system, was fundamentally geared to provide data for the allocation of government subsidies. The new conception of the role of HE in democratic South Africa, which was predicated on the imperatives of the country's political transition, posed the question of management information systems as well as of the measurement of progress of the HE system towards the achievement of new policy goals and objectives.

The NCHE noted in its final report in 1996 that there was a definite need for a new management information system (MIS) and a performance indicator system (PIS) in South African HE. Thus the commission proposed that a new MI/PI system be implemented:

- To monitor progress towards meeting national development goals.
- To monitor changes in the size, shape and profile of the HE system in relation to specific goals related to equity and redress.
- To monitor the efficiency and effectiveness of the HE system and the financial health of institutions in a period of transition.
- To inform the development and implementation of the national funding methodology.
- To monitor quality and academic standards.
- To monitor the quality and effectiveness of institutional governance and management to ensure accountability in higher education.¹⁰

The NCHE made a careful distinction between a MIS and a PIS. While the two were interrelated, they should be considered separately. With regards to an MIS the NCHE noted:

A national-level management information system for higher education (for example, a revision of and/or successor to SAPSE) is likely to have many uses. These include policy generation, needs assessment, analysis of policy implementation, communication with multiple interest groups, reporting to international bodies, as well as management of any national financial subsidy to institutions. (...) A further use for a national management information system is in developing performance indicators when the information in a database is connected with explicitly stated policy goals to illuminate the extent of national progress in higher education. For this use, the database is an essential underlying support, but is of less immediate priority than the clarification of policy goals that are the focus of the performance indicators.¹¹

⁹ Yonezawa, A. and F. Kaiser, (eds) (2003). *System-Level and Strategic Indicators for Monitoring Higher Education in the Twenty-First Century*. Bucharest: UNESCO-CEPES.

¹⁰ National Commission on Higher Education (NCHE) (1996). *Report: A Framework for Transformation*. Pretoria: Human Sciences Research Council, p.335. Hereafter: NCHE (1996).

¹¹ NCHE (1996), p.337.

While the national government has had a fundamental role in the development of HEMIS, which will eventually provide a wealth of information about HE at an institutional and at a systemic level, the issue remains of how to use this information to translate social transformation objectives into reliable quantitative/qualitative indicators, and what the point is of adding another interpretive layer to the national data produced by HEMIS¹² in the form of a monitoring and evaluation system designed by the CHE.

That change seldom takes place as planned is a fact with which implementation agencies are very familiar. However, it is not their function to give an analytical account of the different paths to change or comprehensive explanations about success, deviation and failure, and unintended consequences of policy implementation. Neither is it their function to bring together the data produced by other management information systems operating in other areas of the National System of Innovation¹³ (e.g. research and development survey, or labour market data) to analyse and measure the impact (outcomes) of HE on the rest of society. Much less is it the function of policy-making and implementing agencies, due to their own closeness to these processes, to critique possible inconsistencies or incongruence in the process of policy-making and implementation, or to single out specific problems that need to be studied in detail. An implementing agency gathers data that allows it to monitor a system to measure progress against set targets but it neither evaluates nor undertakes research on issues that might arise because of uneven, unsuccessful or particularly successful implementation. However, in a situation of political transition in which social transformation and substantive democracy are fundamental objectives, monitoring need not only show whether or not certain objectives have been achieved, but also evaluate how far they have been achieved, and, fundamental for the development of a theory of social change that could help to steer, correct, plan and improve, show how change takes place, and what the roles are of government agencies, market forces, social environment and the individual institutions in effecting change. In this sense, the CHE Monitoring and Evaluation System will, in consultation with the relevant bodies, develop the necessary mechanisms to analyse the data generated by a variety of state departments, science councils, funding organisations and research organisations to provide different interpretive layers of the relationship between the inputs, processes, outputs and outcomes of HE that will have different uses for government, HEIs and stakeholders.

In other words, despite the numerous reservations and objections to monitoring systems based on a narrowly conceived idea of accountability, they can be a useful and productive tool for progressive and reflective thought and action as far as they transcend the mere generation of baseline data characteristic of monitoring and enter into the more interpretive

¹² In the case of private HE providers, the DoE gathers similar sets of data through the annual reports submitted by private providers to the DoE.

¹³ The South African National System of Innovation consists of all individuals and organisations involved in creating and using a knowledge base to build a better South Africa. The stakeholders in the national system of innovation are the central policy departments (those that create cross-cutting policies, e.g. DST, agencies, i.e., those government bodies that allocate funds to central government to performers of research and development within all sectors of the economy; SET institutions, all dedicated institutions performing R&D or related scientific activities; state corporations; business; higher education sector; non-government organisations. See: Department of Arts, Culture, Science and Technology (1996). *White Paper on Science and Technology, Preparing for the 21st Century*. Section 3.3.

and explanatory field of evaluation and actual research.¹⁴ Most monitoring systems have bureaucratized and simplified issues of fundamental importance and complexity which, looked at more closely, actually define the nature of the relationship between HE, the state and society.¹⁵ Obscuring these relationships and their changes seems, at least in part, to be one of the consequences that the rise of the evaluative state in the field of HE brought about. Taking this into account, the fundamental challenge for the construction of a monitoring and evaluation system is to take its own contradictions as a potential tool for democracy as a point of departure. This might make possible the realisation of a progressive link between evaluation and democracy.

The American evaluation specialist Michael Patton posits a link between civil society, public management and the polity to argue that evaluation strengthens democracy.¹⁶ This is so, he argues, because in democratic societies the evaluation of a social intervention analyses the relation between specific democratic goals, e.g. the distribution of a social good such as education, the process of implementation of a programme which has been designed to realise that particular goal, and the impact that this programme has had in actually achieving a more equitable distribution of education in society. However, the relation between evaluation and democracy is not limited to establish the effectiveness of democratic governance in tackling social issues through the assessment of policies, processes and impact. According to Patton, evaluation has a role in strengthening democracy: it improves the transparency of government and provides the kind of knowledge that contributes to responsive decision-making. But it also creates the space for different social actors to enter into dialogue, to critically examine purposes, processes and the results of individual and collective actions.

1.3 CONCEPTUALISATIONS OF MONITORING AND EVALUATION

One important safeguard against the audit culture currently prevalent in HE worldwide is to establish as clearly as possible the connections and differences between monitoring, evaluation and research to establish how they could contribute to the deepening of democracy.

Evaluation is a type of research that applies social science procedures to assess the conceptualisation, design, implementation and utility of social intervention programmes.¹⁷ It is generally accepted that evaluation studies have three main purposes: to judge merit or worth, to improve programmes and to generate knowledge.¹⁸ Taking this into account, the possibility of improvement and the realisation of the link between substantive democracy

¹⁴ The differences between monitoring and evaluation are explored in more detail in the next section of this framework.

¹⁵ Neave (1998), p.273.

¹⁶ Patton, M.Q. (2000). *A Vision of Evaluation that Strengthens Democracy*. Available at: <http://www.europeanevaluation.org/pdf/patton.pdf> (02 October 2002). Also see: Alkin, M.C. (1990). *Debates on Evaluation*. London: Sage. Hereafter: Alkin (1990).

¹⁷ Rossi, P.H. and Freeman, H.E. in E. Babbie and J. Mouton, (2001). *The Practice of Social Research*. Cape Town: Oxford University Press Southern Africa, p.335.

¹⁸ Patton, M.Q. (1997). *Utilization-focused Evaluation*. London: Sage, p.76. Hereafter: Patton (1997).

and evaluation depend not only on the transparency with which institutions and organisations produce and utilise data¹⁹ but also on the definition and nature of the data. In this sense, a culture of evaluation needs to define what to evaluate, why to evaluate and, finally, how to evaluate.

Within this methodological approach monitoring is a particular type of formative evaluation that relies on routine management information in order to establish whether a programme is achieving its targets or outcomes, or what changes have occurred in a state, e.g. staff equity and the increase of opportunities for women academics.

The production, utilisation and nature of data as well as its final purpose inform the distinction between monitoring and other types of evaluation as research methods (Table 1). Inevitably, definitions run the risk of oversimplifying concepts, which in practice are more complex, more nuanced and more messily related to each other than textbook definitions will allow. Despite this, the CHE has selected two operative definitions of monitoring and evaluation in order to situate its Monitoring and Evaluation System within a conceptual continuum that goes from monitoring to research focused on the explanation of social processes.

According to UNICEF:

Monitoring is the periodic oversight of the implementation of any activity which seeks to establish the extent to which input deliveries, work schedules, other required actions and targeted outputs are proceeding according to plan, so that timely action can be taken to correct deficiencies detected.

Evaluation is a process which attempts to determine as systematically and objectively as possible the relevance, effectiveness, efficiency and impact of activities in the light of specified objectives. It is a learning and action-oriented management tool and organizational process for improving both current activities and future planning, programming and decision making.²⁰

The neatness of these definitions is, nevertheless, deceiving. UNESCO's definitions are focused on the conceptualisation and delivery of development programmes and their related activities, and not on the process of policy-making and policy implementation where individual social actors' responses depend on history, relative power of negotiation, agency, and a range of systemic and individual circumstances that make the assessment of the results far more complicated. For example, while monitoring can tell how many more women academics there are in HE, and evaluation can tell how well these figures measure against a government target and therefore comment on the effectiveness of a particular policy, research is needed in order to understand why most women academics are mostly located

¹⁹ This refers to the different types of quantitative and qualitative information used to produce knowledge.

²⁰ UNICEF (2002).

in a particular discipline, and why, at the institutional level, HEI X has a greater number of women spread across many more disciplines than HEI Y.

Table 1 Complimentarity and differences between monitoring and evaluation²¹

	<i>Monitoring</i>	<i>Evaluation</i>
<i>Purpose</i>	Adjust implementation; identify necessary actions	Effectiveness/Impact analysis; policy adjustment
<i>Main Action</i>	Keeping track (of trends and progress)	Assessment; compares plan and achievement
<i>Focus</i>	Inputs; outputs; processes; instruments (actions)	Outputs vs inputs; process vs results; results vs costs; impact; relevance to values
<i>Data Sources</i>	Management information systems; progress reports	Monitoring data; case studies and surveys
<i>Undertaken by</i>	Implementing agencies; social actors	Evaluators on behalf of implementing agencies; social actors
<i>Frequency</i>	Continuous	Periodic

Monitoring and evaluation represent qualitatively different yet complementary activities. While monitoring is the continuous observation of an activity and aims to identify the need for corrective action by measuring change (input, output, processes, instruments) over time, hence taking a ‘broad’ look, evaluation is preoccupied with the interpretation of monitoring data, the attempt to discern, explain and assess change patterns and causalities, hence taking a ‘deep’ look²² and therefore linked to social science research. Monitoring data is mostly quantitative in nature and based on management information systems; evaluation data is mostly qualitative, based on case studies and comparisons, etc. (compare Tables 1 and 2).²³ These differences should not detract from the fact that there is a blurred line between these two activities, especially if the object of monitoring is not simply to produce data regularly but to produce intelligence on data, which in turn has some role in pointing to incipient problems and trends that cannot be simply signalled but need some level of explanation and interpretation. Over and above the difficulties in the definitions, there is one more caveat about the development of monitoring and evaluation systems and this is that while organisations/government departments can and should monitor progress in the implementation of policies/programmes, they cannot evaluate themselves: research and evaluation need to be conducted as ‘external’ processes for evaluation to be of value.

²¹ Adapted from: United Nations Children’s Fund (1991). *Evaluation – A UNICEF Guide for Monitoring and Evaluation – Making a Difference?* Evaluation Office. 1991. Available at: <http://www.unicef.org/reseval/mander.htm> (02 August 2002).

²² Naidoo, P. (2001). Measuring indicators of quality in physical science education: case studies of high performing schools. (Unpublished Doctoral thesis). Durban: University of Durban-Westville.

²³ United Nations Population Fund, (2000). ‘Tool No. 2: Defining Evaluation’ in *Monitoring and Evaluation Toolkit for Programme Managers*. New York: UNFPA, p.3.

1.4 SUMMARY

The monitoring of the HE system is among the many responsibilities allocated to the CHE by the WP and the HE Act. By means of the CHE Monitoring and Evaluation System set out in this document, the CHE aims to discharge this responsibility and thereby generate additional information and analysis to be in a better position to provide advice on all HE matters to the Minister of Education, produce reports on the state of South African HE to Parliament that are ever more comprehensive and analytical, and generally generate information and analysis on the South African HE system that could be of use for the effective steering of the HE system.

Internationally, the impetus for the monitoring and evaluation of HE has typically been precipitated by the rise of the evaluative state with its demand for greater accountability of publicly funded institutions. This specific monitoring and evaluation practice has been introduced into the developing world by global donor funds with exposure to HE, often without much regard for local circumstances.

In South Africa, the NCHE of 1996 proposed the replacement of the SAPSE monitoring system by new management information and performance indicator systems, which should be able to shed light on the progress of HE towards the achievement of national policy goals. A new monitoring and evaluation system should be able to account for the paths to change and explanations about success, deviation, and failure of policy and policy implementation.

The CHE Monitoring and Evaluation System is thus focused on the process of transformation of HE as well as on the analysis of the modalities and pace at which change takes place at both the systemic and the institutional level. It is geared towards providing a deeper understanding of the modalities and contradictions of change in the sector.

For the purpose of conceptualising and developing the system, monitoring and evaluation are defined as qualitatively different yet complementary activities.

THE CHE MONITORING AND EVALUATION SYSTEM

2.1 POLICY CONTEXT AND THE MONITORING AND EVALUATION SYSTEM

The CHE Monitoring and Evaluation System is developed in, and must be able to respond to, the particular policy context within which the reconfiguration and development of South African HE finds itself. As stated in the opening section of this framework, the objectives of the CHE Monitoring and Evaluation System are to describe and analyse the state of HE in relation to the implementation of the transformation agenda; establish the direction in which the HE system is moving and whether this direction is desirable; establish the role and efficacy of policy, structures, instruments, strategies and processes in the implementation process; and establish and analyse the form and pace at which change takes place. Given the policy context, impetus for the development of monitoring systems in HE in general and the specific objectives of the CHE Monitoring and Evaluation System, it is necessary to spell out the CHE's understanding of the process of policy development and policy implementation, and thereby indicate the assumptions upon which the system has been developed.

In democratic societies, policies are the result of historically conditioned political contestation, conflict and co-operation between social actors with different interests and unequal power. In this regard, it is important to note that the process of policy implementation as well as its outcomes are often unpredictable and depend on the ways in which policy is read, interpreted and used by governments as much as by the social actors themselves.

Secondly, as a consequence of their apartheid legacy, the 36 institutions that integrated the South African HE system in 1994 were characterised by differentiated identities, capabilities and resources. These differences seriously conditioned the ways in which institutions accepted, responded to, reinterpreted and resisted the transformation agenda and the country's changing political circumstances.

Lastly, the general purpose of South African HE policy post-1994 is the transformation of the HE system in such a way that it redresses past inequalities, serves a new democratic social order, meets pressing national needs, and responds to new realities and opportunities in a global context. This purpose, stated at the level of symbolic policy in the WP, has been disaggregated into a series of objectives, plans and targets as government and individual HEIs interpreted the policy in order to implement it. The process of translation of symbolic policy goals into implementable objectives is not always congruent or comprehensive.

Each of these assumptions about policy poses a methodological and strategic corollary at the time of embarking on the actual tasks involved in monitoring and evaluation.

Firstly, the historical character of policy formulation implies that changing historical circumstances produce new political configurations that need to be taken into account if one is to adequately understand and interpret social change at the systemic and individual levels. In other words, the CHE Monitoring and Evaluation System has to take into account broader social policy trends and processes which constitute the context within which HE policy and policy implementation are shaped.

Secondly, historical differentiation between institutions must be brought to the fore in order to provide a nuanced interpretation of systemic trends and offer comparisons that help to understand institutional change from a systemic perspective. In terms of the selection and collation of data, this implies complex forms of aggregation and disaggregation of the information provided by HEMIS, the HEQC, and other management information systems and databases operating within the National Innovation System.

Thirdly, the WP based its goals and objectives on a series of principles that, in turn, were prioritised and defined as targets with accompanying strategies in the National Plan. The efficacy of any measurement and diagnosis of the state of the South African HE system then depends on the actual availability and quality of data provided by different management information systems as well as on the measurability of the objectives themselves and on their correspondence with the stated goals. In other words, the need to define and conceptualise strategic performance indicators urges that these principles are brought into a workable format and plotted against specific functions or domains of HE, i.e. teaching, learning, research and community service.

2.2 UTILISATION OF MONITORING AND EVALUATION

The CHE Monitoring and Evaluation System is focused on utilisation. Monitoring and evaluation are futile exercises unless utilisation of the generated data and analysis can be ensured. To warrant a degree of utilisation, users need to be identified at multiple levels of the HE system and its stakeholders. Thus, for example, at the level of HE policy-making, intended users are the actual policy-makers; advisory bodies and implementation agencies; stakeholder groups; and other participants in the process of policy-making, such as other state departments. In the broader policy environment, they also include the users of HE in general; industrial and local partners and funders; the South African public and the mass media; and any other persons and groups who are likely to have an interest and/or act as informers to policy-makers. Different social actors could and in all probability will use the different types of information produced by the system differently.²⁴

In a maximalist view, the CHE conceives the Monitoring and Evaluation System as an instrument for the gathering and interpretation of HE-related data and information (produced by different agencies and government departments) which would otherwise remain dispersed and unrelated. A system such as this has different utility for different users. For

²⁴ Compare: Alkin (1990), p.19, 179–180.

example, while the Ministry of Education monitors through the Department of Education (DoE) a range of implementation issues in order to measure the achievement of government-set targets by the institutions, the DoE cannot evaluate, for example, the responsiveness of HE to the labour market beyond the analysis of outputs (i.e. number of graduates in different disciplines). The development of indicators and the commissioning of research for this purpose would fall within the CHE Monitoring and Evaluation System. The results of the data gathering and interpretation could point out for the Ministry progress in and obstacles to the achievement of this specific aspect of the transformation of the HE system. HEIs, as well as their stakeholder bodies, could find in the comparative analyses generated by the system a source of information against which to measure their own achievements, and to understand different paths or approaches to the implementation of specific aspects of HE policy. Similarly, the diffusion of good practices through case studies of, for example, deracialisation and demasculinisation of the academic body, could create a pool of ideas and experiences that institutions would be able to share and benefit from. The regular dissemination of integrated information about the achievement of the WP policy goals could become an important tool for policy analysts and researchers investigating different aspects of HE reform. Finally, dissemination of information about HE might be of interest for the general public and, especially, for students who need to make career choices.

From the point of view of the CHE, the Monitoring and Evaluation System will offer important opportunities and possibilities to discharge its mandate in an integrated and innovative manner. In this regard, several points need to be stressed.

- In terms of its advisory function towards the Minister of Education, the implementation of a system that monitors the progress of HE reform against general goals and specific targets as well as looks for explanations, causal relations and interpretive theories for deviations, unplanned results and different trajectories to achieve similar outcomes (utilising a combination of data sources) would help to understand better policy implementation and will highlight new problems that need to be dealt with at a systemic level.
- In relation to the CHE's responsibility towards HEIs, the monitoring system will provide nuanced analyses of the specific paths to change followed by different institutions depending on their nature, identity, historical trajectory, resources and general capabilities. This will offer, it is hoped, useful terms of comparison as well as the possibility to identify and share best practices in different institutional contexts. Also, in relation to the HEIs, the implementation of a monitoring and evaluation system would show the importance of creating baseline information and institutionalising regular evaluation systems on which to base internal strategic planning.
- In terms of the actual monitoring responsibilities of the CHE such a system would allow the CHE to point the DoE to problem areas, not necessarily detected through HEMIS, in terms of the instruments and indirectly the structures that support the implementation of the HE reform.
- The Monitoring and Evaluation System with its focus on the search for explanations and interpretive frameworks would allow the CHE to identify and suggest certain areas of

research on HE, as well as to encourage theoretical reflection among the HE research community.

- In relation to the CHE’s responsibilities towards the broader South African civil society, the Monitoring and Evaluation System would through the dissemination of information create the space for public debate and a better understanding of HE contribution to society, thus helping to rethink the position and role of HE within civil society.

Table 2 summarises the specific aims of an institutionalised system of monitoring and evaluation of the transformation of HE taking into account the conceptual distinction between monitoring and evaluation. As indicated earlier, one of the characteristics of the Monitoring and Evaluation System proposed by the CHE is that it relies heavily on research. In this sense, some of the attributes of evaluation indicated in the right-hand column of Table 2 – such as understanding the causes of success and failure and establish different models of development – are, strictly speaking, research aspects of the system.

Table 2 Specific aims of the Monitoring and Evaluation of HE Transformation²⁵

<i>Monitoring</i>	<i>Evaluation</i>
To establish baseline information	To discern, describe and explain patterns of change over time
To measure change in the size, shape and profile of the HE system over time	To judge outcomes against objectives
To take stock	To judge processes against outcomes
To establish outcomes against objectives	To plan the next steps (e.g. in terms of policy)
To track processes against outcomes	To deepen understanding of processes, i.e. to understand the causes of success and failure
To identify the need for corrective action	To establish different models of development, i.e. to understand the modalities of success and failure
	To revisit premises and purposes
	To become more self-reflexive

2.3 SCOPE AND FOCUS OF THE CHE MONITORING AND EVALUATION SYSTEM

One of the main methodological problems that the CHE had to tackle in the development of this framework was to define the scope and focus of the Monitoring and Evaluation System at four different if complementary levels. Firstly, there was the relation between the goals and objectives of the WP and those of the NPHE, which have been presented by the government as the implementation strategy of the WP with a view to the construction of a set of indicators, especially because the NPHE prioritised some areas of reform and left out others. Secondly, the question was how to explore the complex relations between HEIs, state and society in order to understand social and institutional change taking sets of

²⁵ Adapted from: United Nations Population Fund (2000). ‘Tool No. 2: Defining Evaluation’ in *Monitoring and Evaluation Toolkit for Programme Managers*. New York: UNFPA. Available at: <http://www.unfpa.org> (06 August 2002), p.3.

indicators as a point of departure. Thirdly, there was the impossibility of giving as complete an answer as possible to the question about the achievement of the transformation goals set in the WP utilising only the data currently produced by HEMIS. Finally, there was the issue of the definition of the unit of analysis for monitoring and evaluation including the issue of how to include private providers of HE in the monitoring and evaluation system.

In terms of the relations between the WP and the NPHE, while the prioritisation of objectives as well as the formulation of their corresponding strategies and outcomes will, in due course, be interpreted as part of changing political contexts and the agency of different social actors, it is necessary to establish the conceptual connection between the two documents as well as the manner in which the Monitoring and Evaluation System will deal with the connection and the lack thereof in its implementation. As an example, in relation to students, the NPHE takes a goal from the WP, 'to provide a full spectrum of advanced educational opportunities for an expanding range of the population irrespective of race, creed, or class or other forms of discrimination'.²⁶ The NPHE connects this goal to a strategic objective 'to produce graduates with the skills and competencies to meet the human resource needs of the country' and, finally, sets out a series of priorities and objectives, which are of very different order and which in some cases do not have a linear correspondence with the strategic objective or the goal:

- To increase the participation rate to meet demand for high-level skills;
- To increase the number of graduates through improving the efficiency of the system;
- To ensure a balanced production of graduates in different fields of study;
- To broaden the base of HE by increasing access of workers, professionals and adult learners denied access in the past;
- To produce graduates with cognitive skills and competencies required for participation in the modern world; and
- To increase participation and graduation rates of black and women students.

Given that there is not a linear correspondence between the goals of the WP and the implementation objectives of the NPHE, identifying the correspondence between goals, strategic objectives, and priorities (objectives); indentifying the gaps and silences in the translation of goals into objectives and indentifying what can be monitored from the point of view of data availability, is a precondition for the development of a monitoring and evaluation system.²⁷ The indication of missing objectives, as well as the incongruence between goals, strategic objectives and objectives, will be undertaken as ongoing in-depth research. The issues that emerge from this exercise constitute the bases for further research on the phases of the policy process and the fine-tuning of the Monitoring System.

In relation to the second methodological problem – how to explore the relations between HEIs, state and society taking sets of indicators as a point of departure – it is important to point out that a monitoring and evaluation system implies a level of simplification and

²⁶ WP (1997), Section 1.27.

²⁷ Compare: Appendix.

reduction of the activities of HE and of the objectives of the reform in order to be able to capture them in indicators which have both conceptual validity and that are measurable.

Finding a satisfactory definition of 'indicator' in the literature has proved a very difficult task not only because of the ambivalence and vagueness of certain definitions but also because different authors use the same terms to designate different things. Taking this into account and having paid due attention to the authorities in the field,²⁸ the CHE has decided to build its monitoring and evaluation system based on the following definitions:

Indicators are measures – quantitative or qualitative – of the input, processes, outputs and outcomes of the activities performed by HEIs in the fulfilment of their purpose, i.e. teaching and learning, research, and community service. These indicators signal performance when they are construed to assess the achievement of a goal. A goal, however, may not have been specified, i.e. there is no target or benchmark. The absence of a benchmark to be attained (i.e. the goal is to have more black students instead of increase black enrolment by 15%) does not preclude the use of indicators nor does it invalidate the measure of performance, in the sense of change in the state of a system. Indicators can be used to measure change in a state, for example, by taking a particular year as base 00 and measuring the changes that have occurred at the system or institutional level since then. The purpose of such measurement is not to see whether institutions performed well or badly, but to capture change in order to study and interpret it. Indicators, however, only measure intended consequences. Thus, neither the identification of trends nor the interpretation of change are possible unless a set of indicators (instead of one or two) are taken into account. In this sense what matters most for a monitoring and evaluation system underpinned by research is the relationships between indicators. This relationship takes into account the interrelatedness of policy objectives and that achievements in one area might obscure failures in others. For example, a marked increase in black students enrolments in HE needs to be qualified by the distribution of students per disciplinary field and student retention rates. At a higher level, trends identified through indicators (performance indicators) need to be read contextually in terms of history and social structure. This is one of the reasons why the CHE Monitoring and Evaluation System is not exclusively based on HEMIS data and sees HE in its dynamic relations with society and the state.

The development of a monitoring and evaluation system not only implies the construction of valid and measurable indicators, it also implies a level of selection of what will be measured. In terms of the implementation of the Monitoring and Evaluation System there is a prioritisation of the objectives that will be monitored. This, however, does not mean that what has been left out is considered less important or that it will never be taken into account. The development and implementation of the CHE Monitoring and Evaluation System is a phased

²⁸ Cave, M. et al., *The Use of Performance Indicators in Higher Education: The Challenge in the Quality Movement*. London 1997; Cloete, N., Bunting, I. (2000). *Higher Education Transformation: Assessing Performance in South Africa*, Pretoria CHET; Yonezawa, A. and Kaiser, F. (2003). *System-Level and Strategic Indicators for Monitoring Higher Education in the Twenty-First Century*, UNESCO, 2003. EPU (UWC) Workshop: The Development of a Revised Information System and Performance Indicators for Higher Education, September 1995.

process that will focus on the achievement of policy goals in as comprehensive a manner as possible. This is the case of, for example, the issue of students with special needs. While the CHE is well aware of the importance of this issue, indicators for this specific objective of the NPHE will not be constructed in the first phase of the development of the monitoring system. This, however, does not mean that research on these issues will not be commissioned to identify the state of the field of special needs in HE and to decide on appropriate indicators to monitor and evaluate it.

As has been said, monitoring implies the analysis of a series of agreed-upon indicators in order to ascertain how much progress has been made in the achievement of policy objectives. In terms of the process of identifying and developing a series of indicators the first step taken by the CHE was to group goals and objectives of the WP with the corresponding strategic objectives, priorities, outcomes and strategies set out in the NPHE and refer them back to the general principles that, in accordance with the WP, informed the transformation of the South African HE system:

- *Equity and redress*: Fair opportunities both to enter HE programmes and to succeed in them. Applying the principle of equity and redress implies the critical identification of existing inequalities and a programme of transformation with a view to redress.
- *Development*: Conditions must be created to facilitate the transformation of the HE system to enable it to contribute to the common good of society through the production, acquisition and application of knowledge, the building of human capacity and the provision of life-long learning opportunities.
- *Quality*: Maintaining and applying academic and educational standards, both in the sense of expectations and requirements that should be complied with and in the sense of ideals of excellence that should be aimed for. These expectations and ideals may differ from context to context, partly depending on the specific purposes pursued. Applying the principle of quality entails evaluating services and products against set standards, with a view to improvement, renewal or progress.
- *Efficiency and effectiveness*: An effective system functions in such a way that it leads to desired outcomes. An efficient system works well without unnecessary duplication or waste, is affordable and sustainable.²⁹

Out of this exercise it became clear that the outcomes and effects that HE reform is expected to have are equity, efficiency, quality and responsiveness. These effects and outcomes are to be seen on a series of domains that fundamentally define the work of HE: teaching, learning and research.³⁰ Teaching and learning, however, are regarded as two different if complementary levels. On the one hand, they are seen as the two key input components of the teaching and learning process: students and academic staff. On the other hand, teaching and learning are seen from a pedagogical perspective taking into account the criteria

²⁹ WP (1997), Sections 1.18, 1.20, and 1.22.

³⁰ The exclusion of community service at this stage speaks of the difficulties in the capturing of baseline data as well as in the construction of performance indicators for this area. This, however, does not mean that the system will not monitor how and to what extent the goals and objectives of transformation are realised in the area of community service. This area of monitoring will be developed in the second phase of the implementation of the monitoring system.

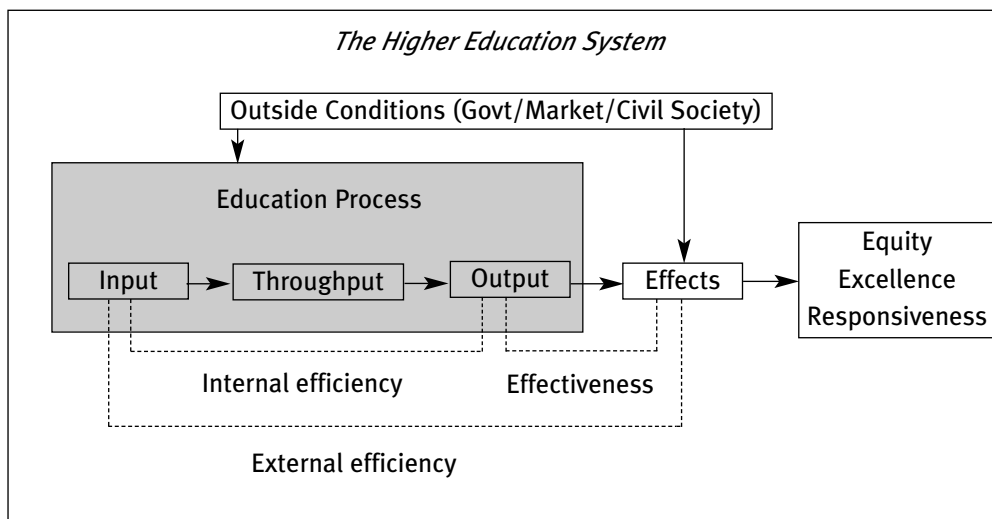
developed by the HEQC. The relationship between the CHE Monitoring and Evaluation System and the criteria developed by the HEQC will be discussed in Part III of this framework. The following are the operative definitions of the reform outcomes for the monitoring system:

- *Equity*: In the monitoring system this refers to the achievement of increased demographic representation, particularly of black and female persons in the three domains of HE that the system will monitor. This will further take into account representivity in different art and science disciplines as well as level of study (students) and achievements in terms of qualifications, position, etc. (academic staff).
- *Efficiency*: This is the relation between inputs and outputs within the HE system (internal efficiency) and between inputs and effects in the wider society (external efficiency). Effectiveness refers to the relation between HE outputs and their effects in wider society. For example, the efficiency of the HE system in terms of students can be monitored by looking at indicators for completion and throughput rates, while the effectiveness has to do with, crudely put, the fit between HE graduates and the attributes looked for by their employers in different economic sectors.
- *Quality*: This refers to the fitness for purpose, the value for money in relation to the full range of HE objectives set out in the WP, and the transformation in the sense of development of the individual and socio-economic requirements attained by an institution in the context of its fitness of purpose with national goals and objectives.³¹
- *Responsiveness*: This refers to the extent to which the inputs, processes, outcomes and effects of HE in relation to teaching, learning and research meet national goals and the public good. This category will not be limited, as it usually is, to the analysis of the economic and labour market-related outcomes of HE; the CHE will also investigate the viability of constructing indicators that could account for the socio-political objectives of the reform (e.g. development of critical citizenship) and for the nature of knowledge production. Given its novelty, the latter, however, will have to be seen as a special project within the development of indicators.

None of these definitions is completely satisfactory. In each case it will be necessary to make sure that we are not oversimplifying concepts by using reductionist names or readily available shorthand. Responsiveness is a particularly good example of this problem. Not only is the concept fundamentally associated with the relation between supply and demand of skills and knowledge production, therefore leaving out socio-political responsiveness and issues of citizen formation, but it also seems to stand in opposition to the notion of innovation and creative leadership, which is a key aspect of HE's purposes. These are the kind of issues which need to be looked at more carefully and on which research needs to be done.

³¹ Higher Education Quality Committee (2001). *Founding Document*. Pretoria: Council on Higher Education, p.14.

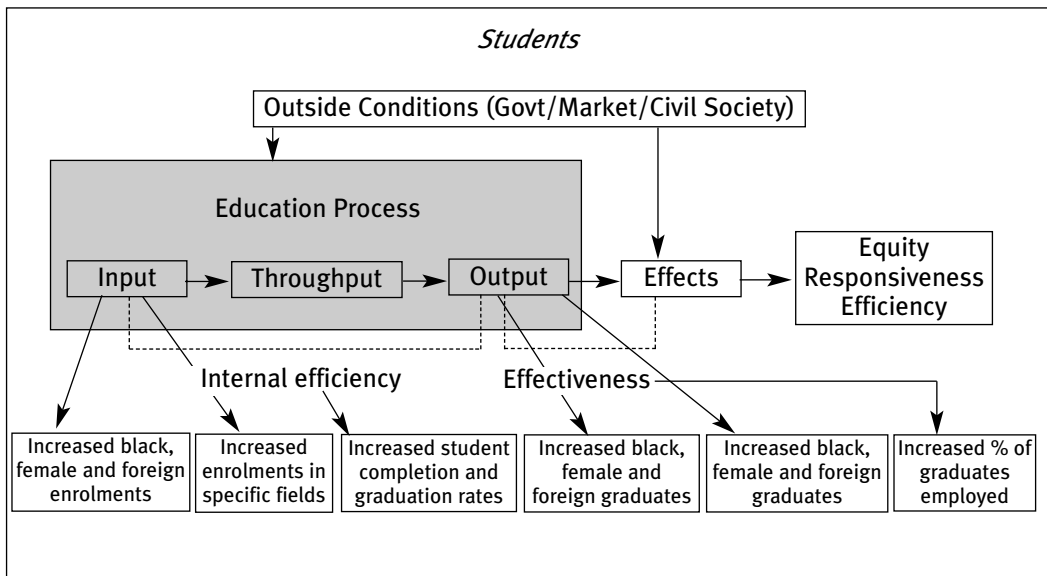
Figure 1 The Higher Education System³²



The identification of indicators, even when defined satisfactorily, is not enough to give an account of the actual functioning of the HE system and of the different ways in which it interacts with society and the government. As pointed out earlier, the CHE framework for the monitoring and evaluation of HE is not a self-referential model. It is based on a relational and dynamic model (Figure 1), in which HE is seen in its changing relationship to civil society and the state (which does not only include its primary line department) at the same time that social, economic and policy processes are seen as affecting HE. In this regard two fundamental issues need to be taken into account. First, indicators need to be seen as part of a process and the questions asked about them varied depending on their position in the process. For example, students are an input, a throughput and an output of the educational process, and in this regard the smooth transition from the one into the other will be indicating the internal efficiency of the HE system. However, the output of this process, i.e. HE graduates, constitutes the outcome of the education process in relation to society and in this sense whether these graduates are satisfactory for the labour market is an indication of the effectiveness of the system in relation to its expected impact or effect on society. (This is illustrated in Figure 2.) Second, not only can the system be monitored from different perspectives (input, throughput, output, outcome, performance), but it is also influenced by the signals and demands that it receives from government, civil society and the market. In other words, the implementation of policy by social actors is not a linear process that can simply be read off indicators. This is a key premise that has informed the development of the CHE Monitoring and Evaluation System.

³² Figures 1 and 2 were taken from the feasibility study conducted by The Cape Higher Education Research and Development Alliance (CHERDA) for the Council on Higher Education, pp. 10 and 12.

Figure 2 Example Indicators in the Domain Students



Thirdly, in relation to the utilisation of data provided by only one management information system, indicators in the CHE Monitoring and Evaluation System are simply diagnostic tools when it comes to the explanation of complex social processes. Understanding institutional and societal change in the context of the changing relations between HEIs, the state and society – the second focus of the system – implies accepting the limits of monitoring to advance explanations and interpretive frameworks for the different trajectories/results of policy implementation. In this sense, performance indicators *per se* can only suggest and insinuate. Fuller, deeper, and, especially, focused investigations are necessary to understand how and why institutional/systemic change takes place, and how this relates to fundamental societal/global trends. This is the reason why the CHE proposes the development of a monitoring *and* evaluation system, which will rely heavily on research in its broader sense to be superimposed on the baseline information provided within and without the HE system.

Finally, the issue of the unit of analysis constitutes a conceptual as well as a strategic issue. The HE system is constituted by the aggregation of all the institutions recognised as providing HE in South Africa, whether public or private. System-level trends are the result of the different weight that individual institutions' trajectories have in the construction of an index. Systemic trends, however, can be misleading as well as an oversimplification of complex and diverse processes. In order to understand change and to encourage improvement – two fundamental objectives of the CHE Monitoring and Evaluation System – a system has to provide descriptions and explanations that serve comparative and analytical purposes. Thus systemic-level trends need to be disaggregated into institutional types, and further into individual institutions in order to have a more nuanced and sharper understanding of the ways in which policy implementation unfolds, how it is mediated, and what the structures and instruments are that facilitate success. Once again, these issues raise the differences and complementarities between monitoring and evaluation. The CHE Monitoring and Evaluation System utilises the conceptual continuum as well as the tensions

between monitoring and evaluation to track change, to explain it, and to theorise it in the interface between the HE system and its constitutive parts. At a practical level, while HEMIS and the other management information systems operating within the National System of Innovation collect baseline data for public higher institutions, there is yet no comparable system of data collection for private providers. This is an issue that needs to be discussed with the Higher Education Branch of the DoE. Within the CHE, the data collected by the HEQC through the process of accreditation is already providing valuable information for the monitoring and evaluation of private providers; however, this does not replace the systematic gathering of baseline data.³³

2.4 SUMMARY

South African HE finds itself in the midst of a far-reaching process of restructuring that reaches from institutional mergers to programme rationalisation with the general purpose of overcoming the apartheid legacy in the sector and transforming the HE system in such a way that it redresses past inequalities, serves a new democratic social order, meets pressing national needs, and responds to new local and international realities and opportunities. The outcome of policy implementation in such a context may or may not be as intended. The development of a monitoring and evaluation system has to be mindful of intentions of policy and associated policy instruments, and of the national and disparate institutional contexts within which policy is implemented.

Utilisation is an important consideration in the development of a monitoring and evaluation system. Unless the data and analysis that it produces is utilised, the exercise is futile. Hence, the system must be designed with specific aims in mind and with a focus on utilisation, that is the intended use by intended users. The CHE Monitoring and Evaluation System is thus designed to discharge the monitoring mandate bestowed upon it by the WP and the HE Act in an integrated and innovative manner. The data and analysis is intended to have utilisation at the system and institutional levels; to offer crucial information for HE stakeholders and policy-makers and to the South African public at large; to create an awareness of general trends in HE as well as of the efficacy of specific policy instruments and structures; and to contribute knowledge both for application in policy-making and for the advancement of a theoretical understanding of change in the sector. Thus the Monitoring and Evaluation System further supports the CHE's function of steering and giving intellectual direction to the HE system.

The scope and focus of the CHE Monitoring and Evaluation system is honed by the complex relation between the need for specificity to monitor and evaluate the achievement of specific policy goals and the simultaneous need for continuity to discern trends and progress over time, and add depth to the breadth of data in the system. The dynamic nature of policy can be illustrated in HE by looking at the way the NPHE prioritises certain WP policy goals over

³³ As an example of the utilisation of the data generated by the HEQC see: Council on Higher Education (2003). 'The State of Private Higher Education in South Africa', *The Higher Education Monitor*, Issue 1, Pretoria: Council on Higher Education.

others (Appendix). This problem is solved methodologically by identifying equity, efficiency, quality, and responsiveness, as the high-level outcomes that HE reform needs to realise in terms of its student and staff composition and research in a dynamic context that looks at these domains from a system's perspective.

The identification of strategic indicators (which retain the possibility of disaggregation into institutional types and individual institutions) and associated data sources within the monitoring domains – students, staff and research – at the systemic level has been investigated in a preliminary way by means of a feasibility study. Because of the commitment not to burden the HEIs with additional demands for data, the CHE Monitoring and Evaluation System primarily operates using existing data within and without the HE system and research.

THE MONITORING AND EVALUATION PROCESS

3.1 IMPLEMENTATION PROCESS

The conceptual distinction and the connections between monitoring and evaluation explored in this framework are operationally useful in order to manage the development of the CHE Monitoring and Evaluation System in a phased manner. While in the developmental phase these two conceptual aspects of the system are thought of as consecutive, for the period after December 2003, i.e. the period after the initial development of the monitoring system, the monitoring phase and the evaluation phase are only distinct in terms of their activities, aims and outcomes, but operate on an ongoing basis, mutually feeding into each other.

The developmental phase of the project concludes with a number of critical outputs. These include the present CHE Monitoring and Evaluation Framework and a feasibility study conducted by HE research specialists, including the development of a preliminary indicator system and an investigation into data sources. Given the insistence in the Framework on utilisation, it is an important aspect of this phase of the project to engage with the HE community around the monitoring and evaluation system. This is done by the release of this Framework for comment and a series of related activities.

Part II of this framework as well as the feasibility study have pointed out that much clarificatory work still needs to be done on the HE system goals and their translation into a series of indicators. In this regard, the CHE will conduct a series of discussions with, from the perspective of the CHE Monitoring and Evaluation System, key role-players in the HE system. These discussions will be conducted primarily around two objectives: (1) the further clarification and articulation of systemic goals; and (2) the systematic operational translation of key goals into measurable indicators. Discussions will be held with senior staff of the DoE and other government agencies.

Populating the indicator tables with baseline data requires a closer investigation of the readily available data sources (of which a preliminary investigation has been conducted in the feasibility study) and simultaneously the negotiation of data exchange protocols. The development and negotiation of data exchange protocols including an agreement on operational definitions, criteria and standards for specific data sets and agreements on research collaboration, represent a strategic priority for the development of the monitoring system. Key data providers include the DoE, DoL, Department of Science and Technology (DST), NRF, South African Qualifications Authority (SAQA), Human Sciences Research Council (HSRC), Statistics South Africa, and others. Protocols for data exchange and research collaboration will be developed with each of these bodies to ensure that the data exchange and research collaboration are mutually beneficial.

The refinement of the initial system of indicators presented in the feasibility study will also require further modelling work. Part of this work is the investigation of an expansion of the indicator system to agricultural and nursing colleges and to private HE providers; and, for example, the extension of the system into the community service domain. The CHE intends to develop the system simultaneously with the commencement of regular and full-scale monitoring and evaluation studies in 2004.

Regular and full-scale monitoring and evaluation studies are to be conducted on a biennial basis, starting in 2004. The CHE Monitoring and Evaluation Directorate will develop a detailed implementation plan of the regular monitoring and evaluation process and associated research. The plan will, amongst others, address the issue of the coordination of standardised monitoring and evaluation studies with similar initiatives in the system; the conduct of routine descriptive and longitudinal monitoring studies; the augmentation of monitoring studies with selective in-depth case studies of a qualitative and evaluative nature; the interpretative process; as well as associated timelines, including timelines for reporting results to the CHE Board and the Minister of Education.

3.2 LOCATION AND ARTICULATION OF THE MONITORING AND EVALUATION SYSTEM IN THE CHE

The WP laid out the principles and goals that should guide the transformation of post-apartheid South African HE so that it could respond to the social, political and economic imperatives of the reconstruction of the country along democratic lines. In order to achieve this, the WP identified three steering mechanisms – funding, planning and quality assurance – and proposed a governance structure for the system, designed to help in the realisation of a transformed HE, that included the creation of the CHE as an independent advisory body to the Minister of Education with the executive function of assessing the quality of the provision of HEIs both public and private. Consistent with the WP, the HE Act created the CHE with a permanent committee responsible for quality assurance, the HEQC. The coexistence of quality assurance and advice in the mandate of the CHE required the conceptualisation of, on the one hand, the nature of the advice it had to provide in terms of the transformation goals and objectives and, on the other, how this advice related to quality assurance.

For the purpose of developing and implementing the CHE Monitoring and Evaluation System, the CHE established a Monitoring and Evaluation Directorate with a dedicated staff within the Advisory Division of the CHE. This was done in recognition that the creation of a monitoring and evaluation system was a complex undertaking that required far-reaching partnerships and co-operation across external agencies and had significant implications for the articulation between two directorates of the HEQC, the Accreditation and Coordination Directorate and the Audit and Evaluation Directorate, as well as for the CHE's Advisory Division. For instance, the Monitoring and Evaluation Directorate will work collaboratively with the HEQC in order to select the appropriate criteria to be used as indicators for quality so as to develop a congruent yet complementary system. Given that the data collection and analysis of the monitoring system operates on a biennial basis, the monitoring activities of

the CHE act as an early warning mechanism to the HEQC in terms of the quality of provision offered by public and private HEIs and of areas that might require closer attention.

The baseline data gathered and analysed by the Monitoring and Evaluation Directorate as well as commissioned research on specific issues derived from the monitoring data are almost a pre-condition for the provision to the Minister of informed advice on different aspects of HE reform and therefore for the CHE's contribution to the achievement of a transformed HE. Data gathered through the process of accreditation and audit by the HEQC feed into the CHE Monitoring and Evaluation System, both as actual data and as signals of issues that may need to be looked at in depth. The Monitoring and Evaluation Directorate thus runs a parallel process of monitoring and evaluation of the HE system with the Audit and Evaluation Directorate of the HEQC, yet focused more broadly on the achievement of various transformation goals, at an aggregated, systemic level with the capacity to research and evaluate specific aspects in depth. The Monitoring and Evaluation Directorate thus acts as an interface between data on the HE system generated external to the CHE and data generated by the process of accreditation and audit, run respectively by the Accreditation and Coordination Directorate and the Audit and Evaluation Directorate of the HEQC. It should be re-emphasised that the monitoring system is constructed in such a way that it will put no additional demands for data on the HEIs.

At an operational level the synergies and interaction between the Monitoring and Evaluation Directorate and the two HEQC directorates are realised in the sharing of databases within the CHE management information system, as well as in the joint production of two CHE publication series, the *Higher Education Monitor* and *The State of South African Higher Education*. The details of the co-operative arrangements between the three directorates will be spelled out in a separate internal articulation document.

Moreover, the importance of monitoring and evaluation as an activity of the CHE requires that the CHE Board takes an active part in guiding the process of setting up the system as well as in the negotiation of protocols and memoranda of understanding with other organisations in terms of the provision and exchange of data. This taken into account, the CHE Board will establish a Standing Committee on Monitoring and Evaluation in order to support the Monitoring and Evaluation System, in addition to those Standing Committees already in existence, i.e. Funding and Finance, Size and Shape, and HE Legislation.

In support of the work of the Monitoring and Evaluation Directorate, the further development and the implementation of the CHE Monitoring and Evaluation System critically rely on, and are operationalised through, the constitution of specialist research teams. The constitution of these teams provides a further opportunity for the development of research capacity on HE among a new generation of scholars, especially young black and women researchers. Specialist teams will be commissioned by the Directorate from time to time and will have to work closely within the parameters of the CHE Monitoring and Evaluation System's requirements.

3.3 UTILISATION AND DISSEMINATION OF MONITORING AND EVALUATION INFORMATION

The focus on utilisation of monitoring, evaluation and research information generated by the CHE Monitoring and Evaluation System necessarily raises the question of how it can be ensured that the data and analysis reach the intended users and also produce the intended utilisation effects. The Monitoring and Evaluation Directorate has devised a multi-pronged strategy of engagement with the HE community (that include the CHE discussion forums) while the development of closer ties with the media ensure greater and wider awareness in the general public of CHE activities. Moreover, the CHE presently already distributes a number of publications that directly and indirectly refer to the state of the HE system. In addition, the Monitoring and Evaluation Directorate is introducing a new publication, the *Higher Education Monitor*, which has a different purpose and different intended audience, and will make extensive use of its website to make information and analysis available to broader audiences.

3.3.1 *The state of South African Higher Education*

By means of the *The State of South African Higher Education*, the CHE reports regularly to Parliament in an increasingly comprehensive manner on HE in South Africa. The report has been the main tool by which the CHE has attempted to monitor the achievement of the policy goals and objectives of the WP in the past and to reflect on the scope, limitations and possibilities of the unfolding processes of transformation. The output of the Monitoring and Evaluation System will allow the CHE to produce ever more comprehensive reports for Parliament. In the future, the CHE will publish the bulk of data coming from the monitoring function of the system accompanied by appropriate analysis of trends and reflection on systemic issues in the form of *The State of South African Higher Education*.

The publication will be an easy-to-read 'digest' which highlights the key trends and issues in South African HE, and will be made available to any interested parties.

3.3.2 *Higher Education Monitor*

The *Higher Education Monitor* is a new series dedicated entirely to the publication of monitoring, research and evaluation data and analysis. It is produced in collaboration with the HEQC and will publish research-based monographic studies focused on a range of issues about HE, from the size and shape of private HE to what is understood by institutional cultures and what role they play in advancing the transformation of the system. Other issues will focus more directly on policy issues and implementation. The Directorate has already published a first *Higher Education Monitor* in collaboration with the Accreditation and Coordination Directorate of the HEQC in June 2003.

The *Higher Education Monitor* will be available in printed and electronic formats and distributed to national and institutional policy-makers, stakeholder bodies, institutional governance structures libraries, and key journalists who regularly report on the sector.

3.3.3 CHE website

The CHE sees the website not only as a powerful tool for the dissemination of information but also as a way to encourage HEIs and their stakeholders to actually engage with certain issues. The publication of the *Higher Education Monitor* will be accompanied by the opening of chat rooms on the CHE website and other mechanisms to obtain feedback from readers.

3.4 SUMMARY

After the initial developmental phase of the Monitoring and Evaluation System, the process of implementation entails firstly the conduct of a series of discussions with key role-players in the HE system. Secondly, populating the indicator tables with baseline data requires a closer investigation of readily available data sources and simultaneously the negotiation of data exchange protocols with potential data providers. Thirdly, further modelling work will be required to fine-tune the system and expand it progressively into other domains such as community service, and to include private HE providers and agricultural and nursing colleges. Regular and full-scale monitoring and evaluation will commence in the course of 2004, following the development of the implementation plan by the Monitoring and Evaluation Directorate.

The development and implementation of the CHE Monitoring and Evaluation System is located in the Monitoring and Evaluation Directorate of the CHE. An important task of the new Directorate is the coordination of the partnerships with data providers and researchers, and the facilitation of co-operation with the HEQC's Accreditation and Coordination and Audit and Evaluation Directorates in the process of monitoring and evaluation.

To ensure the smooth implementation of the CHE Monitoring and Evaluation System internally, the CHE further employs a number of strategies. Firstly, operational synergies are realised between the Monitoring and Evaluation Directorate and the two HEQC directorates amongst others by the sharing of databases within the CHE management information system and the joint production of publications on the state of HE. Secondly, the CHE Board takes an active part in support of the implementation process by establishing a Standing Committee on Monitoring and Evaluation, and thirdly, the CHE will constitute specialist research and expert teams to continue to support it technically with the implementation and further development of the system.

The utilisation of monitoring and evaluation information is ensured by reaching out actively to intended users through various means and by forging closer links with the media. Existing

CHE publications such as *The State of South African Higher Education* and the new publication series called the *Higher Education Monitor*, and the CHE website, are developed by the Monitoring and Evaluation Directorate to disseminate widely data and analysis from the CHE Monitoring and Evaluation System.

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APPENDIX

Part 1: Transformation of HE (staff and student equity; teaching, learning and research)

WHITE PAPER		NATIONAL PLAN			
<i>Principles</i>	<i>Goals</i>	<i>Strategic Objective</i>	<i>Priorities</i>	<i>Outcomes</i>	<i>Strategies</i>
<p>Equity and Redress</p> <p>The principle of equity and redress requires fair opportunities both to enter higher education programmes and to succeed in them. Applying the principle of equity implies a critical identification of existing inequalities and a programme of transformation with a view to redress. This includes abolishing discrimination, and fostering empowerment.</p>	<ul style="list-style-type: none"> To provide a full spectrum of advanced educational opportunities for expanding range of population irrespective of all forms of discrimination. To develop capacity-building measures to facilitate a more representative staff component which is sensitive to local, national and regional needs, and is committed to standards and ideals of creative and rigorous academic work. 	<p>Graduates with skills and competencies to meet HRD needs of SA.</p>	<ul style="list-style-type: none"> To increase the participation rate to meet demand for high-level skills. To increase number of graduates through improving the efficiency of the system. To ensure a balanced production of graduates in different fields of study. To broaden the base of HE by increasing access of workers and professionals and to adult learners denied access in the past. To produce graduates with cognitive skills and competencies required to participate in the modern world. 	<ul style="list-style-type: none"> Increased participation rate. Increased graduate output. Broadened social base of students. Increased recruitment of students. Changed enrolment by fields of study. Enhanced cognitive skills of graduates. 	<ul style="list-style-type: none"> Ensure efficiency improvements and increase enrolments through measures to plan targets as part of 'rolling-plans', link funding of students and FET enrolments to the numbers of graduates produced, funding academic development programmes as part of the funding formula, working with the Ministry of Home Affairs on the problem of study permits for SADC students, requesting SAUVCA and CTP for advice on fees for SADC students. Indicative targeting through three-year plans. These plans must indicate timeframes and targets to improve throughput, success and graduation rates in line with benchmarks set by the Ministry; plans and timeframes for reducing drop-out rates; minimum criteria for admission to programmes and selection processes to assure suitability of candidates; criteria for readmission of repeaters, strategies to increase recruitment of workers, mature learners, women and disabled learners; strategies for recruiting SADC students. Changing the shape of the system over the next five 5–10 years through shifting the balance of enrolments between faculties, increase career-related enrolments, especially information- and communication-related enrolments; increase pre- and in-service teacher training enrolments based on the national teacher development plan. Encourage programme development in marginalised areas of study, such as African languages.

Part 1 continued

<i>WHITE PAPER</i>		<i>NATIONAL PLAN</i>			
<i>Principles</i>	<i>Goals</i>	<i>Strategic Objective</i>	<i>Priorities</i>	<i>Outcomes</i>	<i>Strategies</i>
<p>Equity and Redress The principle of equity and redress requires fair opportunities both to enter higher education programmes and to succeed in them. Applying the principle of equity implies a critical identification of existing inequalities and a programme of transformation with a view to redress. This includes abolishing discrimination, and fostering empowerment.</p>	<ul style="list-style-type: none"> To provide a full spectrum of advanced educational opportunities for expanding range of population irrespective of all forms of discrimination. To develop capacity-building measures to facilitate a more representative staff component which is sensitive to local, national and regional needs, and is committed to standards and ideals of creative and rigorous academic work. 	<p>HE to reflect demographic representation change.</p>	<ul style="list-style-type: none"> To increase participation and graduation rates of black and women students. To increase representation of black people and women in academic and administrative positions especially at senior levels. 	<ul style="list-style-type: none"> Increased equity in access and success. Improved staff equity. 	<ul style="list-style-type: none"> Requiring institutions to indicate their 'shape profile' in relation to their geographic location and the national HRD strategy and how they will restructure curricula content and framework of all programmes to meet the necessary cognitive skill demands for all graduates. Using various strategies to increase access and success of black, women and disabled students through funding which takes account of past performance in relation to these students; reduce funds to non-achievers in equity, fund academic development as specific to this goal; review and if need be increase NSFAS; monitor selection and recruitment practices; commission to investigate a national information and admission service for operation by 2003. Require indicative targets in institutional plans about access of black, women and disabled students, especially where institutions have these students as DE students; redress in particular fields; redress imbalances in particular programmes and fields and in postgraduate programmes in particular; and imbalances in graduation and success rates; ensure better teaching/learning processes. Increase staff equity by possible staff scholarships; support foreign student intake at postgraduate levels and foreign staff; require indicative employment equity plans to be developed within timeframes and indicate how they will plan to provide for greater access for disabled students.

Part 1 continued

WHITE PAPER		NATIONAL PLAN			
Principles	Goals	Strategic Objective	Priorities	Outcomes	Strategies
<p>Development</p> <p>Conditions must be created to facilitate the transformation of the HE system to enable it to contribute to the common good of society through the production, acquisition and application of knowledge, the building of human capacity and the provision of life-long learning opportunities.</p>	<ul style="list-style-type: none"> To diversify the system in terms of the mix of institutional missions and programmes that will be required to meet national and regional needs in social, cultural and economic development. To promote the development of flexible learning systems including distance education. To promote and develop social responsibility and awareness among students of the role of HE in the social and economic development through community service programmes. To produce graduates with the skills and competencies that build the foundations of life-long learning including critical, analytical, problem-solving, and communication skills as well as the ability to deal with change and diversity in particular tolerance of different views and ideas. To secure and advance high-level research capacity which can ensure both the continuation of self-initiated, open-ended intellectual inquiry and the sustained application of research activities to technological improvement and social development. 	<p>Sustain current research strengths and promote research to meet national need and competitive capabilities.</p>	<ul style="list-style-type: none"> To increase outputs of postgraduates especially at masters and doctoral level. To increase research output. To sustain existing research capacity and build new centres of excellence where there is demonstrable capacity. To facilitate collaboration and partnerships, especially at regional level in research and postgraduate work. To promote articulation between different parts of research system with a view to developing a national research. 	<ul style="list-style-type: none"> Research concentration. Research to be funded separately in new funding formula. Capacity building through earmarked funds. Increased postgraduate outputs. 	<ul style="list-style-type: none"> Mechanism to fund research based on separate research component within the new formula using research output, postgraduate masters and doctoral graduates and publications as a key criterion. Earmark funding for building research capacity based on plans and demonstrated capacity. Earmark funds to facilitate research collaboration between institutions in regions and nationally emphasising collaboration with HBUs. Enhanced output and quality through revised policies for measurement of output to be finalised by July 2001. HEQC to review quality of postgraduate programmes. Facilitating greater national coordination of research and funding between different state departments and a national database for research information. Funding student places for postgraduate study and linking this to the numbers of masters and doctoral students in particular, black and women students. Consider scholarships for postgraduate students. Streamline procedures for intake of foreign students. Institutions which have been allocated student places at postgraduate level to indicate plans for improving graduate output at that level, redress strategies for black and women students in particular fields. Indicate their SADC recruitment strategies.

Part 1 continued

WHITE PAPER		NATIONAL PLAN			
<i>Principles</i>	<i>Goals</i>	<i>Strategic Objective</i>	<i>Priorities</i>	<i>Outcomes</i>	<i>Strategies</i>
	<ul style="list-style-type: none"> At the institutional level: To promote human resource development through programmes that are responsive to the social, political, economic and cultural needs of the country and which meet the best standards of academic scholarship and professional training. At the institutional level: To demonstrate social responsibility of institutions and their commitment to the common good by making available expertise and infrastructure for community service programmes. 				

Part 2: Institutional restructuring of education (Diversity of missions and programmes; restructuring and mergers)

WHITE PAPER		NATIONAL PLAN			
<i>Principles</i>	<i>Goals</i>	<i>Strategic Objective</i>	<i>Priorities</i>	<i>Outcomes</i>	<i>Strategies</i>
<p>Development</p> <p>Conditions must be created to facilitate the transformation of the HE system to enable it to contribute to the common good of society through the production, acquisition and application of knowledge, the building of human capacity and the provision of life-long learning opportunities.</p>	<ul style="list-style-type: none"> To diversify the system in terms of the mix of institutional missions and programmes that will be required to meet national and regional needs in social, cultural and economic development. To promote the development of flexible learning systems including distance education. To promote and develop social responsibility and awareness among students of the role of HE in the social and economic development through community service programmes To produce graduates with the skills and competencies that build the foundations of life-long learning including critical, analytical, problem-solving, and communication skills as well as the ability to deal with change and diversity in particular tolerance of different views and ideas. To secure and advance high-level research capacity which can ensure both the continuation of self-initiated, open-ended intellectual inquiry and the sustained application of research activities to technological improvement and social development. 	<p>Ensure diversity through mission and programme differentiation.</p>	<ul style="list-style-type: none"> To ensure fitness for purpose of HE in terms of institutional mission and programme mix. To ensure diversity through mission and programme differentiation. To ensure coherent development of DE programmes. 	<ul style="list-style-type: none"> Differentiation by mission and programme. Regulation of DE programmes. Establish a single dedicated DE institution. 	<ul style="list-style-type: none"> Requiring institutions to submit a framework indicating their mission and programme mix for the next five years that will be used as the basis for consultation between the Ministry and institutions to establish the programme profile and funding of student places. These will be finalised after consultation with the CHE at the end of February 2002. Institutions will be asked to produce three-year rolling plans for 2003–2005 by end of July 2002 to be reviewed and updated annually. For new undergraduate programmes, institutions would have to demonstrate a number of characteristics including 'a fit' between programmes and missions, the capacity to offer new programmes, that such programmes will not be an unnecessary duplication or overlap with that of other institutions and that they address regional or national need. In addition to these requirements there are other requisites for offering postgraduate programmes. These refer to efficiency benchmarks and capacity requirements to be achieved, collaboration in respect of postgraduate programmes. Very importantly, the HEQC will be requested to prioritise the review of the quality of postgraduate programmes. Distance education programmes too will be regulated by ensuring that from 2002 only those distance education programmes [and enrolments] in contact institutions, which have been approved as part of the institutions' rolling plans,

Part 2 continued

NATIONAL PLAN					
<i>Principles</i>	<i>Goals</i>	<i>Strategic Objective</i>	<i>Priorities</i>	<i>Outcomes</i>	<i>Strategies</i>
	<ul style="list-style-type: none"> At the institutional level: To promote human resource development through programmes that are responsive to the social, political, economic, and cultural needs of the country and which meet the best standards of academic scholarship and professional training. At the institutional level: To demonstrate social responsibility of institutions and their commitment to the common good by making available expertise and infrastructure for community service programmes. 				<p>will be funded. Institutions would have to likewise demonstrate need, abjure duplication and overlap, meet the requirements of the HEQC, ensure a 'fit' between programmes and missions and capacity to offer the programmes in terms of staff and infrastructure.</p> <ul style="list-style-type: none"> Working Group to facilitate merger (based on Implementation Plan) of UNISA, Technikon SA and Vista distance education centre. The Working Group will also advise on the role of such a dedicated institution in the development of networks of innovation centres in course design and development using the 'best scholars and educators' in the country. It will also advise on the broader role of DE in the light of international trends in ICT. The Ministry will develop the regulations for private HE by July 2001 and fund student places in public-private partnerships from 2002 'only if the programmes have been approved as part of the institutions' rolling plans. And approval will be tied to the same criteria as in the case of new programmes in general, e.g. national or regional need, meeting QA criteria, capacity.

Part 2 continued

<i>White Paper</i>		<i>National Plan</i>			
<i>Principles</i>	<i>Goals</i>	<i>Strategic Objective</i>	<i>Priorities</i>	<i>Outcomes</i>	<i>Strategies</i>
<p>Efficiency and Effectiveness</p> <p>An effective system functions in such a way that leads to desired outcomes. An efficient system that works well without unnecessary duplication or waste is affordable and sustainable.</p>	<ul style="list-style-type: none"> To conceptualise, plan, govern and fund South African HE as a single coordinated system. To facilitate horizontal and vertical mobility by developing a framework for HE qualification which incorporates adequate routes of articulation, as well as flexible entry and exit points. To develop and implement funding mechanisms in line with the WP principles and based on need, affordability, sustainability and shared costs and in support of the goals of the National Higher Education Plan. To encourage interaction through co-operation and partnerships among HEIs and between such institutions and all sectors of the wider society. 	<p>Foster collaboration at regional level and restructure the institutional landscape.</p>	<ul style="list-style-type: none"> To reduce duplication and overlap in programmes and service. To promote joint development and delivery of programmes. To enhance responsiveness to regional and national needs for academic programmes, research and community service. To help rebuild academic and administrative capacity. To refocus culture and missions of institutions. 	<ul style="list-style-type: none"> Institutional mergers. Programme collaboration at regional levels. Infrastructural collaboration. 	<ul style="list-style-type: none"> To promote co-operation the Ministry will (from 2003/4) use strategies to develop programme and infrastructural co-operation such as examining the unit costs for small and postgraduate programmes before funding these on the basis of a common regional teaching platform, not fund unnecessary duplication and overlap. Establish Working Groups for HEIs in Mpumalanga and Northern Cape to be established on the basis of co-operation with existing institutions operating in the provinces. Leveraging donor funds for regional infrastructural projects. Only fund student places at satellite campuses based on approved plans and not support loans for capital projects at satellite campuses, prior to finalisation of regional investigation. Require new programmes to be cleared regionally in the first instance. Inform the Ministry of programme closure and the reasons thereof. To facilitate mergers the Ministry will establish a National Working Group to investigate and advise the Minister on the appropriate structures. Require new programmes to be cleared regionally in the first instance. A working group for the merger of UNISA, Technikon SA and Vista DE Centre.

Part 2 continued

<i>White Paper</i>		<i>National Plan</i>			
<i>Principles</i>	<i>Goals</i>	<i>Strategic Objective</i>	<i>Priorities</i>	<i>Outcomes</i>	<i>Strategies</i>
					<ul style="list-style-type: none"> • Initiate the process and implementation plan for incorporation of QwaQwa campus into University of Free State. • Request the Councils of ML Sulian and Natal Technikon to complete plans for the merger of these institutions.