

**UNIVERSITY OF THE WESTERN CAPE**

**RESEARCH REPORT**

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## DECLARATION

I, the undersigned, hereby declare that this mini-thesis entitled, Critical evaluation of the Contractor Development Programme in the Western Cape Department of Transport and Public Works: Skills Development, Training and Youth Placement, 2015 – 2018 is my own work, and that it has not been submitted for any degree or examination to any other University, and that all the sources I have used or quoted have been indicated and acknowledged by complete references.



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## **ABSTRACT**

Emerging contractors play a significant role in the employment and skills development landscape as they are the employers of unskilled and semi-skilled labour in the construction industry (Western Cape Department of Transport and Public Works (DTPW): Contractor Development Policy, 2016; Rass, 2019). In 2004, the National Cabinet approved the Expanded Public Works Programme (EPWP) to encourage job creation imperatives through the provisioning of skills and business enhancement initiatives for the targeted Historically Disadvantaged Individuals (HDIs), specifically the unskilled and semi-skilled labour force of the South African construction industry (Makiva, 2015; DTPW, 2021; DTPW: Contractor Development Programme (CDP) Policy, 2016; Rass, 2019). In response to this call, in 2012 the Western Cape Department of Transport and Public Works (WC DTPW) designed and implemented the Contractor Development Programme (CDP) with parallel aims. The CDP offered by the WC DTPW comprises of two sub-programmes. The advanced training and mentoring sub-programme will be the focus of this study. Part of this sub-programme includes pre-tendering, mentoring and enterprise development guidance to assist the Construction Industry Development Board (CIDB) level grade 3-5 contractors (DTPW, 2021). However, it remains unclear whether the CDP's outcomes materialised, because during quarter 1 of 2019 the construction industry experienced a drastic employment contraction (StatsSA Quarterly Labour Force Survey (QLFS), 2019).

Acknowledging the above, this empirical study conducts a summative evaluation of the CDP offered by the Western Cape Department of Transport and Public Works. The study explicitly focuses on CDP beneficiaries' development as contractors, their employability from 2015 to 2018. The study used purposive sampling techniques to select research participants. It collected the data using a qualitative approach of semi-structured rating scale interview

schedules. The study also reviews documents in the public domain, including government publications, books, journal articles, textbooks, newspapers and magazines as they relate to programme evaluation and ends with making conclusions and recommendations.

## ABBREVIATIONS

CDP	Contactoꝛ Development Programme
CIDB	Construction Industry Development Board
CIPP	Context, Inputs, Process and Product
DPME	Department of Planning, Monitoring and Evaluation
EPWP	Expanded Public Works Programme
FBOs	Faith-based Organisations
GDP	Gross domestic product
GWM&ES	Government-wide Monitoring and Evaluation System
HDI	Historically Disadvantaged Individuals
M&E	Monitoring and Evaluation
MFMA	Municipal Finance Management Act
MPAT	Management Performance Assessment Tool
NCDP	National Contractoꝛ Development Programme
NDP	National Development Plan
NDPW	National Department of Public Works
NEET	Not in Employment, Education or Training
NEPF	National Evaluation Policy Framework
NGOs	Non-governmental Organisations
NPM	New Public Management
NPOs	Non-profit Organisations
OECD	Organisation for Economic Co-operation and Development
PFMA	Public Finance Management Act
QLFS	Quarterly Labour Force Survey
RFP	Request for Proposal
SMMEs	Small Micro Medium Enterprises
StatsSA	Statistics South Africa
WC DTPW	Western Cape Department of Transport and Public Works



## CHAPTER ONE

### INTRODUCTION TO THE STUDY

#### 1.1. Introduction

Capability and capacity-building to fulfil developmental imperatives remain priority agenda items for the South African government (Martin & Root, 2012). This is particularly concerning in relation to the elevation of the development of Historically Disadvantaged Individuals (HDIs) (Makiva, 2019). The challenges that define the context of HDIs in South Africa, is that they live in an age where they are willing and able to work, but unable to do so (Makiva, 2019). They mainly need government support to create an enabling environment for job creation and the development of sustainable businesses in the construction industry (National Contractor Development Programme Summary Framework, 2011; Martin & Root, 2012).

The sustainability of HDI businesses in the construction industry depends on various factors. Particularly relevant in the case of emerging, historically disadvantaged contractors are compliance and regulatory conformity to the requisite standards of property development for meaningful operation in the construction industry (Construction Industry Development Board, 2009). In the pre-1994 era, HDIs were disempowered and largely excluded from the construction industry because of racially discriminatory legislation. These included but were not limited to the Population Registration Act of 1950, for the classifying of racial groups; the Group Areas Act of 1950, for enforcing racial segregation; the Pass Laws Act of 1952, for restricting movement (Helen Suzman, 2022) of HDIs.

Despite the end of apartheid rule in South Africa 26 years ago, a myriad of social, economic and environmental developmental issues framing modern-day South Africa continue to create challenges for these HDIs (Martin & Root, 2012; Makiva, 2019; Matanda, 2016). Those who benefitted from the rule of apartheid prior to 1994 South Africa continue to dominate the

construction industry. With this in mind, and to stimulate HDIs, the NDPW established the emerging Contractor Development Programme (CDP) shortly after the inception of the new democratic dispensation in 1994.

### **1.1.1. Construction industry pre and post-1994 South Africa**

Before 1994 in South Africa, the construction sector focused on empowering established construction businesses, which by implication excluded construction businesses of previously disadvantaged individuals. With the inception of the new democratic dispensation, a need arose to transform the construction industry to make it more inclusive of HDIs. To this end, government spearheaded initiatives aimed at job creation. These included work opportunity provisioning and skills development that is, contractor empowerment and sustainable business development to bring about operational improvements in their business undertakings (Makiva, 2019; Martin & Root, 2012). It is important to note that whilst a demand for infrastructure remained (Martin & Root, 2012), there appeared to be low representation of HDIs equipped to compete for contracts in the South African construction industry. This was attributed to the fact that HDIs did not possess the requisite technical and managerial skills to operate sustainably, or to provide the required standard of work. In turn, the causes of this problem include the alarming incidences of social ills such as poverty, unemployment and social exclusion, which further obstruct the developmental outcomes for the targeted unskilled and semi-skilled HDI labour groups.

### **1.1.2. The National Contractor Development Programme**

In its efforts to develop emerging contractors, who fall within the category of Small Medium and Micro Enterprises (SMMEs), that is CIDB level grade 3-5 contractors, the National Contractor Development Programme (NCDP) set out to develop contractors'

capabilities to the standard of large construction businesses (Dapaah, Thwala, and Musonda, 2017) in the South African construction industry (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019). To do so, it placed specific focus on developing HDIs, and emerging contractors' proficiency and managerial skills so that they could compete alongside established construction businesses (Dapaah et al. 2017).

SMMEs are small businesses that range from medium-sized enterprises, that is businesses that employ more than 100 people, to businesses employing one person, that is informal microenterprises (Imbadu Official Quarterly Publication, 2016). The emerging contractors of this study are regarded as SMMEs, and they are central to economic stimuli as a result of their potential to drive job creation for unskilled and semi-skilled labour (Imbadu Official Quarterly Publication, 2016). A study undertaken in 2016 found that new and start-up SMME businesses in the formal and informal sector contributed to as much as 57 percent of the country's Gross Domestic Product (GDP) (Imbadu Official Quarterly Publication, 2016). With this in mind, the contribution of SMMEs to economies should not be underestimated. This is certainly the case for the construction industry in South Africa, whose growth was reported to have declined due to a contraction in 2019 (Dapaah et al. 2017).

## **1.2. Research problem statement**

Emerging contractors play a significant role in the employment and skills development landscape as they are the employers of unskilled and semi-skilled labour in the construction industry (Dapaah et al. 2017; DTPW: Contractor Development Programme, 2016; Rass, 2019). It was a cause for concern that global statistics showed that unemployment was rising, with the unemployment rate measured at 13 percent and expected to remain as such for much of 2017

and 2018 (World Employment Social Outlook, 2016). Similarly, Statistics South Africa's Quarterly Labour Force Survey, (2019) stated that continued unemployment, particularly amongst youth, would remain a burden for South Africa. One of the reasons for this was that the largest employment contraction was observed in the construction industry during Quarter 1 of 2019 (StatsSA, QLFS, 2019).

Statistics indicate that the young people who are not in employment, education or training, referred to as Not in Employment, Education or Training (NEET) in South Africa, are approximately 7.5 million. The Western Cape Province is said to house the largest percentage of this figure approximated to around 2.1 million youth (Meyer, 2017). In the Western Cape region youth unemployment was recorded to be around 7,5 million according to an analysis conducted in 2016 (Meyer, 2017). This analysis likened youth unemployment to a "ticking time bomb" (Mohy-Ud-Din, 2014; Burnett, 2014). The solution required more than the provision of skills development and training in order to meaningfully encourage the absorption of the targeted groups into the labour market (Manyande, 2006; Kureel & Verma, 2018). Given the aforementioned contraction in the construction industry during Quarter 1 of 2019, raises the question of the CDP's effectiveness and impact on CDP beneficiaries as it relates to the latter's development as contractors, their employability and their ability to employ other otherwise unskilled and semi-skilled labour groups, who are also predominantly HDIs, and the development of their contractors' businesses in the construction industry (StatsSA, QLFS, 2019; Makiva, 2019). That is the purpose of this study, and then, it is to find out if the advanced training and mentoring sub-programme of the CDP benefitted the targeted group, namely the unskilled and semi-skilled labour force, who are also predominantly HDIs, and the development of their businesses in the construction industry (StatsSA, QLFS, 2019; Makiva, 2019).



### 1.3. Key study concepts and definitions

Below are the expressions and meanings assigned to the various terms and definitions referred to in this study (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Contractor** – Built-environment or construction contracting entity in the Western Cape with a CIDB grade of 1-5 GB/CE (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Contractor Development** - A deliberate and managed process to achieve targeted developmental outcomes that improves contractor grading status, performance and quality, equity and targeted ownership (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Department** - A department is responsible for implementing laws and providing services to its citizens (Western Cape Government, 2022).

**Development** - The process of upskilling and empowering the contractors with technical and business skills and mentorship (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Emerging contractor** - CIDB grade 1-5 contractors (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Empowerment** - The process of increasing the capacity of contractors to make choices and to transform those choices into desired actions and outcomes (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Enterprise Development** - The development of contractors by providing technical skills such as project management and business management skills (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Mentor** - An experienced person registered with an appropriate accredited body, who is appointed as a mentor to assist, guide, support and advise contractors to develop their skills and improve performance to ensure they receive progress to the next CIDB grade (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Not in Employment, Education or Training** – The concept of not in employment, education or training refers to young people who are otherwise not in employment, enrolled in education or participating in empowerment training programmes (Meyer, 2017).

**Small medium and micro Enterprises** - Fifty employees are seen as the cut-off point between small- and medium-sized enterprises in terms of the National Small Business Amendment Act of 2003 (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

**Youth** - Persons between the ages of 18 to 35 years old in line with the National EPWP (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).

#### **1.4. Research objectives**

The major objective of this research was to evaluate critically the CDP in South Africa using the activities of the WC DTPW from 2015 to 2018 as a case study. The following specific research objectives were undertaken:

- 1.4.1. To critically analyse extant literature on the theoretical base of the study and the legislative framework that supports programme evaluation;

- 1.4.2. To examine the effectiveness of the CDP as it relates to contractor development, the employability of contractors and contractors' ability to employ unskilled and semi-skilled labour groups, and the development of CIDB level 3-5 contractor businesses in the construction industry;
- 1.4.3. To examine the extent to which the CDP impacted on CDP beneficiaries as it relates to their development as contractors, their employability and their ability to provide work opportunities for other otherwise unskilled and semi-skilled labour groups, and the development of CIDB level 3-5 contractor businesses in the construction industry; and
- 1.4.4. To examine the factors that encourage and discourage CDP impact on contractor development, the employability of unskilled and semi-skilled labour groups and the development of CIDB level 3-5 contractor businesses in the construction industry.

Strategically, the research aims to develop an in-depth description and analysis from the experiences of beneficiaries of the CDP in order to examine whether there was a demonstrable cause and intended effect relationship between an implemented intervention and its impact on the intended beneficiaries, stakeholders and society as a whole, as suggested by the work of Pawson & Tilley (1997 & 2004) and McConnell (2009).

## **1.5. Research questions**

- 1.5.1. What is the theoretical base and the legislative framework that supports programme evaluation?
- 1.5.2. Has the CDP been effective in developing contractors, their employability and their construction businesses in the construction industry?

1.5.3. Has the CDP positively impacted on CDP beneficiaries' development as contractors, their employability and construction businesses in the construction industry?

1.5.4. What are the factors which encourage and discourage the CDP from achieving the intended outcomes of contractor development, employability and creating sustainable construction businesses in that industry?

## **1.6. Significance of the study**

The rationale for undertaking this study was to generate knowledge in this area of study, because there has been very little research-based knowledge into the programme's outcomes (Gwija, 2014). To this end the work of Dapaah, et al. (2017) revealed that whilst there were some notable pockets of excellence and positive outcomes from CDPs, questions about its effectiveness and benefits to end users remain. Specifically, the CIDB called for an assessment of the CDPs: "Similarly, the Construction Industry Development Board (CIDB) stressed that the CDPs must be evaluated to seek the perceptions of the programme beneficiaries on the direct effects of the programme in addressing the needs (Construction Industry Development Board, 2011b)" (Dapaah et al. 2017) of the targeted population groups.

By so doing, the significance and value of this study will be the inferences it makes about programme effectiveness. It will do so by focussing on principles that encourage the building of new theories and models, and by informing policy (Barbie & Mouton, 2007 cited in Department of Planning, Monitoring and Evaluation (DPME's) National Evaluation Policy framework, 2011). This study will also shed light on the effectiveness and extent of the impact of the CDP on the beneficiaries' development as contractors, their employability and their ability to employ other otherwise unskilled and semi-skilled labour groups and their businesses in the construction industry (Dapaah, et al. 2017).

Placing these findings in the public domain will have several consequences. Firstly, they will facilitate more consultation about grassroots needs, perspectives and preferences in public policy decision-making processes as they pertain to the formulation, design and implementation of government intervention programmes. Secondly, the results of this study have the potential to enhance public service delivery. Thirdly, they will show if there is a cause and intended effect relationship between the programme implementation and anticipated programme outcomes from the perspective of the beneficiaries' experiences. Lastly, it will show where there are gaps in the knowledge about this under researched topic where other researchers may expand research (Kureel & Verma, 2018).

The study was also crafted in such a way to inform policy makers of additional ways to attract more youth who are experiencing unprecedented levels of unemployment in the Western Cape and South Africa. This is so because similar government interventions in this sector, including other regions may also empower targeted HDIs, who have the ability to contribute meaningfully to the development of sustainable contractors' businesses in the construction industry. In turn, this could encourage the creation of jobs and work opportunities, especially for HDIs who encounter challenges finding sustainable work opportunities in South Africa.

### **1.7. Research Methodology**

A quasi-experimental outcome evaluation comprising a qualitative approach to collect data was undertaken. The qualitative component allowed the study to produce "insider perspectives" (Mouton, 2001). Acknowledging that no single research design is ever irrefutable, this research design was chosen based on its capacity to assess causal outcomes, even if errors such as context, sampling, generalisability were probable limitations (Glanville, Evers, Jones, Shemilt, Wang, Johansen, Fiander, & Rothstein, 2017).

Research questions were descriptive and evaluative, and the primary and secondary findings were obtained and conceptualised using the DPME's 2011 National Evaluation Policy Framework (Mouton, 2001). For the gathering of primary data, semi-structured interview schedules that included open and closed ended questions on the subject matter were distributed to research participants. The targeted research participants included the CDP beneficiaries and the CDP coordinator from the WC DTPW. The former was selected from the CDP beneficiary database held by the WC DTPW. Research participants were both male and female situated in the Cape Metropolitan area of the Western Cape Province.

In addition, to find answers to the research questions, both government policy documentation and speeches by government officials in the public domain were reviewed and analysed. These included government publications, such as audit reports, legislative and policy documents including speeches by key government officials (Makiva, Ile, Fagbadebo, 2019). For the gathering of secondary data, literature from journal articles, textbooks, newspapers and magazines (Makiva, et al. 2019) on programme evaluation were reviewed. For its theoretical component, this study relies on the works of Pawson & Tilley (1997, 2004). A realist evaluation means looking beyond external measurement to find the social meanings of human action. This means acknowledging programmes like the CDP as social interactions framed amidst complex social realities. From a realist's perspective, there are four interlinked concepts for explaining and understanding programmes. They are 'mechanism', 'context', 'outcome pattern', and 'context-mechanism-outcome pattern configuration' (Pawson & Tilley, 2004). Mechanism describes how a programme ought to work to give effect. Context focusses on the conditions framing programmes. Outcome pattern deals with intended and unintended consequences that materialise. A context-mechanism-outcome pattern configuration describes how to harmonise the various mechanisms of a programme (Pawson & Tilley, 2004).

## **1.8. Delimitation of study area**

The scope of this study was limited to CDP beneficiaries assumed to have completed the advanced training and mentoring programme. They were the majority of respondents. Thirteen (13) Male and female CDP beneficiaries who were aged Twenty-five (25) and older and situated in the Cape Metropole area of the Western Cape Province were selected as research participants. The targeted sample population was deemed suitable and convenient for the researcher to access, because the researcher resides in the same geographical area as the intended sample population.

The source of the CDP beneficiary list from which the requisite research respondents were selected was the CDP official who was involved in the implementation of the CDP that the WC DTPW offered. The official involved in the implementation of CDP was part of this study as a research participant. However, since this study did not focus on CDP beneficiaries from all districts, a limitation to this study is that one cannot create a holistic picture from the results of this evaluation or apply the results to contexts outside the demarcations of this study.

Furthermore, purposive sampling, which is one of four types of non-probability sampling forms, was used to select research participants' views specific to the research objectives. No new population could be sampled until substantive information about it had been sourced (Miles & Huberman, 1994) and the selection of research participants relevant to the topic and convenient for the researcher to access and study had been selected (Babbie, 2002; Sarantakos, 1998; Mouton, 2001).

## **1.9. Ethics statement**

The results of the study have not presented research participants or any others in a negative light (Robson, 2007), and the researcher adhered to the integrity framework prescribed and

approved by the Ethics Committee of the University of the Western Cape (Mouton, 2001). This means that research participants were informed that their role in this study would be for academic purposes, and should they choose to do so, that they would be free to withdraw from the study at any point.

### **1.10. Chapter outline**

This study includes five chapters. Chapter One sketches the background of the study, the statement of the problem, research aims, design, methodology, and how the ensuing four chapters will be presented. Chapter Two provides a critical review of literature relevant to the study at hand, including legislative and policy frameworks that support programme evaluation. Chapter Three describes the research methodology, the data gathering and analysis process. Chapter Four presents and discusses the findings of the study. Chapter Five summarises the results, concludes the study and makes recommendations for future research in the field.

### **1.11. Summary**

The study aims were the central focus of Chapter One, which contained a brief synopsis of the programme to be examined, research aims, objectives, research questions, the research design and methodological approach. This included the sampling frame, the data collecting instruments, and the scope of the study. It also identified the limitations of the study. The next chapter will critically review legislative and policy frameworks that support programme evaluation, the theoretical framework upon which this study is based, and how outcomes are measured.



## **CHAPTER TWO**

### **REVIEW OF RELATED LITERATURE AND THEORETICAL FRAMEWORK**

#### **2.1. Introduction**

The previous chapter introduced the study. This chapter reviews the theoretical framework upon which the study is grounded and the legislative framework that governs programme evaluation. Social factors influence, and legislation and public policy define and delineate the obligations and responsibilities of public managers, making their task environment increasingly complex. For this reason, programme evaluation in South Africa is extremely important for guiding the evaluation of large-scale and complex programmes in the public sector.

#### **2.2. South Africa's HDIs and youth preparedness**

Several empirical studies describe how unemployment and lack of skills development impact socio-economic stability (Naidoo and Hoque, 2017; Kazadi, 2015; Borat, 2009), particularly for HDIs in South Africa. As mentioned in Chapter One, the outlook for HDIs to survive and withstand the South African construction industry appears rather bleak (Hanna, 2015) despite job creation programmes such as the CDPs. Exacerbating the problem is a growing population of unskilled and semi-skilled HDIs who will probably become “a generation of poverty, if the position of unemployment remains unobserved” (Gwija, 2014).

Emphasised by a key industry player, the National Department of Public Works (NDPW, 2004), is the importance of CDP's as a means to address unemployment and lack of skills development in South Africa (Dapaah et al. 2017). At a local level (McConnell, 2009), CDPs are meant to create an enabling environment for SMME contractors to survive and withstand economic and professional challenges (Dapaah et al. 2017), in the construction industry. However, according to McConnell (2009) CDP's lack coordinated implementation

(McConnell, 2009). Whilst the CDPs specifically target HDIs, the question remains about what is necessary to achieve this goal.

Whilst it is believed that industry players support “the performance of the construction industry in South Africa” (Dapaah et al. 2017) through initiatives such as CDPs, it is not clear if HDI construction enterprises are sufficiently prepared to survive (Kureel & Verma, 2018), within the construction industry of South Africa. For this reason, it would be interesting to find out how the employment contraction observed in the construction industry during Quarter 1 of 2019 (StatsSA, QLFS, 2019) affected the envisaged programme outcomes of the CDP offered by the WC DTPW, in particular its efforts to facilitate sustainable enterprise development (McConnell, 2009) within the construction industry of the Western Cape Province, Cape Metropole region for 2015-2018. To achieve this aim, it is vital to understand the establishment of programme evaluation within a South African context.

### **2.3. Programme monitoring and evaluation Pre-and Post-1994 South Africa**

Before 1994, monitoring and evaluation within public sector institutions and Non-Governmental Organisations (NGOs) were undertaken sporadically. In addition, those evaluations lacked objectivity, because they were carried out to serve the agenda of the then oppressive, apartheid government (De Vos, Strydom, Fouche & Delport, 2005). Needless to say, as an objective assessment of programme relevance, efficiency, effectiveness, utility and sustainability, specifically for HDIs the integrity of such evaluations was questionable (Department of Planning Monitoring and Evaluation, 2014; Makiva, et al., 2019).

With the new democratic dispensation in 1994, development sought to economically empower HDIs by using a series of programmes and projects (Makiva, et al., 2019). To achieve this, performance information of programmes and projects required continuous monitoring and intermittent evaluations. However, despite the vision for development in the post-1994

democratic South Africa being stated very explicitly, the realisation of the effects of government intervention programmes were initially perceived as slow due to factors such as gaps in existing legislative frameworks (Abrahams, 2015). This led the public sector to adopt monitoring and evaluation (M&E) practices within public institutions (Abrahams, 2015).

#### **2.4. Distinguishing between programme monitoring and evaluation**

By the mid-2000's M&E was established in South Africa, with more evaluations being undertaken in government and non-government organisations. Despite progressing at a slower pace than expected (Abrahams, 2015), the use of M&E in public institutions gained impetus, with more and more evaluations being performed (Cloete, de Coning, Wissink, & Rabie, 2014) (Makiva, et al. 2019), also the focus of this study.

With the practice of M&E taking root in public sector institutions (Makiva, et al. 2019), it became necessary to differentiate between the two concepts and practices. Evaluation was used as a requirement to qualify for international donor funding support for national developmental imperatives (Abrahams, 2015). Monitoring concepts focused more on tracking progress. This led to the establishment of more specialised M&E units within public sector institutions.

Monitoring considers the collection of data from identified performance indicators in a continuous systematic manner to track the progress of allocated resources towards the achievement of objectives (Organisation for Economic Co-operation and Development (OECD), 2007). Taking this postulation, a bit further, the DPME's NEPF (2011) includes the analysis and reporting of data to enhance performance management by providing credible information to public managers to aid with good decision making on a continuous basis. Not only does this allow for corrective action to be taken when problems are flagged, but it also tracks progress against planned objectives (adapted from the Policy Framework on GWMES; DPME's National Evaluation Policy Framework, 2011).

Evaluation measures the achievement of results from various phases of the public policy processes implemented at specified intervals and in a systematic and objective manner in order

to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact, and sustainability” (Organisation for Economic Co-operation and Development, 2000). According to the DPME, evaluation is considered “[t]he systematic collection and objective analysis of evidence on public policies, programmes, projects, functions and organisations to assess issues such as relevance, performance (effectiveness and efficiency), value for money, impact and sustainability and recommend ways forward” (DPME National Evaluation Policy Framework, 2011).

This implies that evaluation determines a causal relationship within a specified perimeter (DPME’s National Evaluation Policy Framework, 2011).

Summarised from the definitions provided here, monitoring becomes the continuous tracking of a programme/projects progress towards an intended output/outcome/impact, whilst evaluation takes care that programmes/projects are effectively and efficiently generating value for money by achieving the intended outputs/outcomes/impact. This study focuses on evaluation.

## **2.5. The need for Programme Evaluations**

The programme evaluation culture established in South Africa is rooted in the New Public Management (NPM) approach to public service delivery. The NPM is a results-based and evidence-based management application tool, focused on the value perception of citizens, on matters concerning public service delivery from a customer satisfaction perspective (Pollitt, 2011). This has contributed to the elevation of monitoring and evaluation (M&E) to a

higher-order management information system due to its inherent ability to monitor and evaluate the appropriateness and effectiveness of government intervention policies, programmes and projects (Abrahams, 2015). Abrahams (2018) asserts that M&E was initially carried out at a slower pace than envisaged.

In his 2011 Foreword to the National Evaluation Policy Framework (2011), Minister of Performance Monitoring, Evaluation and Administration Collins Chabane, distinguished between three data terrains: programme performance information; social, economic and demographic statistics; and evaluation as the specifics underpinning the Government-Wide Monitoring and Evaluation System (GWMES). He postulates that:

*We have put in place plans for our priority outcomes, and we are in the process of monitoring the implementation of them. However, monitoring is necessary but not enough - it only asks whether we are doing what we planned to do. In order to assess whether or not our plans are resulting in their intended impacts, and the reasons for this, we need to carry out evaluations (DPME National Evaluation Policy Framework, 2011).*

From this can be inferred that evaluation plays a pivotal role in determining the “causality, relevance, effectiveness, efficiency, value for money and sustainability” (DPME National Evaluation Policy Framework, 2011) of a particular policy, programme and/or project. Evaluations are to be encouraged because they use the results to improve planning of public sector policies, programmes and/or projects, and help to make sure that the priority agenda of the government and service delivery are aligned (DPME National Evaluation Policy Framework, 2011). Clearly discernible from Chabane’s foreword (2011) is the call for a results-based management approach to ensure the alignment between the planning of resource allocation, budgeting and reporting.

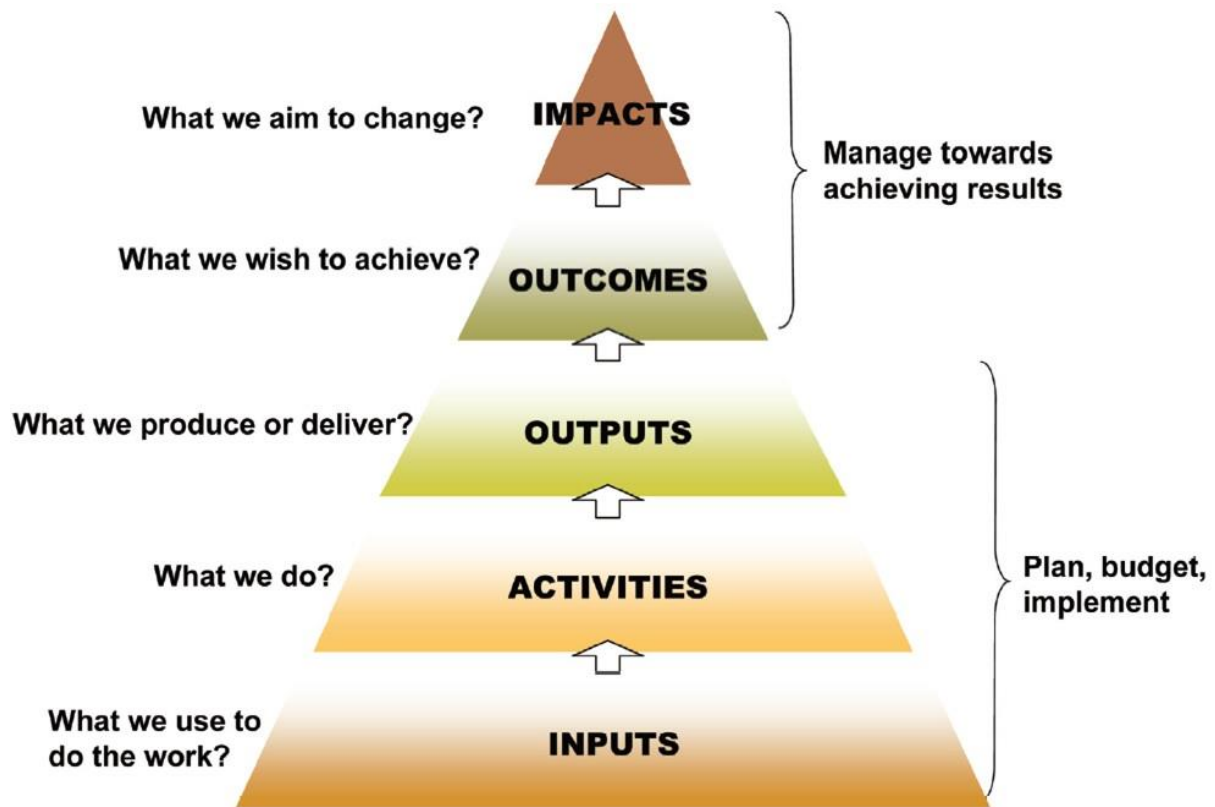
## **2.6. Types of evaluation**

The term evaluation has various characteristics. Evaluation judges results against objectives or criteria and whether they are being or have been met. It also considers a counterfactual scenario to discover whether an intervention has not been implemented. This helps to determine if there is a causal relationship between aim and outcome. The scope of evaluations is not limited to after-intervention implementation, that is ex-post evaluation, or prior to intervention, that is ex-ante evaluation (DPME's National Evaluation Policy Framework, 2011). It may be conducted during the implementation of an intervention to examine if activities are translating into the anticipated output and outcomes (DPME's National Evaluation Policy Framework, 2011).

To this end, planning must be aligned with evaluation. This requires plans that outline the results or outcomes expected by a policy/programme/project, and how such would be achieved and measured. Imperative was that such plans should solve contemporary problems, identify stakeholders, and clearly state the change process, that is “explain the logic model or theory of change of the plan, in other words, the causal mechanisms between the activities, outputs, outcomes and impacts” (DPME's National Evaluation Policy Framework, 2011), the underlying hypothesis and “the assumptions being made about the external environment” (DPME's National Evaluation Policy Framework, 2011). This is the basis of evaluation, so that there is a “line of sight” across plans and intended expectations (DPME's National Evaluation Policy Framework, 2011). This is what is meant by the results-based management approach.

The results-based management approach disaggregates the focus of evaluations. Figure 1 below is a results-based management pyramid provided by the National Treasury. It clarifies the links between evaluation focus and their plans (National Treasury, 2007).

**Figure 1: Key performance information concepts**



*Source: National Treasury: Framework for Managing Programme Performance Information, 2007*

The concept of evaluation might suggest a function performed after an implementation process. However, this is not so, given that policy evaluation has been advocated for throughout the complete life cycle of the public policy decision-making process. To achieve this, the National Treasury Framework for Managing Programme Performance Information, (2007) sets out the following types of evaluations: 1) Diagnostic, 2) Design, 3) Implementation, 4) Economic, 5) Evaluation synthesis, 6) Impact evaluations. A brief overview of each evaluation type along with its associated focus will be discussed.

Diagnostic evaluation seeks to “provide empirical evidence on the nature of the problem, the root causes and alternative options or solutions for addressing the situation” (Department of Planning Monitoring and Evaluation, 2011). This means that after considering the nature,

root causes and alternatives, this kind of evaluation focuses on solutions to apply to issues in order to ameliorate them. Typical evaluation questions would probe the status quo of any given situation, e.g. to establish what the scale and scope of needs both met and unmet are, to gather knowledge on the issue such as its causes and potential solutions.

Design evaluation on the other hand attempts to “ensure a robust theory of change and plan of action to achieve the” policy/programme/project objectives (Department of Planning Monitoring and Evaluation, 2011). This means that evaluation from a design perspective focuses on the availability of the necessary resources to support implementation aspects. To give effect to these kinds of evaluations, typical evaluation questions would probe the more technical parameters of comprehensive diagnostic analyses, options analyses and whether the intended beneficiaries have been unambiguously identified.

The purpose of implementation evaluation is to “focus on how a policy is working, that is how activities contribute towards the outcome” (Department of Planning Monitoring and Evaluation, 2011). Implementation evaluation seeks to determine whether the activities and/or processes followed in the rollout of the implementation phase of a policy/programme/project, are “fit for purpose”. That is to say, this type of evaluation considers the operational activities specific to understanding how one might anticipate the translation of the latter into the intended outcomes. Typical evaluation questions compare the planned implementation of a particular process with how it is actually implemented to curb and/or adjust implementation shortcomings.

Economic evaluations use comparatives to analyse value for money. According to Department of Planning Monitoring and Evaluation, (2014) this is achieved by comparing prospective costs of options vis-à-vis the anticipated achievable outcomes. Typical evaluation questions probe programme costs versus benefits, value for money, relevance and social



benefits resulting from a programme (Department of Planning Monitoring and Evaluation, 2014; Cloete, et al. 2014).

An evaluation based on evaluation synthesis premises seeks to draw on findings from a completed evaluation. According to the Department of Planning Monitoring and Evaluation, (2014), such evaluations generalise and integrate findings from prior evaluations. This implies that as part of this kind of evaluation, evaluators should conduct intensive research in a systematic and integrated manner to refine further various existing evaluation conclusions (Department of Planning Monitoring and Evaluation, 2011).

More suited to the objectives of this study, impact evaluations draw on judgement determinations as they pertain to the achievement of outcomes and/or results of a policy/programme/project. As such impact evaluations assesses or measures changes brought about in each environment in order to establish if the given policy/programme/project is responsible for or has contributed to the achievement of change. Typical questions guiding impact evaluations are to ascertain: 1) if planned outcomes were caused by the intervention under examination; 2) whether the outcomes materialised; 3) the appropriateness of the plan, considering activities and outputs; 4) if it is possible to claim a causal relationship based on the logic of the model employed (DPME National Evaluation Policy Framework, 2011). For the purposes of this study, the use of a systematic process of programme evaluation was necessary, as the following section will show (Cloete, et al. 2014).

## **2.7. Programme evaluation as a control and management function**

The latter implies that the use of a systematic process of programme evaluation will help to assess to what extent policies, programmes and/or projects in their design and implementation have achieved their anticipated result/s (Cloete, et al. 2014). According to Osborne and Gaebler:

*“... if you do not measure results, you cannot tell success from failure. If you cannot see success, you cannot reward it. If you cannot reward success, you are probably rewarding failure. If you cannot see success, you cannot learn from it. If you cannot recognise failure, you cannot correct it. If you can demonstrate results, you can win public support (Osborne & Gaebler, 1992), (National Treasury’s Framework for Managing Programme Performance Information, 2007)”.*

Academic authorities on evaluation such as Scriven (2001), Rossi, Lipsey & Freeman, (2004) and Mathison, (2005) contend that as a control and management function, evaluation processes can act as a performance management tool that can highlight areas of poor performance (Abrahams, 2015), particularly when it comes to studies determining social and environmental outcomes and impact/s. The former measures both social and physical wellbeing and the latter assesses the impact of development and pollution on the natural environment (Cloete, et al. 2014). Both of these impact studies have become more common today in programme evaluations (Verrinder, Zwane, Nixon & Vaca, 2018); Abrahams, 2015 and Cloete, et al. 2014) equally important to note, however not the kind of evaluations to form part of the scope of the outcome evaluation, herein undertaken and discussed later.

Despite some of the limitations cited above on evaluation as a control and management function, evaluation remains of interest and value (Rossi et al. 2004; Weiss, 1998; Rabie and Cloete, 2009). One can infer from the latter that one of the limitations associated with performance measurement is the possible distortion of programme evaluations by value judgements and assumptions. That is why it is important for programme evaluations to provide an analysis of the services provided, and to ascertain if they have beneficial effects on the intended beneficiaries (Rabie, 2019).

The “father of evaluation”, Scriven, views evaluation as not only determining performance, but also identifying unintended consequences (Organisation for Economic Co-operation and Development, 2007). Further complicating the situation is possible domination by influential stakeholders such as political office bearers and international donor funders particularly when

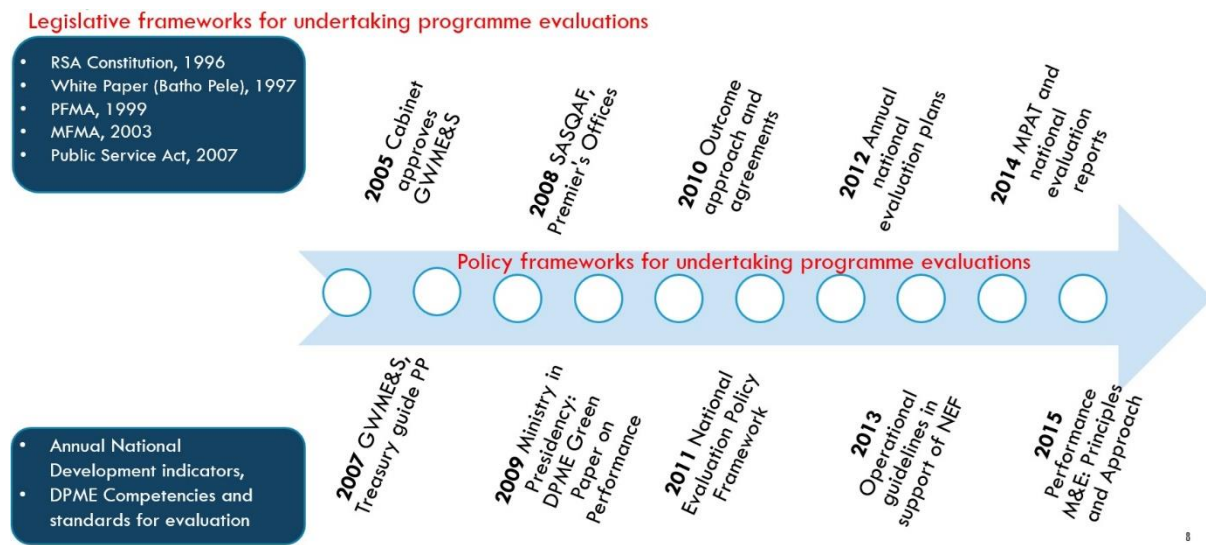
support and funding from these stakeholders for long term, sustainable development is imminent. Manipulating evaluations so that they conform to indicators set by key stakeholders such as the government, parliamentarians and international donors will be at the expense of citizen's value and civil society judgments. However, in this researcher's opinion, it is difficult to satisfy all stakeholders (Cloete, et al. 2014).

This is particularly relevant for the aim of this study, because of the problem under examination, the chronic unemployment of HDIs in South Africa.

## **2.8. Legislative environment underpinning programme evaluations**

Along with the growth of knowledge pertaining to evaluations in public institutions (Abrahams, 2015), a host of varied legislative and policy frameworks have been promulgated to give effect to programme evaluations undertaken in the public sector. From a South African legislative perspective, the sporadic application of evaluations to policies, programmes and/or projects within the South African public sector institutions prompted the need for a National Evaluation Policy Framework. The aim was to streamline the planning, policymaking and budgeting processes within public institutions. Large-scale government interventions are expected to undergo criteria matching to ensure that such interventions are relevant, effective, efficient, impactful and sustainable before implementation (DPME National Evaluation Policy Framework, 2011). Figure 2 below illustrates the legislative and policy framework timeline promulgated to support programme evaluation.

**Figure 2: Legislative and policy framework timeline**



Source: Researcher's own configuration

The South African Constitution, 1996, was largely based on the ideals embodied by African National Congress's 1955 Freedom Charter. The Constitution sought to give effect to a longer-term vision of a rights-based life for all South Africans, particularly HDIs who had experienced unjust and unfair treatment from the former apartheid government (Makiva, 2015). The Constitution recognised and spelt out a number of socio-economic rights in the Bill of Rights. The Bill of Rights particularly focuses on ideals aimed at improving the living conditions of ordinary people and to this end calls all institutions across government to implement supportive policies/programmes (Makiva, 2015).

Chapter 10, Section 195 of the Constitution is concerned with the desired standard of service delivery and speaks to the expectations of fair and just decision-making to which institutions are held in their exercise of discretionary powers (Makiva, 2015; Govender, 2013). However, failure to explicitly detail how such expectations were to be achieved created increasing inconsistencies about how to realise anticipated outcomes and/or impacts. Further prescriptive legislative and policy directives were necessary.

To support the ideals embodied in the Constitution, the Public Finance Management Act (PFMA, 1999), the Public Service Act (1994 as amended by Act 30 of 2007) and the Municipal Finance Management Act (MFMA) were promulgated. Together these advocated for the management of public policies and programmes in an efficient and effective manner. They became the legal foundation of the different types of evaluation in public sector institutions (National Evaluation Policy Framework, 2011). Another key piece of legislation was the promulgation of the White Paper Transforming Public Service Delivery, also referred to as the Batho Pele White Paper, which sought to reform and modernise the institutional culture of public sector institutions across the country to improve service delivery in line with citizen expectations.

The Batho Pele White Paper also outlined key concepts and requirements for evaluation practices to address the societal shortcomings (Goldman, Phillips, Engela, Akhalwaya, Gasa, Leon, Mohamed, & Mketi, 2014). However, both of the latter legislative frameworks excluded much needed detail to drive the National government's vision of sustainable development. However, from the perspectives of public service consumers, the texts on their own meant little and remained fragmented and were followed sporadically by line function departments merely for annual departmental reporting requirements (Abrahams, 2015; Makiva, 2019). The Public Finance Management Act of 1999 (PFMA) was a response to this problem.

The PFMA of 1999 emerged from a national and provincial need to ensure the effective and efficient management of finance regulation by controlling revenue, expenditure, assets and liabilities. It also showed there was an increasing need for non-financial information (Abrahams, 2015). To address this, the National Treasury's Framework for Programme Performance Information (FMPPI) was adopted. The FMPPI introduced results-based management tools with the aim that these tools would inform the structuring of departmental

revenue allocation, indicators, reporting and frameworks (Goldman, et al. 2014). To give further effect to evaluations in public sector institutions, key policy frameworks such as the Policy Framework for the Government-wide Monitoring and Evaluation System (GWM&ES) and the National Evaluation Policy Framework were promulgated. This study draws heavily on these (Pollitt, 2011; National Evaluation Policy Framework).

Cabinet approved the GWM&ES in 2005 as the overall framework for evaluation in South Africa. After the former's inception, the National Treasury's Framework for Programme Performance Information, and Statistics South Africa's South African Statistics Quality Framework (SASQAF) and DPME's National Evaluation Policy Framework came into effect to support evaluation (National Evaluation Policy Framework). Since the GWM&ES framework was developed from the ideas of the New Public Management (NPM) approach to public service delivery (Goldman, et al. 2014), the way in which departments provided goods and services, necessitated a hasty paradigm shift away from the traditional way of providing services to a more citizen-centric approach to public service delivery.

Several other key pieces of policy frameworks support and give effect to the use of evaluations as a performance measurement tool. To orient the reader, they will be concisely summarised (Abrahams, 2015):

- *Green Paper on National Performance Management, 2009*: The purpose of the Green Paper is to guide the direction of policy implementation towards the measuring of outcomes and outputs prioritized over the Medium-Term Strategic Framework.
- *Ministry in Presidency: DPME Green Paper on Performance, 2009*: This outlines the developmental agenda of medium- and long-term planning going forward.

- *National Development Indicators (annually since 2010)*: The Presidency annually provide a report on the development indicators including economic growth and transformation, employment, poverty and inequality, household and community assets, health, education, social cohesion, safety and security, international relations, environmental sustainability and good governance. By so doing, it monitors the implementation of the National Development Plan (NDP) vision 2030 (National Development indicators, 2016).
- *Outcome Approach and Outcome Agreements, 2010*: The aim of this framework is to allow for an outline of the clarification of the implementation process (Guide to the outcomes approach, 2010).
- *National Evaluation Policy Framework, 2010*: The National Evaluation Policy Framework is a high-level global best practice for effective and efficient M&E conceptualisation for nations to consider.
- *Operational guidelines in support of National Evaluation Framework (NEF), 2011*: These operational guidelines in support of National Evaluation Framework contain operational level best practice principles for M&E within institutions to ensure a responsive citizen complaint resolution system (DPME Frontline Monitoring and support operational guidelines framework, 2018-2019).
- *Management Performance Assessment Tool (MPAT), 2012*: The MPAT are to assess the institutional capability of departments by drawing from secondary data provided from self-assessments (MPAT, 2012).
- *MPAT and national evaluation reports, 2013*: These are reports on the strengths and weaknesses of management with the aim of bringing about improvements over time (The state of Management practices in the Public Service, 2013).

- *DPME competencies and standards for evaluation (in process of development), 2014:*

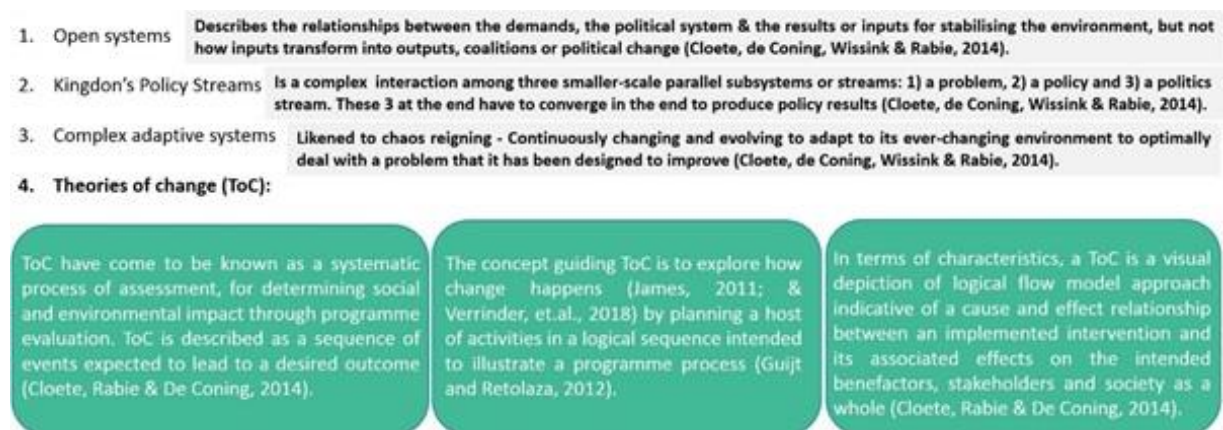
This framework prescribes the benchmarks for best practice to ensure the production of good quality evaluations (Evaluation Competency Framework for Government, 2014).

These policy frameworks measure change and best considered in conjunction with the theoretical views to be unpacked hereafter.

## 2.9. Theoretical perspective for the examination of programme evaluations

This section and overview unpack the theoretical models used to assess policy, however this study is based on the Theory of Change perspective (Cloete, et al. 2014). With this in mind, the theoretical frameworks discussed herein are representations of models used to describe and explain the complexities underlying relationships between variables. Figure 3 depicts an analysis of the researcher’s own understanding of the theoretical models that were considered from a general systems perspective for the analysis of this study.

**Figure 3: Theoretical Model**



**Source: Researcher’s own configuration**

Depicted in figure 3 are four models used to assess policy from a general systems perspective: Open systems, Kingdon’s Policy Streams, Complex adaptive systems, and Theories of Change.



To assess policy from an open systems perspective is to analyse and interpret policy. By so doing, “relationships between demands, the political system and the results or inputs for stabilising the environment” are combined. This approach asserts that the political processes close to evaluation often take place within larger political processes. Whilst useful for assessing policy, a study conducted by Cloete, et al. (2014) found that an open systems perspective does not address practical issues such as “how inputs transform into outputs, coalitions or political change”.

The Kingdon’s Policy Streams perspective seeks to identify the salient issues of a policy system. It does so by combining complex interactions among “three smaller-scale parallel subsystems or streams being 1) a problem, 2) a policy and 3) a politics stream” (Cloete, et al. 2014). In a funnel-like sequence, it is intended for these three smaller-scale parallel subsystems or streams “to converge in the end to produce policy results” (Cloete, et al. 2014). However, the same study by Cloete, et al. (2014) also found that whilst this approach is lauded for its application of complexity thinking principles to public policy issues, its users do not always clearly understand it.

The complex adaptive systems approach comes from the earlier open systems model and “illustrates the dynamics operating in complex systems” (Cloete, 2006). Instead of advocating equilibrium, it proposes disequilibrium. This approach is likened to “chaos theory” (Cloete, et al. 2014), meaning the reigning of a continuously changing and evolving environment, particularly as it relates to the influencers at the heart of public policy decision-making. The intention of the complex adaptive system is to adapt to its ever-changing environment, and to respond optimally to a problem that it has been designed to improve, particularly due to its ability to understand fully the nature and operation of the complex systems framing most public sector institutions (Cloete, et al. 2014).

Lastly, Theories of change (ToC) is a systematic process of assessment, to determine social and environmental impact through programme evaluation (Cloete, et al. 2014). With this said, the process of ToC culminates into a series of questions asked and answers sought after, through research (Cloete, et al. 2014; Rabie, 2019). From the strengths and weakness associated with each model debated here, the researcher regarded the ToC approach as best suited for the objectives of this study.

When using ToC for the evaluation of the outcome of a programme, the ToC should clearly and concisely show the underlying logic, assumptions, influences, causal linkages (Rossi et al. 2004; Weiss, 2001 in Cloete, et al. 2014) and expected outcomes of a development programme (Verrinder, et al. 2018). This is often shown in graphic or visual form (Rossi et al., 2004; Weiss, 2001 in Cloete, et al. 2014). For this purpose, this study set out to depict by means of a schematic the logical sequence of events that emanated from the input to outcome stage of the CDP, with the aim to aid in the translation of how the change, as a result of the implementation of the CDP, came about.

The purpose of this research project was to conduct a systematic critical examination of the outcomes and impact of the CDP, and a logical sequence of events mapped out from the inputs to the outcomes phases of the public policy/programme process helped to address the complexities of “converting inputs into the intended outcomes” (Cloete, et al. 2014). While definitions on theories of changes were analogous to Cloete, et al. (2014) who defined theories of change as “an ongoing process of reflection to explore change and how it happened – and what that meant for the part we played in a particular context, sector and/or groups of people” (Cloete, et al 2014).

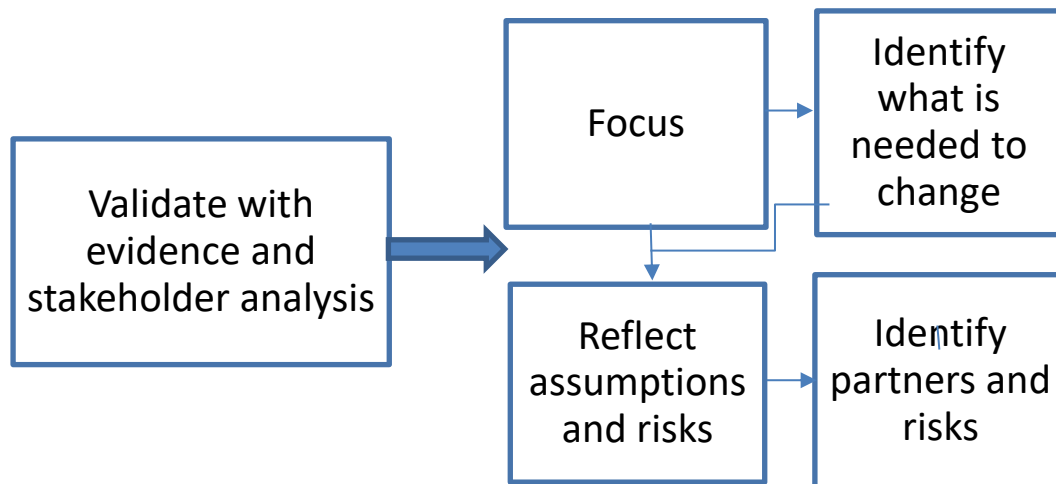
From the latter one can infer that the concept guiding theories of change would allow for the assessment of how change happened (Cloete, et al. 2014; & Verrinder, et al. 2018) by

reconstructing in a logical sequence a number of activities from the input to outcomes and ultimately impact phases of the public policy process in a manner that would illustrate the CDP process (Cloete, de Coning, Wissink, & Rabie, 2018). The researcher's goal was to use programme evaluation to determine if there was a cause and effect relationship between the implemented CDP intervention and its associated effects on the intended beneficiaries, stakeholders and society as a whole (Cloete, et al. 2014), including the assessment of effectiveness in respect of the CDP (Verrinder, et al. 2018).

The theory of change line of thought was used to explain how the CDP was expected to lead to socio-economic transformation for the programme beneficiaries. This was achieved by validating with evidence collected through the CDP stakeholder analysis, what was needed for the change to materialise, what partners to identify and by reflecting on the associated assumptions and risks (Makiva et al. 2019).

For this study, from a practical perspective, the theory of change focused on the changes which materialised from the implementation of CDP at key stages of public policy, and the extent to which those changes were responsible for the results produced. There were three specific focus areas: 1) the need for change; 2) partner and stakeholder identification; 3) the associated risks. Regarding the need for change, the study investigated and presented validating evidence. In the instance of partner and stakeholder identification, the study identified partners and stakeholders to the implemented CDP. Finally, the experiences of the change in the status of beneficiaries in terms of their ownership of sustainable construction businesses pre-empted risk identification (United Nations Development Group 2017; Makiva, et al. 2019. Figure 4 depicts the relationships between these activities.

**Figure 4: Diagrammatic representation of the change process.**



*Source: United Nations Development Group, 2017*

To interpret the findings of this study, the following analytical evaluation frameworks were considered: 1) Stufflebeam’s Evaluation checklist; 2) Scriven’s Key evaluation checklist; 3) the five DAC/OECD Evaluation Criteria; 4) the DPME National Evaluation Policy Framework. In the instance of Stufflebeam’s Evaluation Framework, it focuses on the Context, Inputs, Process and Product (CIPP Evaluation Model) as it relates to developmental processes. It measures what the achievements of the beneficiaries, the strategies used to roll out of the intervention, records of beneficiaries held by the CDP to maximise its reach to the intended beneficiaries. The CIPP evaluation model is more attuned to the aims of an implementation evaluation, as opposed to an outcomes evaluation, which this study sought to undertake (Aziz, Mahmood, and Rehman, 2018).

Scriven’s Key Evaluation Checklist (KEC) focuses on designing, managing, monitoring and evaluating Requests for Proposals (RFPs). It prescribes a comprehensive framework outlining each section to encompass Parts A to D of an RFP. For example, Part A includes an executive summary, clarifications, and design and methods. Part B covers background and context; descriptions and definitions; consumers (beneficiaries); resources (strengths

assessment) and values. Part C covers process; outcomes; costs; comparisons and generalisability. Part D contains conclusions and implications, specifically synthesis, recommendations, explanations, predictions and redesign; responsibility and justification; report and support and meta-evaluation (Scriven, 2013). Based on the research objectives and the parameters of this study, the researcher was not convinced that this evaluation framework would achieve the intended research objectives.

The Development Assistance Committee/Organisation of Economic Cooperation and Development (DAC/OECD), also referred to as the “5-Yard measure stick” (Makiva, 2015) includes relevance, effectiveness, efficiency, impact and sustainability (Chianca, 2008). Relevance assesses “the extent to which the objectives of a development intervention were consistent with beneficiaries’ requirements, country needs, global priorities and partners’ and donors’ policies”. Effectiveness considers “the extent to which the development intervention’s objectives were achieved, or were expected to be achieved, taking into account their relative importance”. Efficiency is “a measure of how economically resources/inputs, that is funds, expertise, time, etc. were converted to results”. Impact focuses on the “positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended”. Sustainability considers “the continuation of benefits from a development intervention after major development assistance has been completed” (Chianca, 2008; Makiva, 2015).

The researcher agrees with the work of Makiva (2019) which affirms the appropriateness of the DAC/OECD management tool to best generate public policy responses in terms of development. However, considering the parameters of the study, the researcher used the DPME National Evaluation Policy Framework because of its focus on overseeing policy and programme evaluation to determine the achievement of outcomes in the public sector.

When studying phenomena, a researcher always has a set of ideas about what is going on and how the world works. These ideas are referred to as the conceptual model of a study. The conceptual model outlines a tentative theory about the researcher's worldview. This study will rely on realist evaluation constructs to interpret the study's findings.

Realist evaluation looks beyond external measurement to find the social meanings of human action. Realist evaluation is a theory-driven evaluation framework focused on social betterment through programme implementation (Pawson & Tilley, 2004). In this study, government policies, programmes and projects implementation are the actions designed to right wrongs, correct deficiencies and/or lessen inequalities.

Realist evaluation aims to illuminate "how a programme is supposed to work and then interrogates it" (Pawson & Tilley, 2004). By determining a programme's plausibility, durability, practicality and validity, it pursues explanations to test theories with the aim of refining them. For example, questions from a realist perspective would ask "What works for whom in what circumstances and in what respects, and how?", and would not merely ask "what works?" or "does a program work?". A realist evaluator would therefore have to look at not only the multitude of programme stakeholders, but the multitude of reasoning contexts within which motivations for a particular action are framed (Pawson & Tilley, 2004).

From a realist perspective, programmes are theories that are embedded, active and derivatives of open systems. For programmes that are theories, particularly theories of change, the multitude of priorities of a multitude of programme stakeholders must be weighed up against whatever came before the design and implementation of a programme (Pawson & Tilley, 2004). For example, strategic aims and expected outcomes must be aligned to the government programme of the day and comply with the fine details of legislation.

For programmes that are embedded, the aim is to transform social conditions by examining subjects' characteristics, for example, improvements to their organisational position, and their economic conditions. For programmes that are active, outcomes are only discernible from the reasoning of stakeholders. For these programmes to be considered successful this requires that the many priorities of a multitude of programme stakeholders must be clearly understood and encapsulated. For programmes that are open systems, unanticipated events are inevitable, and these could include politics, human resources capacity, and technological shifts (Pawson & Tilley, 2004).

Realism recognises the process of change, but the current indicator systems in South Africa have been cited amongst others as inconsistent and incoherent due to their inability to move beyond the measurement of inputs, activities and outputs. For example, the achievement of outcomes and impacts are still largely measured against output indicators (Cloete, 2018). Given this problem with the SA indicator system, there have been calls for indicator development to be reinforced to include relevant outcome indicators for the social, economic, environmental and institutional sectors. This is the backdrop for this study of the CDPs of the Western Cape Department of Transport and Public Works, as part of broader Expanded Public Works Programme (EPWP) in South Africa.

#### **2.10. The Expanded Public Works Programme in South Africa**

In 2004, the National Cabinet designed, approved and implemented the EPWP to encourage job creation imperatives in the public sector (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019). The aim was to create work opportunities, growth and development initiatives for the targeted persons, who had low skills and were poor and unemployed (National Contractor Development Programme Summary Framework, 2011; Rass, 2019). In a phased approach, the EPWP was implemented across four sectors namely the Infrastructure,

Social, Environment, and Culture and Non-state sectors of the economy. Each sector, championed by the related government department, leveraged public budgets in order to deliver services and create assets for the public good (National Contractor Development Programme Summary Framework, 2011; Rass, 2019).

For example, the EPWP in the Infrastructure sector was funded by grants and an equitable share from the NDPW, its industry players, such as the CIDB were involved (Martin & Root, 2012; Dapaah et al. 2017).

In the instance of EPWP in the Environment and Culture sector, implementation of environmental programmes in the public sector was achieved through these portfolios. For EPWP in the Social sector implementation was achieved through social programmes in the public sector and for EPWP in the Non-state sector, implementation was achieved through non-state sector agencies like NGOs, Non-Profit Organisations (NPOs) and Faith-Based Organisations (FBOs) in communities.

All shared the common goal of accelerating job creation imperatives, particularly for the HDIs (StatsSA, QLFS, 2019). As mentioned in Chapter One, this stemmed from the national aim and mandate to create jobs, develop skills and sustainable businesses. Most provincial governments heeded the call to and subsequently set out to establish CDPs (Dapaah et al. 2017).

### **2.11. The rationale for the implementation of the CDP**

The rationale for the implementation of the CDP stems from the EPWP as a response to poverty and the need for noted at the Growth and Development Summit (GDS) of 2003. At this summit, four broad categories of temporary work for the employed were adopted. The one underpinning the implementation of the CDP was “More jobs, better jobs, decent work for all’ (Expanded Public Works Programme, 2020). For this purpose, the establishment of the EPWP as a driver



for the creation of work opportunities, using labour intensive methods was mandated for across all four sectors, namely Infrastructure, Non-State, Environment & Culture, and Social sectors to fight unemployment. This study of the EPWP will be limited to the Infrastructure sector.

The infrastructure sector utilises labour intensive methods in the construction and the public sector funded infrastructure projects. Labour intensive infrastructure projects are described as “i) using labour-intensive construction methods to provide work opportunities to local unemployed people. ii) providing training and skills development to the locally unemployed people; and iii) building cost effective and quality assets” (Expanded Public Works Programme, 2020). The link between the EPWP and infrastructure sector is based on the assumption that labour-intensive infrastructure projects have the potential to provide regular employment to large numbers of people (Expanded Public Works Programme, 2020). It is hoped that broad implementation across national, provincial and local spheres of government will positively respond to the dire levels of unemployment experienced by vulnerable people, including those classified as youth.

Four key EPWP Infrastructure sector programmes include: i) the Vuk’uphile training programme directed at NQF level 2 individuals and supervisors at NQF level 4; ii) the National Youth Service programme aimed at providing technical skills and life skills training access to practical work experience and mentoring; iii) Large Projects in excess of R30m to promote contractor development; iv) the Provincial Roads programme for assistance in the implementation of labour-intensive programmes and projects. The NDPW would provide technical support to help provinces to design, implement and monitor EPWP projects (Expanded Public Works Programme, 2020).

Behind the implementation of the CDP was the hope that developing emerging contractors in the construction industry would improve the dire socio-economic situation currently facing those unemployed, particularly the youth. The NCDP framework objectives committed it to

*“Improve access to work opportunities, Improve construction business environments, e.g. payment cycles, offering training and advisory services, Promote technology transfer and use, Facilitate networking, Promote joint venture and sub-contracting opportunities, Unbundle large contracts in order to accommodate smaller contractors; and Adopt appropriate procurement strategies” (DTPW: Contractor Development Programme Policy, 2016; Rass, 2019).*

Table 1 shows the strategic aims, objectives and outputs anticipated as a result of the implementation of the CDP policy:

**Table 1: Strategic aims, objectives and key deliverables**

	<b>Strategic aims</b>	<b>Strategic objectives</b>	<b>Key deliverables</b>
1	<b>Collaboration and integration of all stakeholders by optimising existing platforms.</b>	Stronger positioning of internal and external stakeholders of the WC DTPW to support emerging contractors	<ul style="list-style-type: none"> <li>• Clear communication plans</li> <li>• Stakeholder plans</li> <li>• Appropriate platforms of engagement</li> </ul>
2	<b>Linking the business opportunities of the WC DTPW to the contractor</b>	Increased identification and commitment of economic growth opportunities for emerging contractors	<ul style="list-style-type: none"> <li>• Direct targeting; and/or</li> <li>• Indirect targeting</li> </ul>
3	<b>Creating an enabling platform for EPWP</b>	Integrated and collaborative approach on the implementation of CDP through targeted and co-ordinated programmes in the Department	<ul style="list-style-type: none"> <li>• Training (Focused interventions and ad hoc interventions); and</li> <li>• The creation of clear EPWP opportunities</li> </ul>
4	<b>Creating a governance framework for contractor development for the WC DTPW</b>	Enhancing contractor skills and enterprise development to ensure quality services are rendered on behalf of the WC DTPW.	<ul style="list-style-type: none"> <li>• A training strategy through partnerships; and</li> <li>• A contractor and stakeholder database.</li> </ul>

*Source: WC DTPW Contractor Development Policy, 2012*

The CDP envisaged that access to training and advisory services, and work opportunities would be improved. This would include the promotion of technology transfer and use; networking; joint venture and sub-contracting opportunities; unbundling of large contracts; the adoption of appropriate procurement strategies.

## **2.12. The Contractor Development Programme offered by the WC DTPW**

Given the developmental indicators and outputs committed to by national government, the Department of Transport and Public Works of the Western Cape Government was mandated to implement laws and provide services to the people whom it serves. To contribute to the growth of the economic sector through job creation initiatives (Western Cape Government, 2020), the WC DTPW creates short-term job opportunities and economic empowerment by providing infrastructure. This is done through the coordination of community-based programmes as part of its support for national EPWP. The CDP is one of the two programmes implemented by the WC DTPW. The one programme offers construction-related skills development opportunities, including apprenticeships for artisanal skills, whilst the other facilitates programmes to develop emerging contractors (Department of Transport and Public Works Annual Report, 2017/18) in the Western Cape Province. The focus of this study was on the emerging contractors in the Cape Metropole area in the Western Cape Province.

### **2.12.1. Location**

The study location was in the Cape Metropole area within the Western Cape Province. Figure 5 shows the location of this study. The green highlighted area depicts the Western Cape Province.

**Figure 5: Study location**



*Source: Western Cape Government, 2020*

### **2.12.2. The mandate of the WC DTPW to its clients, including the CDP**

The vision of the WC DTPW to its clients is to lead in the delivery of government infrastructure and related services to promote socio-economic outcomes and safe, empowered and connected communities in the Western Cape. To drive these outcomes, the WC DTPW is organised into six programmes/portfolio's as follows: i) Administration, that is strategic, operational and financial support to the Department; ii) Public Works Infrastructure, that is the acquiring and disposing of immovable assets, optimal utilisation and services to the WCG departments; iii) Transport Infrastructure, that is to build, rehabilitate and maintain the provincial road network; iv) Transport Operations, that is the management and subsidisation of transport services, including the facilitation of land transport safety and compliance programmes; v) Transport Regulation, that is motor vehicle registration and licensing and traffic law enforcement services; vi) Community-Based Programmes, that is the coordination of the EPWP, development of emerging contractors and construction-related skills development opportunities, including apprenticeships for artisanal skills (Department of Transport and Public Works Annual Report 2017/18).

Of the programmes briefly discussed above, the Community-Based Programme houses the CDP and is responsible for its roll-out. In 2016 the WC DTPW adopted a CDP Policy to reach out to CIDB registered contractors in order to increase their capacity, sustainability and quality of performance. It would:

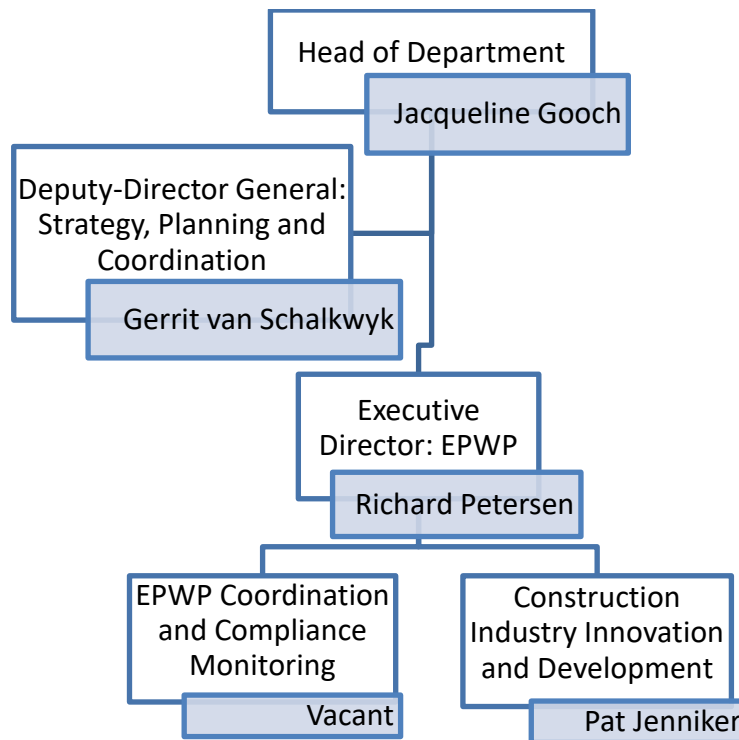
- i Create a mechanism for a sustainable economic development through contractor development programmes within the Department.
- ii Create a depository for EPWP intervention.
- iii Create partnerships within the WC DTPW budget programmes to make budget provision within suitable projects to support the objectives of the contractor development programme (DTPW, Contractor Development Programme Policy, 2016; Rass, 2019).

It is important to accept that the CDP policy should not be thought of as the only source of economic development and contract provider to individuals or groups participating in CDPs offered by the WC DTPW (DTPW, Contractor Development Programme Policy, 2016; Rass, 2019).

### **2.12.3. Organisational organogram for the CDP roll-out in the WC DTPW**

From the focus of the Community-Based Programme outlined above, the following organogram, Figure 6, depicts the key role players responsible for driving the implementation of the CDP within the WC DTPW.

**Figure 6: Key role players in the implementation of the CDP**



*Source: Department of Transport and Public Works Annual Performance Plan 2018/19*

The reason for naming the role players is to aid understanding of the accountability mechanism, because the delivery of public services across national, provincial and local spheres of government is important. Table 2 shows the roles depicted in the organogram in relation to the functions executed with reference to the roll-out of the CDP.

**Table 2: Roles and functions for CDP implementation**

<b>Role</b>	<b>Responsibilities/functions</b>
<b>Head of Department</b>	Ensures that the Department meets its mandates and implements ministerial and governmental directives efficiently and effectively.
<b>Deputy-Director General: Strategy, Planning and Coordination</b>	Provides strategic, policy and operational support to the Department
<b>Executive Director: EPWP</b>	Coordinates the EPWP including the facilitation of programmes to develop emerging contractors; offers construction-related skills development opportunities, including apprenticeships for artisanal skills
<b>Director: Construction Industry Innovation and Development</b>	Facilitates programmes to develop emerging contractors

*Source: Department of Transport and Public Works Annual Report to Citizens 2017/18*

Table 2 shows the key role players responsible for the implementation of the CDP in the WC DTPW from the Director mandated with the facilitation of the CDP programme up to the Head of Department, that is the officer accountable for the effective and efficient delivery of ministerial and governmental directives.

#### **2.12.4. Structure of the training offered as part of the CDP**

Table 3 describes and explains the training programmes offered as part of the CDP.

**Table 3: Structure of the CDP training programmes offered**

<b>CDP Foundation Training</b>		<b>Target Group</b>	<b>CDP Advanced Training &amp; Mentoring</b>		<b>Target Group</b>
<b>1</b>	<b>10-month training programme</b>	CIDB level 1-2 GB/CE contractors	<b>1</b>	<b>Pre-tendering, professional mentoring &amp; guidance on &amp; off construction site, enterprise development (guidance with business administration &amp; management) assistance offered</b>	CIDB 3-5 GB/CE contractors
<b>2</b>	<b>5-week training programme</b>	Offered to municipalities that have emerging contractors on their databases	<b>2</b>	<b>Five-day training sessions: labour intensive training, surveying techniques &amp; construction management</b>	CIDB 3-5 GB/CE contractors
<b>3</b>	<b>Two-day construction information sessions</b>	Offered to all contractors to assist them with compliancy	-		-

*Source: Western Cape Government 2020: Contractor Development Brochure*

Table 3 shows that the CDP as an ongoing project is structured into two training programmes, namely the foundation phase training and the, advanced training and mentoring. The former targets contractors registered with CIDB grades 1-2, and provides a 10-month training programme and a two-day construction information session. The advanced training and mentoring programme targets contractors registered with CIDB grades 3-5 and provides training specific to mentoring contractors, enterprise development and construction management.

#### **2.12.5. Qualifying criteria for target groups**

The CDP contractors are enrolled on clearly defined entry criteria and are provided with targeted developmental support as described and explained above. It envisages that contractors who enter the programme will receive support that enables them to achieve the predetermined skills, qualifications, certification, business sustainability,



workmanship quality, etc. whilst avoiding a “dependency syndrome”. The qualifying criteria for access to the CDP included:

*“CIDB Level 1 GB/CE and active in the industry for at least two years, CIDB Level 1-2 GB/CE registered contractors, CIDB Level 3-5 GB/CE registered contractors, Aged 25 and older, Willingness to travel, as participation in the programme will require travelling and spending at least five days away from their business, Have not attended a similar programme offered by any government department in the Western Cape, Permanent resident of the Western Cape, Valid South African ID document, and WCSD registration not a requirement but could be beneficial” (Contractor Development Programme Brochure).*

### **2.13. Stakeholders and Coordination of the CDP**

The realisation of these strategic aims is driven by key stakeholders including the National Department of Transport and Public Works, the WC DTPW, the CIDB, that is the board established in terms of the Construction Industry Development Board Act of 2000 (Act 38 of 2000), the Construction Education and Training Authority, Municipalities and the private sector (Contractor Development Programme Policy, 2016).

In collaboration, these stakeholders set out to support contractor development through the provisioning of skills and business enhancement initiative trainings to emerging contractors in order to stimulate the development of emerging enterprises in the construction industry. In the construction industry, contractor grading designations are determined by their financial and labour capability and contractor grading designations. These range from 1-9. This research project only refers to CIDB grading designations 1-5, given its relevance to the CDP. Contractors with CIDB grades 1-2 incorporate contractors in the start-up phase of developing a business in the construction industry. Contractors with CIDB grading 3-5 have businesses with sustainable growth and development potential (NCDP Summary framework: contractor development programme, 2011; Rass, 2019).

From the description above, the coordination between the WC DTPW, the established contractors in the construction industry and beneficiaries highlights the level of interaction between the various stakeholders identified. It is important to note that whilst the implementation plan for the CDP appears attractive, implementation of government interventions like the CDP rarely happens without problems. The next section identifies challenges, risks and potential pitfalls in the roll out of the CDP.

#### **2.14. Associated risks identification**

For the reflection on assumptions and risks, three specific focal areas were noted: i) the need for change; ii) partner and stakeholder identification; iii) the associated risks to be elaborated on. Concerning the need for change, modes validating the need for change due to the existence of issues or problems were examined. In the instance of partner and stakeholder identification, the CDP partners and stakeholders were identified. With regard to risk identification, immediate risks to the CDP were pre-empted from the experiences of the change in status of beneficiaries in terms of their ownership position of sustainable business enterprises in the construction industry (Makiva, et al., 2019).

#### **2.15. Summary**

This chapter discussed the theoretical, conceptual and legislative frameworks underpinning programme monitoring and evaluation along with the case of the CDP offered by the WC DTPW.

In conclusion, programme monitoring was alluded to merely for the reader's conceptual orientation and for the researcher to differentiate between the two concepts in order to emphasise the evaluation concepts in this study. The chapter emphasised the kinds of complexities associated with programme evaluations, which continue to affect judgment

determinations of what we measure as an achieved outcome. Outcomes appear skewed to that which is within the mandate of Department/Programme.

Next, the research methodology and methods of this study will be discussed.

## **CHAPTER THREE**

### **RESEARCH METHODOLOGY AND METHODS**

#### **3.1. Introduction**

The previous chapter looked at the theoretical framework and the related legislative framework and examined the case study in more detail. The case study explained the rationale for the implementation of the CDP, profile and location of the WC DTPW, and relationship between the mandates of the WC DTPW and the CDP within the context of the EPWP. The preceding chapter also unpacked the structure of the CDP, the interaction between stakeholders and the CDP's potential risks and pitfalls.

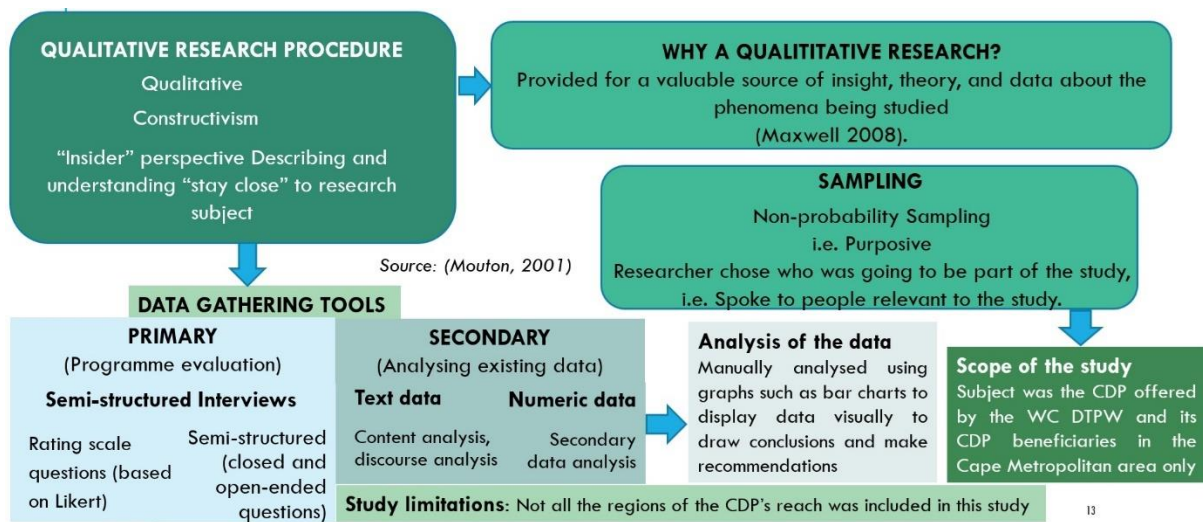
This chapter will discuss the research methodology and methods in relation to the research design adopted for this study. Among the issues this chapter will cover are the type of research design, sampling strategy, data collection and analysis methods used. It will also consider the validity and reliability, and the ethical considerations and significance of the study.

#### **3.2. Research methodology**

The chosen research methodology was carefully considered to deliver the intended objectives of the study (Almalki, 2016; Makiva, 2015). The purpose of explaining a research methodology is to inform the reader of the research procedure to be undertaken. This aid understanding of why certain methods and procedures were adopted vis-à-vis others, and provides reasons for the methodology and methods selected. Information about the research methodologies also considers the ethical justification for its use, the disadvantages and challenges associated with a given approach and highlights their respective advantages and strengths.

According to Mouton (2001), outcome evaluation research can be studied using quasi-experimental outcome studies. This means empirical studies containing primary and secondary data, both numerical and textual in nature, are suited to quasi-experimental evaluation research designs. It is important to note that no single research design is perfect and contains strengths and limitations. Thus, the chosen research design can assess causal outcomes and impact, but context effects, sampling errors, problems with generalisability could also arise (Glanville et al. 2017). Research questions will be descriptive and evaluative, and findings conceptualised to examine whether the intended outcomes materialised (Mouton, 2001). Depicted in Figure 7 below is the research procedure (roadmap) undertaken by the researcher for this study.

**Figure 7: Research Methodology**



Source: Researcher's own Configuration

A procedure can be compared to a roadmap that the researcher consults to reach the intended research aims of their study (Almalki, 2016). Depicted in Figure 7 above is the research procedure (roadmap) undertaken by the researcher for this study. This study used a qualitative approach. Qualitative research frameworks use qualitative data collection methods

(Maxwell, 2008). This allows for a broader and less restrictive concept of design to understand the phenomenon under study (Maxwell, 2008).

The qualitative approach in this study was based on an explanatory design. An explanatory design is a two-stage design (Almalki, 2016) in which the quantitative data presents the base information for explaining the qualitative data collected. The former was the framework used to assign numbers to the “*perceived quality of things*” and the latter to “*describe insider perspectives*” (Mouton, 2001). This kind of research approach permitted the use of various data collection sources and methods that the researcher believes strengthen the findings of this study.

Given the stated objectives of this study, it is important to note that this approach encouraged the study of individuals and organisations in their natural social environments (Maxwell, 2008) with specific focus on “complex interventions, relationships, communities, and programs” (Maxwell, 2008). This means that the use of the qualitative research techniques made it possible to comprehend a phenomenon based on how a given event or situation influenced the participants’ beliefs and behaviour. Thus, it was possible to comprehend how events, actions, and meanings were formed by the unique circumstances within which they happened. It also makes it possible to establish a platform where variables for generating new “grounded” theories can be identified and developed, for processes leading to outcomes to be established (Maxwell, 2004a) and lastly, for causal relationships (Maxwell, 2004b; Maxwell, 2008).

The techniques/tools used for this study include qualitative data collection tools, such as semi-structured interviews as primary sources of data and literature reviews as secondary sources of data collected. The data collected was analysed using both numerical and textual data analytical tools. Some of the data collected was quantified by assigning numbers to inform

the perceived quality of things. Whilst the qualitative data collected, indicated the perspectives held by the CDP beneficiaries who participated in this study (Mouton, 2001).

### **3.3. Research methods**

Research methods are tools at the researcher's disposal to administer an inquiry, investigation, examination, etc. to answer a stated research question. Even though there is no right or wrong way when selecting research tools, their selection and use must however help to answer a research question in a logical manner, displaying more of the strengths rather than the weaknesses of the selected method (Almalki, 2016).

However, despite the above stated limitations in the researcher's opinion the quasi-experimental outcome evaluation, remains the most suitable method to achieve the objectives of this study for the following reasons: that it allowed for various modes of data to be collected; it allowed for a comprehensive examination of what was supposed to happen as a result of the implementation of the CDP, vis-à-vis what actually happened from the perspectives of the CDP beneficiaries; it allowed for the measurement of causal outcomes, that is effectiveness (Makiva, 2015) of the CDP to be assessed (Mouton, 2001). However, it would not be possible to generalise the findings without incorporating further variables (Mouton, 2001).

### **3.4. Methodological paradigm and population sampling**

As mentioned in Chapter One Section 1.7, the methodological paradigm for this social research was informed by a quasi-experimental design using a qualitative approach to collect data.

All research projects have a subject under study. According to Neuman (2011) subjects could be "individuals, dyads, groups, and organizations" (Neuman, 2011; Makiva, 2015;

Makiva, et al. 2019). The researcher approached the relevant official in the WC DTPW for a CDP Beneficiary/Contractor database/list to identify, select and approach the targeted research participants. CDP beneficiary study participants selected from the database included both male and female participants, aged 25 and older and situated in the Cape Metropolitan area of the Western Cape Province. Using purposive sampling techniques, the researcher identified 13 relevant research participants. The researcher selected all the identified CDP beneficiary research participants, including the CDP programme coordinator, for participation in this study. Of the 13 CDP beneficiary research participants identified and selected, seven opted and consented to participate in this study, as well as the CDP programme coordinator.

From a practical perspective, purposive sampling could be described as the “use of the judgment of an expert in selecting cases or selected cases with a specific purpose in mind” (Neuman, 2011). Purposive sampling enabled the researcher to select topic relevant participants but to continue sampling new populations until substantive information had been sourced (Miles & Huberman, 1994). The study was limited to those CDP beneficiaries who had completed the advanced training and mentoring CDP offered by the WC DTPW (Babbie, 2002; Sarantakos, 1998; Mouton, 2001).

### **3.5. Data gathering process**

To aid in the determination of outcome achievement, the South African government developed indicators to measure progress made towards the achievement of long-term societal transformational imperatives. For such purpose’s indicators can be quantitative or qualitative (Cloete, 2018). Quantitative indicators may be based on numerals, including numbers, percentages and ratios. They are referred to as quantitative indicators, measuring objectively verifiable levels of achievement. Qualitative indicators are based on narrative descriptions or categories, including yes/no, true/false, and measure subjective views.



Subjective measurement can be determined by an individual's perception of their own quality of life. Objective measurement can be determined against various levels including but not limited to education, health, social, economic, and culture available to them. Furthermore, indicators may focus on a single or multiple indicators. Single indicators focus on a single component of performance, e.g. such as matriculation pass rate, income levels, whereas multiple indicators combine scores into a single rating. The combination into a single rating may be static, because they provide actual measurement data, but only for a stated point in time and cannot be generalised to future or other contexts (Cloete, et al. 2014). The summative evaluation is described below.

### **3.5.1. Key variables and unit of analysis**

Sections 1.8 of Chapter One dealt with population and sampling procedures and the data collection strategy respectively. They noted the importance of distinguishing between key variables and the unit of analysis. For this study, the key variables were the independent and dependent variables. The independent variables were: 1) the development of contractors; 2) the development of sustainable enterprises in the construction industry. The dependent variable was the CDP offered by the WC DTPW. The unit of analysis consisted of the contractors and participants of the CDP offered by the WC DTPW who completed the advanced training and mentoring programme.

The goal pursued by this choice of unit of analysis for this research was to examine whether the outcome of contractor and sustainable business enterprise development in the construction industry materialised for the targeted group through the provisioning of assistance related to mentoring, enterprise development and construction management training.

### **3.5.2. Data collection strategy and techniques**

Mouton (1996) states that data collection is the process that involved the collection of information from various sources. The data collection strategy for this study included the use of qualitative research methods. The rationale for using this approach was that it allowed for “insider perspectives” on the subject under study. This means that a constructivist’s view could be taken to examine this study. The social constructivism/interpretive paradigm is the worldview taken in this particular study. A social constructivist/interpretivist believes that reality can be known only through people and their socially constructed meanings. “The world that people create in the process of social exchange is reality” (Schwandt, 1998). This means, for example, that two people may observe a particular phenomenon at the same time but derive different meaning in interpreting it. For this reason, constructivists place their focus on internal rather than external perspectives (Kim, 2001), also the focus of this study.

Under the social constructivism/interpretivist banner, a mix of three social theories coexist: 1) social constructivist; 2) realist; 3) positivist. Through the qualitative methods, the constructivist approach allows for the social meanings that the participants make in their interactions with the CDP to be incorporated. The realist approach allows for the argument of social factors and forces at play and real in the sense that they are causal.

Mouton (1996 & 2001) encourages the use of all available forms of structured and semi-structured data collection methods. For this study, semi-structured interview data collection tools were used. This is also referred to as primary data collection. Secondary sources of data were sourced from the review and analysis of work by earlier researchers in this field. The qualitative approach to collect data allowed for “a valuable

source of insight, theory, and data about the phenomena being studied” (Maxwell, 2008).

The data collection techniques included interviews using semi-structured interview schedules. These were disseminated to 13 CDP beneficiaries and one official involved in the implementation of the CDP. Important to note was that seven from the 13 CDP beneficiaries identified and selected opted to participate in this study. In line with Mouton’s (2001) semi-structured interview schedules, open and closed ended questions were developed and disseminated. Some questions were closed-ended and based on Likert’s rating scale questioning format (Cloete, et al. 2014). Using the Likert’s rating scale questions, the CDP’s effectiveness was examined.

The answers/preferences in the rating scale questions were used to quantify preferences selected by research participants. This highlighted the extent to which the CDP affected CDP beneficiaries’ development as contractors, their employability and their ability to employ other otherwise unskilled and semi-skilled labour groups, as well as the development of their businesses in the construction industry. To substantiate these responses, the use of open-ended questions to examine the insider perspectives from the experiences of the CDP beneficiaries who participated in this study, was used.

### **3.5.3. Primary data collection methods**

At the time approval to gather research data from the research participants was obtained, the national state of disaster protocols implemented to contain Covid-19 confined the researcher to her home, impacting the undertaking of in person interviews. Whilst not within the scope of this report, the researcher felt it necessary to note the

challenges this posed in the sense of undertaking interviews in the traditional face-to-face manner. Challenges encountered will be discussed here under section 3.5.3.1.

Nevertheless, it was possible to collect the primary data needed to examine the effect of the CDP using a semi-structured interview schedule to analyse both numerical and textual responses from research participants.

As noted by Scriven (2001), to determine if the beneficiaries, communities and society benefitted from implemented government intervention programmes required an innovative approach on the part of the researcher. Responses from the CDP beneficiaries were collected as part of this empirical data collection process as follows:

#### ***3.5.3.1. Telephone and online interviews***

Using Kvale's (1996) basic individual interview format, the seven-step process can be identified: Step 1 clarifying the purpose of the interviews and the concepts to be explored; Step 2 laying out the process through which you will accomplish your purpose, including a consideration of the ethical dimension; Step 3 doing the actual interview; Step 4 writing a test of the interview; Step 5 determining the meaning of gathered materials in relation to the purpose of the study; Step 6 checking the reliability and validity of the material; Step 7 telling others what you have learned.

Despite these challenges, the researcher collected the data from the research participants using means that were accessible and familiar to both the interviewer and interviewees without compromising the integrity of the collected data: telephonic interviews and virtual online meetings. After the researcher's introductory and participation email and telephone

communication to research participants, telephone interviews with CDP beneficiaries and a Microsoft Teams online virtual interview with the programme coordinator of the CDP were scheduled and undertaken.

#### **3.5.3.2. *Semi-structured interview schedules***

The research created and used semi-structured interview schedules that included factual questions on socio-demographic and personal information, rating scale questions, and open-ended questions to which the participants could respond freely. De Vaus (1986) describes the use of rating scales as the measurement attached to statements in response to a specific question.

Semi-structured interview schedules were used to guide responses from the research participants. These were uniquely tailored to the contractors who participated in the CDP and, the programme coordinator responsible for the coordination of the CDP. These included closed and open-ended questions. The closed questions allowed for analysis of numeric data and the open-ended questions permitted for a deeper understanding of the phenomenon under study. The researcher used MS Excel software to translate the findings into graphs and tables, accompanied by an explanatory narrative.

#### **3.5.4. Secondary data collection method**

Secondary data was collected to reach research objective one. This led to a literature review. Data collected from secondary data sources included the review of information from various research databases including South African databases, subject-based information gateways, general search engines, books, chapters of books, scientific journals, theses, and discussion documents. This brought to the fore debates,

information, knowledge and statistics relevant to the topic of programme evaluation and theories of change.

#### **3.5.4.1. Literature review**

Debates within literature review on programme evaluation included the potential of a disjuncture between the agenda seeking of public office bearers and the expectations of the people that government would help them to develop in a sustainable manner (Makiva, 2015; Abrahams, 2015). This included the extent to which evaluation was able to highlight not only pockets of excellence and areas of poor performance, but also unintended positive and negative consequences. By doing so, evaluation provided an analysis of alternative strategies that could improve the implementation of government interventions mentioned by Abrahams, (2018).

#### **3.5.5. Data analysis and verification**

According to Bak (2004), two kinds of readers exist. The one scans through the text of written work, ignoring most of the tables and figures, while the other scans through the tables and figures ignoring most of the text. To accommodate both kinds of readers the researcher presented the data in tables and figures, as well as text (Bak, 2004). Bak further states that one should use tables and figures and that a document cannot be adequately described using only textual narratives to present the findings (Bak, 2004).

For the analysis and verification of the collated data, variations of both quantitative and qualitative methods of evaluation were used and interpreted using the works of Pawson & Tilley (2004). For the quantitative indicators, numerical data using rating scale questions were used and for the qualitative indicators, textual data using

interviews were undertaken. Rating scale questions were used to collect the demographic data and the answers limited to quantification in order to ascertain the perceived quality of things. It is important to note that the closed-ended and open-ended questions in the semi-structured interview schedules were not piloted before the research. During the data collection process the researcher learned that some of the follow-on questions were not necessary because the open-ended questions were sufficiently comprehensive.

Telephone interviews were used to develop an in-depth description and analysis of the experiences of beneficiaries. Research participants were provided with the semi-structured interview schedules before the interviews. The researcher wrote down by hand all the responses during the actual interviews. The researcher was able to seek clarification if needed. This greatly assisted the researcher's understanding of the deeper experiences of the research participants.

Other sources of secondary data were obtained from the review and analysis of documents in the public domain and government publications, such as audit reports, legislative and policy documents, and speeches by key government officials (Makiva et al. 2019). Other sources of secondary data included a critical analysis of literature including journal articles, textbooks, newspapers and magazines (Makiva et al. 2019) on programme evaluation.

### **3.5.6. Data analysis and interpretation**

The CDP is currently in its 4<sup>th</sup> phase of implementation, that is 2019/20-2023/24. This study was based on data collected during the 3<sup>rd</sup> phase of implementation. The CDP offered by the WC DTPW from 2015 to 2018 was examined using the DPME National

Evaluation Policy Framework prescribed by the Presidency (2011). This evaluation framework oversees all large-scale policies and programmes in the public sector. The examination focused on measuring: 1) whether a programme worked; 2) if the impact was attributable to the programme under review; 3) if the impacts reached all intended beneficiaries and if not, why not; 4) the factors which influenced the programme to achieve impact. The choice for this framework was based on the most suitable framework for public policy responses where development is concerned (Makiva, 2019).

Some research findings were converted into percentages using Microsoft Excel spreadsheets, after which information was displayed visually in the form of bar charts. The display of information using bar charts facilitated discussion of the descriptive statistics collated from this study (Bak, 2004). This enabled the researcher to effortlessly draw conclusions and make recommendations based on the works of Pawson & Tilley (1997).

The data analysed as part of this study was both numerical and textual. Numerical data was analysed using bivariate analysis and textual data analysis took the form of a content analysis (Better Evaluation Rainbow Framework, 2014). The numerical analysis was carried out manually, using Microsoft Excel spreadsheets and graphically depicted in the form of bar charts. Bak (2004) states that the visual display of data conveys information to the reader more quickly and effectively than text alone or a table outline. This researcher anticipated that the visual display of results obtained from the semi-structured interview schedules would enable her to discuss more easily conclusions drawn from the information if visually displayed. This display would also make the results more accessible to the respective study participants.



### **3.6. Ethical considerations**

Mouton (2001) notes that ethics play an integral part in the way research is undertaken. The results of the research could affect not only participants, but also others who were not necessarily involved in the study (Robson, 2007). Mouton (2001) further states that consent from participants must be obtained prior to the undertaking thereof to avoid repercussions as a result of their participation. The researcher obtained the requisite permission from research participants and set out to obtain information in a legal and ethical manner. Study participants were informed that the study was intended for academic purposes and that the information provided by them would be anonymous.

#### **3.6.1. Informed Consent from CDP beneficiary respondents**

Informed consent was verbally obtained from each of the seven research participants prior to conducting telephone interviews. At the onset of each telephone interview, the researcher reiterated to research participants that the study was intended for academic purposes and that their responses would be recorded as received anonymously. The researcher further reminded research participants of their right to decline to answer any question they deemed inappropriate and/or that made them feel uncomfortable, and that they were free to discontinue with the telephone interview at any time (Mouton, 2001). Obtaining research participant consent was the sole purpose of Part A of the interview schedule for the contractors.

#### **3.6.2. Informed Consent from CDP coordinator respondent**

Written consent from the Programme coordinator involved in the implementation of the CDP was obtained via email, subject to conditions agreed to by the researcher. At the onset of the MS Teams virtual online meeting interview, the researcher reiterated to the CDP coordinator, herein referred to as the respondent, that the study was intended for

academic purposes. The respondent was reminded of their right to decline to answer any question which they deemed inappropriate and/or making them feel uncomfortable and that they were free to terminate their participation in this study at any point (Mouton, 2001), thus meeting the requirements stated as part of Part A. Whilst the researcher anticipated no immediate risks to participants that could arise from their involvement in this research project, the following precautionary measures ring-fenced this study should participants feel uncomfortable during or after as a result of participating in this research project. The researcher undertook to ensure that the necessary counselling was accessible to the participants. The researcher reminded the participants of their right to withdraw from the research at any stage or to refuse to answer questions that caused them any discomfort. The researcher also undertook the collection of primary data mindfully in order not to cause unnecessary discomfort to participants during the interview process. The researcher complied with the policy of the University of the Western Cape for undertaking research. She obtained ethical clearance and permission to conduct research as outlined in this study. The researcher strictly adhered to the integrity framework during the process of data collection (Mouton, 2001).

### **3.7. Summary**

Chapter Three explained the researcher's motivation for selecting the qualitative research design, methodology and methods as the most suitable research design to answer the key and specific research questions examined in the undertaking of this study. Matters such as research, methodology and methods, validity and reliability testing, population demarcation and sampling procedures, data collection strategy, analysis and interpretation and ethical

considerations were discussed. In the next chapter, a discussion of the study findings and analysis will be presented.

## **CHAPTER FOUR**

### **RESEARCH FINDINGS AND ANALYSIS**

#### **4.1. Introduction**

The previous chapter discussed this study's research, methodology and methods, validity and reliability testing, population demarcation and sampling procedures, data collection strategy, analysis and interpretation and ethical considerations. This chapter will present the findings of the research data collated during this study including interpretation of the results.

#### **4.2. Research findings**

The findings of this summative evaluation are presented by the evaluation questions asked during the data collection procedure. See Annexures A and B, attached.

##### **4.2.1. Research participation breakdown**

Of the 13 beneficiaries, seven participated in the study, two were unavailable despite numerous appointments agreed to, and one beneficiary sold her construction company to a family member before relocating abroad. The family member was not a CDP beneficiary but continues to operate the business. For the remainder of the beneficiaries on the list contact could not be established from the contact details provided therein.

##### **4.2.2. Questions and results from CDP beneficiaries**

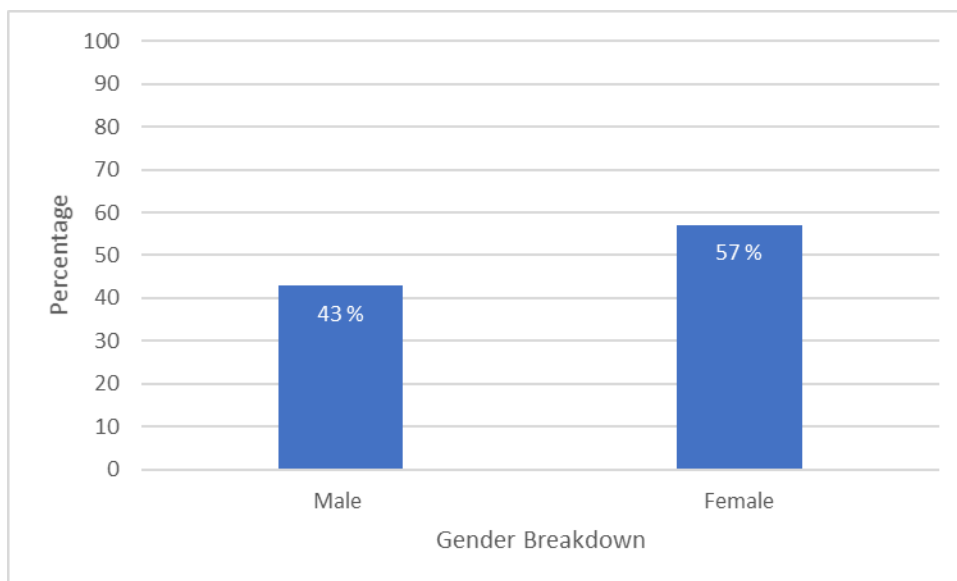
The interview schedule herein attached as Annexure A was broken down into three parts. Part A covered informed consent to participate; Part B recorded CDP beneficiary demographic information; Part C collated and presented contractor experiences from their participation on the CDP. For Part A informed consent was verbally obtained. For Part B demographic details from the seven research

participants were gathered. Part C gathered both responses on a rating scale of 1-5, with 1, not at all; 2, to a small extent; 3, to some extent; 4, to a moderate extent; and 5, to a great extent; and interview questions.

### 4.3. Demographic information

Demographic information was obtained in Part B to establish a generalisable profile of research participants specific to the research objectives for this study, and to ascertain if they were active contractors and had businesses in the construction industry of South Africa. The breakdown of the demographic information provided by research participants was presented in Figure 8 and discussed comparatively using graphs and text to explain trends.

**Figure 8: Research participant gender breakdown**



From the questions posed, the following findings materialise as discussed below:

#### 4.3.1. Gender breakdown of research participants

All research respondents were within the age category of 36-50 and had a CIDB grading status of between 3 and 5. Respondents were asked what their CIDB grading status was when coming onto the programme in 2016/17 and what it

currently is. Responses from respondents varied, but the trend established was that their current CIDB grading status had improved, suggestive of the substantiation of the theory of change model, also discussed in Chapter Two, section 2.9. Important to note however is that this does not imply causality, though it might be an interesting unintended consequence or possible effect. The majority of the participants were female as depicted in Figure 8 above. That gender breakdown cannot be generalised to all contexts of CDP enrolment. The gender breakdown merely presents the gender breakdown of CDP beneficiaries who participated in this study, also representative of a grouping in the HDI population of South Africa, also discussed in Chapter Two, section 2.2 where the preparedness of HDI construction enterprises in the construction industry of South Africa is questioned.

#### **4.3.2. Number of people employed**

Whilst the baseline number of people provided employment by contractors could not be determined without adding other variables, outside the scope of this study, the CDP offered by the WC DTPW from 2015 to 2018 absorbed 54 CIDB Grade 3 to 5 contractors. Table 4 below shows the breakdown of the beneficiary intake per annum. The seven respondents in this study were from the financial year 2016/17 intake.

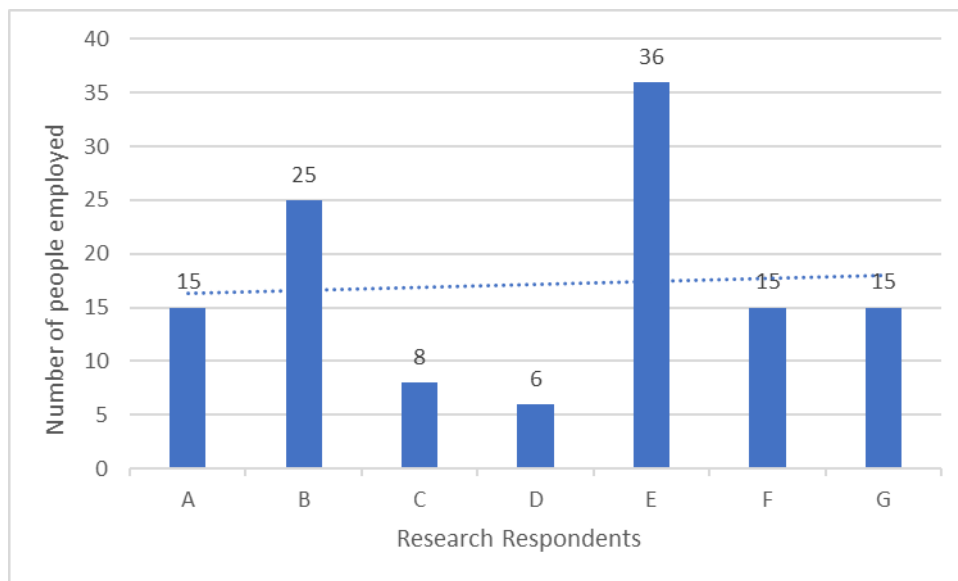
**Table 4: Per annum CDP beneficiary intake**

<b>CIDB Grade 3 to 5 CDP intake</b>	
<b>Financial year</b>	<b>Number of Beneficiaries</b>
2015/16	15
2016/17	20
2017/18	19

Source: Department of Transport and Public Works Annual Reports 2015/16, 2016/17 and 2017/18

The respondents on average employed between 5 to 10 persons, depending on their financial position and work, that being work undertaken by means of contracting, in effect. One respondent stressed the point that the lockdown level 5 regulations in effect necessitated the retrenchment until work became available, if at all. Figure 9 below shows the current number of people employed by the research participants and the employment provided to other unemployed people by the studies respondents.

**Figure 9: Number of people employed by contractors**



The number of people employed by respondents during this study ranged between six and 36, with Respondent D employing the least amount of people at 6, and Respondent E the, biggest employer at 36. The total number of people employed varied based on the scope of construction jobs undertaken by the respondents. On average, the sampled beneficiaries provided jobs for approximately 15 people who were otherwise unemployed at the time in line with the national job creation

imperative, also discussed in Chapter Two, section 2.10. Respondents stated that staff under their employ were predominantly young, that is between the age range of 15 to 35, but that foreman roles were filled by older persons, usually between the age range of 35 to 60 in relation to their experience for the job at hand. The above shows the ability of the CDP to encourage job creation imperatives as set out by the national governing party.

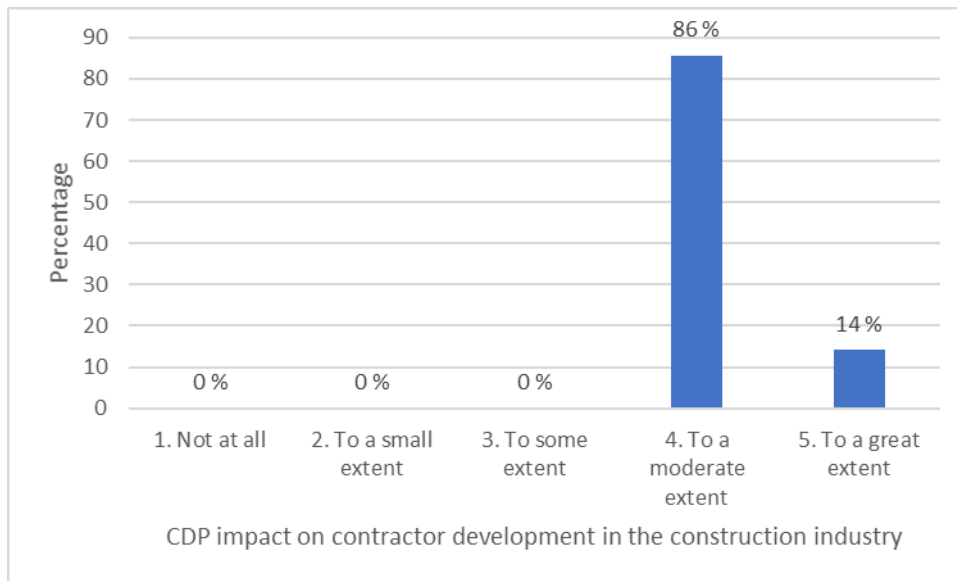
#### **4.4. Rating scale interview questions and results from contractor interview schedule**

The interview questions concluding Part C were used to solicit more in-depth responses about the beneficiaries' experiences of the CDP. Findings are presented and discussed as: 1) Responses from Contractor interview schedules; 2) Responses from CDP: Programme coordinator interview schedule as follows:

**Question 1: “To indicate the extent to which the CDP impacted your development as a contractor in the Construction industry?”**: the responses are presented in Figure 10 below. Figure 10 shows the extent to which the CDP impacted the development of contractors.



**Figure 10: CDP impact in terms of contractor development**

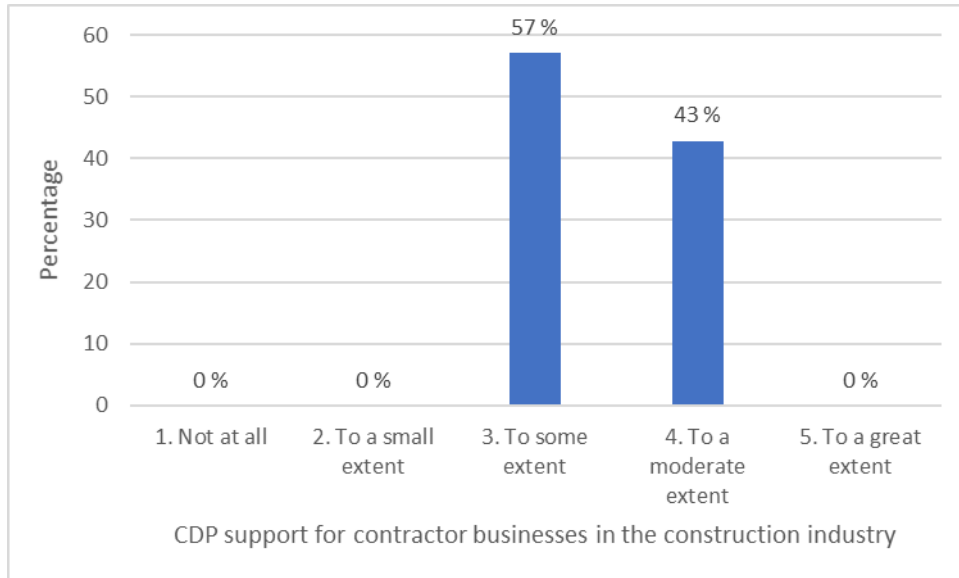


86 Percent of respondents felt that the CDP impacted their development as a contractor in the construction industry to a moderate extent. 14 Percent of respondents attested to feeling the impact to a great extent. Whilst the responses cannot be generalised to all contexts of contractor development, it could be inferred that contractors who were beneficiaries of the CDP and participated in this particular study were to a moderate and great extent positively impacted by the CDP. From the results presented in Figure 10 above, uncontested was the value of the ToC Model’s logical sequencing of events from inputs to the outcomes phases of public policy/programme, also discussed in Chapter Two, section 2.9.

**Question 2, followed by questions 4, 6, 8 and 10; that is “If you answered 1. Not at all to the above question, please explain why in the space provided below?”:** none of the respondents chose “1. Not at all” to questions 1, 3, 5, 7 and 9. For this reason, engaging on questions 2, 4, 6, 8 and 10 was deemed irrelevant and immaterial. As a result, the researcher did not engage with respondents on questions 2, 4, 6, 8 and 10. By doing so, the sequence of events followed a chronological order. Hence, following question 1 will be questions 3, followed by question 5, 7, 9 and 11.

**Question 3: “To indicate the extent to which the CDP supported your business in the construction industry?”:** the responses are presented in Figure 11 below. Figure 11 below shows the respondents’ experience of the extent to which the CDP supported their businesses.

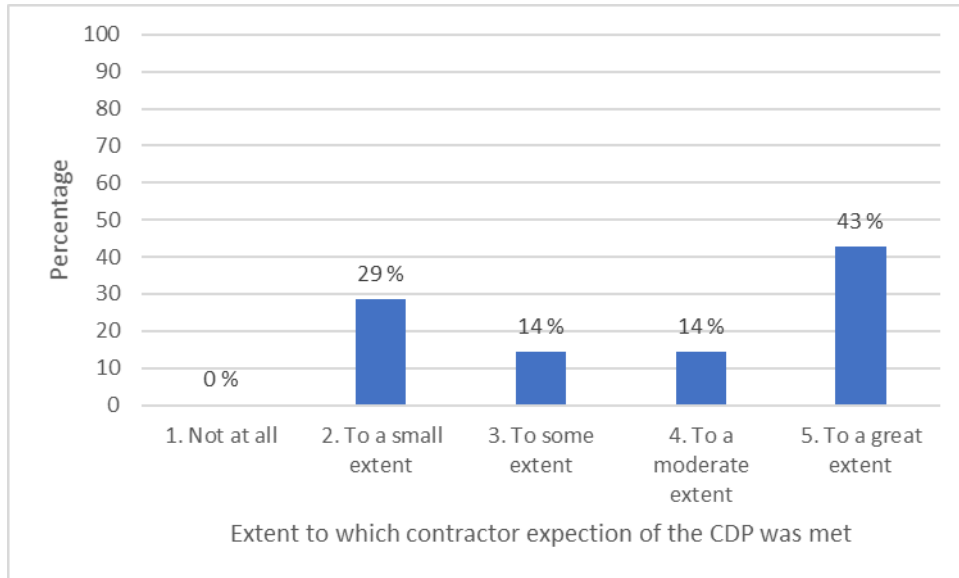
**Figure 11: CDP support provided in terms of business development**



Presented in Figure 11 above was that 57 percent of respondents felt the CDP supported their businesses to some extent and 43 percent experienced the said effect to a moderate extent. Important to note however is that for the respondents, support for their businesses did not cause them to participate in the CDP. In fact, one respondent stated that supportive measures which contributed to the development of their business included the beneficiaries’ own efforts, for example their motivation and drive to attain the goals they set for themselves; the, tendering criteria provided by various government departments to contractors; the shorter time within which invoices submitted for payment were processed made all the difference to the development of their business. As it relates to the support of CDP businesses in the construction industry, to claim effectiveness of a government intervention, focussed monitoring and periodic evaluations, also discussed in Chapter Two, section 2.5 is necessitated, however outside the scope of this study.

**Question 5: “To indicate the extent to which contractors’ expectation of the CDP was met?”**: the responses are presented in Figure 12 below. Figure 12 depicts the respondents’ responses on “the extent to which contractors’ expectation of the CDP was met”.

**Figure 12: The extent to which contractors’ expectation of the CDP was met**



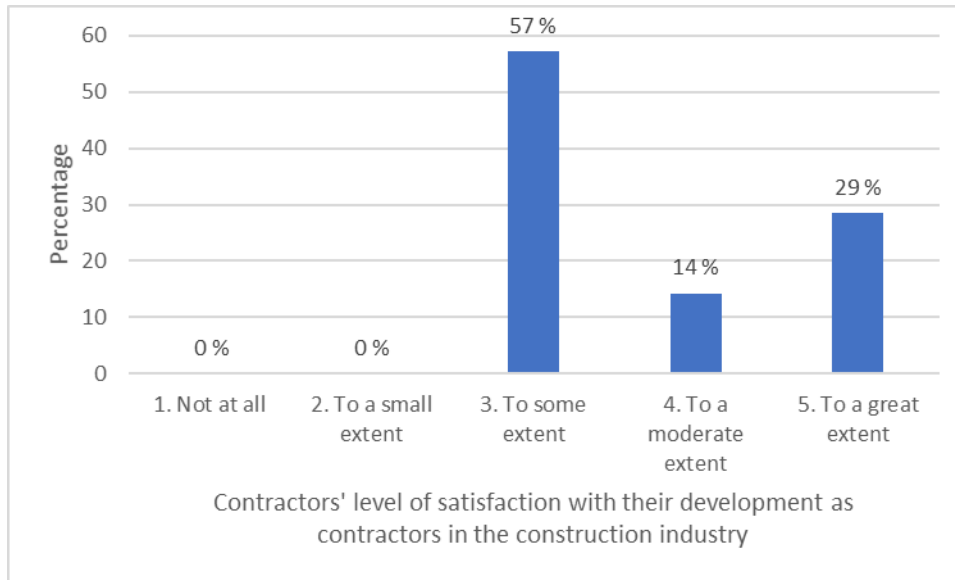
29 percent stated to a small extent, 14 percent stated to some extent, 14 percent stated to a moderate extent and 43 percent stated to a great extent. However, more than a quarter, 29 percent, did not have their expectations met.

Though 100 percent of respondents, stated that the “CDP positively impacted on their development as contractors in the construction industry”, there is evidence of a disjuncture between their expectations and what the CDP offered. From this evidence a closer look at the value perceptions citizens hold, also discussed in Chapter Two, section 2.5 would be ideal, however outside of the scope of this study.

Of the responses to the rating scale **question 7 “To indicate your level of satisfaction with the impact of the CDP on contractors’ development in the Construction Industry?”**,

the responses to the level of satisfaction the contractors experienced in terms of their development as contractors are presented in Figure 13 below.

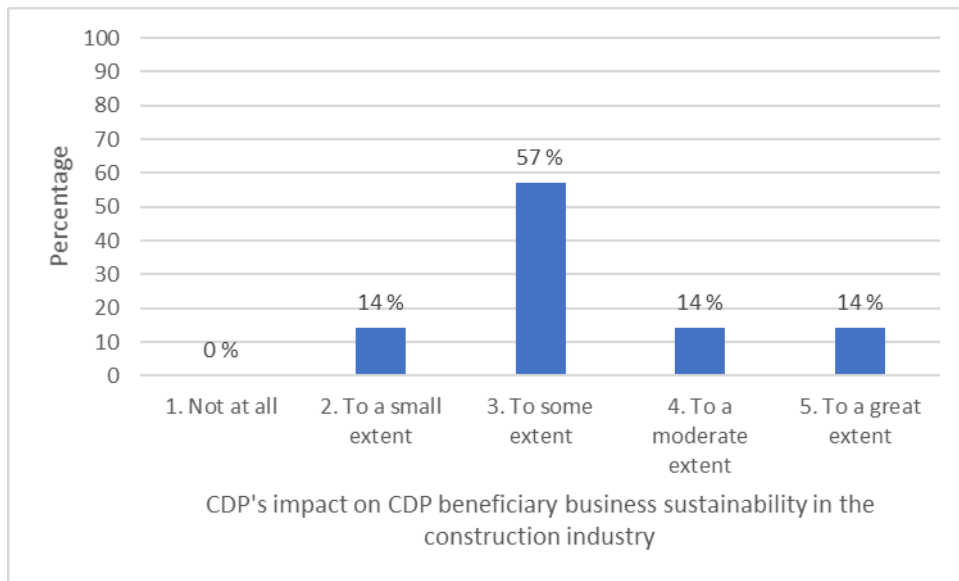
**Figure 13: Contractors’ level of satisfaction with their development as contractors**



57 percent stated to some extent, 14 percent stated to a moderate extent, and 29 percent stated to a great extent. From the responses collated inferred was that respondents were generally satisfied with the CDP’s impact as it relates on their development as contractors in the construction industry. This is further substantiating the appropriateness of the theoretical perspective put forward in this study that is the texts pertaining to the ToC Model for the examination of programmes, also discussed in Chapter Two, section 2.9.

Responses to **Question 9: “To indicate to what extent has the CDP impacted the sustainability of your business in the construction industry?”**, are presented in Figure 14 below. Figure 14 below shows the percentage breakdown of responses received from respondents to their experience of the extent the CDP impacted the sustainability of their businesses.

**Figure 14: CDP's impact on business sustainability of CDP beneficiaries**



57 Percent stated to some extent, 14 percent stated to a small, a moderate and great extent, respectively. From the responses presented in Figure 14 above was that all respondents perceived an impact as a result of the CDP as it relates to the sustainability of their construction industry businesses, with some respondents experiencing the impact either to a greater or lesser extent than others. From this result the CDP's aims, also discussed in Chapter Two, section 2.12.2 cannot be refuted. Important to note is that further variables would need to be considered to determine causality.

#### **4.5. In-depth interview questions and results from contractor interview schedule**

To the in-depth **Question 11, "What elements of the CDP do you believe most impacted on your development as a Contractor?"**, the responses are shown in Table 5 below. Table 5 explicitly shows the elements of the CDP contractors felt impacted on their development as contractors.

**Table 5: Elements of the CDP that impacted on contractor development**

<b>Respondent/s Responses</b>	<b>Number of Respondent/s</b>
Labour-intensive training	3
How to Tender	2
Surveying techniques	1
Improved CIDB grading status	1
Pricing/quantity surveying techniques	1
Business efficiencies techniques	4
Customer Care skills	1
Opportunity to network with relevant stakeholders such as clients and staff of the various government departments	1
Mentoring being provided	2

The responses collated and depicted in Table 5 above show that elements including “surveying techniques, improved CIDB grading status, accurate pricing/quantity surveying, customer care etiquette and network opportunities with various government officials” were thought to be impactful on respondents’ development as contractors.

Two respondents believed that “tendering” and the “mentoring provided” on the CDP were more impactful on their development. In this instance, “tendering” meant the information sharing sessions held with contractors on the applicable tendering criteria used for the awarding of contracts to contractors in the public sector, and “mentoring provided” meant mentoring provided by mentors by established construction businesses who participated on the CDP.

More respondents believed that “business efficiencies”, four respondents and “labour-intensive training”, three respondents as the most impactful to the respondents’ development as contractors. One respondent, when clarifying their response on “business efficiencies”, stated that this information aided with “looking at creating structures to doing things better”. This may mean that the respondent undertook a restructuring process in order to revamp the administrative component of the business for operational efficiencies. Shared examples of the

business restructuring included the use of cloud-based storage for mobility of access to records and an automated billing system to ensure accurate billing and payment processing.

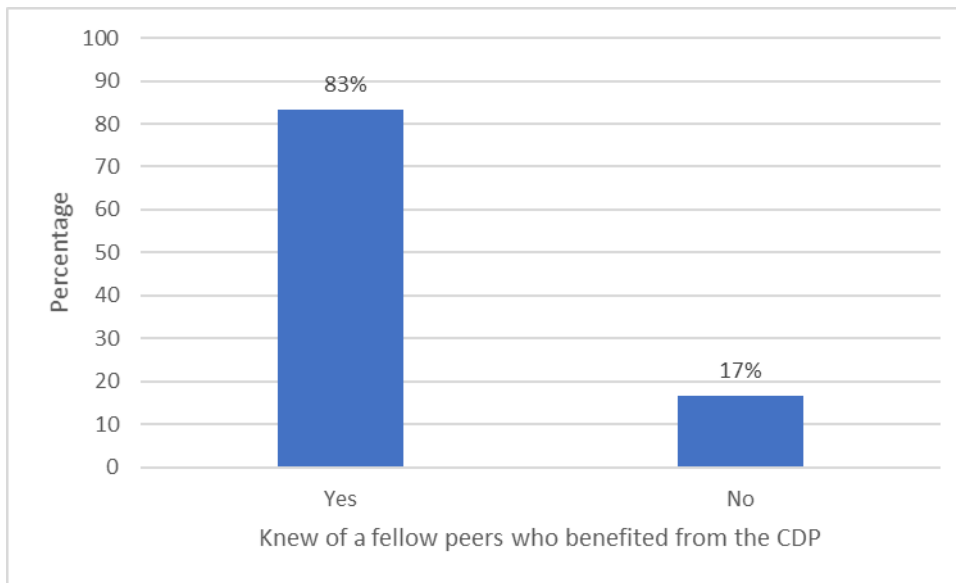
From the responses provided the elements stated above mirrored the focal areas of the CDP Advanced Training and Mentoring, also discussed in Chapter Two, section 2.12 under sub-section 2.12.4.

To the in-depth **Question 12, “What elements of the CDP do you believe most impacted on the development of your business in the construction industry?”**, respondents listed various elements. These elements were: 3-year framework contracts; Accounting practices; Work opportunities arising from networks established in public and private sectors; Onsite Construction site management; Business management skills; Quantifying skills and techniques; Developing a business plan; Knowledge of tendering procedures and all training courses provided as part of the CDP, discussed in Chapter Two, section 2.12 under sub-section 2.12.4.

What stood out from the varied responses was that “accounting practices” was the response provided more than once and by more than one respondent. One respondent explained: “Learning how to record and track all business transactions and how to run a business based on transparent business principles” was an element of the CDP which was believed to have developed the respondents business in the construction industry discussed in Chapter Two, section 2.12 under sub-section 2.12.4.

To the in-depth **Question 13, “Do you know of fellow beneficiaries who benefitted of the CDP? If so, explain?”**, the responses are presented in Figure 15 below. Figure 15 shows the breakdown of respondents who knew of fellow beneficiaries who benefitted from the CDP.

**Figure 15: Fellow beneficiaries who benefitted from the CDP**



83 Percent of respondents stated that they knew of fellow beneficiaries who had benefitted from the CDP, whilst 17 percent of respondents, did not. See Figure 16 below. From the 83 percent of respondents, all except one admitted to knowing of a fellow beneficiary who benefitted from the CDP, but not unquestionably. From the 83 percent of respondents who knew of fellow beneficiaries who benefitted of the CDP, 20 percent were sure they knew of a fellow beneficiary who benefitted from the CDP. It also so happened that in this instance the respondent not only named the fellow peer during the interview process, but also stated that the fellow peer introduced the respondent to the CDP. Interestingly, the fellow peer the respondent referred to happened to be one of the research respondents of this study, who attested to being impacted by the CDP to a moderate extent.

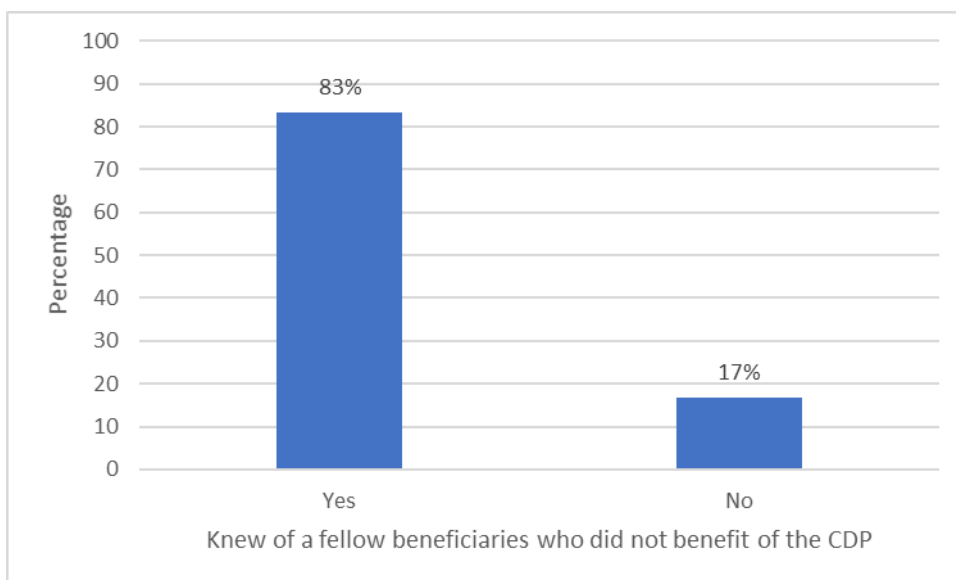
Based on the researcher's inferences from the responses provided, 80 percent merely surmised because of having crossed paths in the construction industry with one another at some point after they had concluded the CDP. One response from one of these respondents was: "Yes. A fellow peer who was from Vredendal recently asked me for help on a project and I helped". The respondent's response inferred that a fellow peer recently contacted the



respondent for some assistance related to a construction project, and based on this eventuality, and the fact that the respondent said that he had helped the peer, the researcher believes it important to note where responses provided were surmised and required corroboration with definitive and verifiable evidence.

To the in-depth **Question 14: “Do you know of fellow beneficiaries who did not benefit of the CDP? If so, explain?”**, responses are presented in Figure 16 below. Figure 16 shows the breakdown of respondents who did not know of fellow beneficiaries who benefitted from the CDP.

**Figure 16: Fellow beneficiaries who did not benefit from the CDP**



As was stated in the previous question and depicted in Figure 16 above was that 17 percent of respondents stated that they knew of fellow beneficiaries who did not benefit of the CDP. Within that figure, 40 percent stated that they had no idea why, whilst another 40 percent gave the following responses: “There was a company that I used to see in the construction industry space, but I don’t see them anymore. Can’t help wondering what happened to them”/ “Two

peers I haven't seen in the industry lately". Twenty percent of respondents stated as follows: "It looked like some peers were not interested in the training and some had their own interests for attending the courses".

To the in-depth **Question 15: "What were the key highlights from your experience on the CDP attributable to the sustainability of your business in the construction industry?"**

Table 6 below is a self-explanatory list of key highlights which respondents believed had contributed to the sustainability of their construction businesses because of their experience on the CDP.

**Table 6: Key highlights of the CDP attributable to the sustainability of your businesses**

<b>Key highlights of the CDP attributable to the sustainability of your businesses</b>	
<b>Number of Respondent/s</b>	<b>Respondents' responses</b>
2	Opportunities provided as part of the 3-year framework contracts
1	Extent of development as a contractor
1	Networking opportunities – access and interacting with government and private sector stakeholders in the construction industry
1	Experiencing construction projects on actual construction site
1	Knowledge gained on how to apply pricing techniques
1	How to tender effectively for contracts
1	Knowledge gained in terms of business management skills
2	Knowledge gained in terms of surveying land levels
1	Cash flow management
1	Transparent business accounting principles
1	Knowledgeable and hands on mentors provided
3	Interpersonal skills learned, relationships built with WC DTPW and other Departments' officials
1	Utilise project management tools - critical path mapping
1	Understanding Supply Chain Management procedures - better tendering
1	Quality of work - referral from existing clients to potential new clients
1	People management

In Table 6, above three respondents felt that interpersonal skills, relationship building and fostering was a key lesson learnt from their experience of the CDP to which they attribute the

sustainability of their construction businesses. two respondents felt opportunities provided as part of the three-year framework contracts and knowledge gained in terms of surveying land levels were other aspects which they attribute to the sustainability of their construction businesses. Interesting however was the varying responses, which was inferred by the researcher as CDP respondents having varying highlights. Meaning that what could be an attribute contributing to a sustainable business for one CDP respondent did not necessarily mean the same for another CDP respondent.

Given that the responses provided mirrored the course content of the CDP, also discussed in Chapter Two, sections 2.12 under sub-section 2.12.4, the researcher believes there might be a cause and effect relationship between the programme intent and programme outcomes. However, the experiences of respondents require deeper probing, and that is beyond the scope of this study.

To the in-depth **Question 16, “What were the key lessons learnt from your experience on the CDP attributable to the sustainability of your business in the construction industry?”**, Table 7 below is a self-explanatory list of key lessons learnt that respondents believed contributed to the sustainability of their construction businesses.

**Table 7: Key lessons learnt from the CDP attributable to businesses sustainability**

<b>Key lessons learnt from the CDP attributable to businesses sustainability</b>	
<b>Number of Respondent/s</b>	<b>Respondents’ responses</b>
1	Practices open and transparent accounting principles
1	Establishing trust and rapport with mentor
2	Effective operations cash-flow management
3	Plan for contingency fees as a result of unplanned expenses
1	Quantity surveying land levels
2	Interpersonal skills, relationship building and fostering
1	Practically applying course content to business operations
1	Possess a drive and ambition to pursue contracts

Whilst on the one hand, a respondent stated to “not have experienced unforeseen challenges affecting the sustainability of the business”. On the other hand, another respondent stated that “mentors assigned were knowledgeable, but that disputes were not uncommon ” and so being, concerted efforts on the part of contractors were key for establishing trust and rapport with the mentor assigned to you, also discussed in Chapter Two, under section 2.2.

Three respondents echoed the importance of planning provision for contingency for activities and or eventualities otherwise unforeseen; two respondents echoed interpersonal skills, relationship building and fostering as a key lesson learnt from their experience of the CDP that enhanced the sustainability of their businesses. Further to the stated, respondent’s provided other varying responses as key lessons being learnt.

#### **4.6. Questions and results from CDP Programme coordinator**

The interview schedule used to guide a response from the Programme coordinator involved in the implementation of the CDP was broken down into two parts. Part A covered participation consent, and Part B collated and presented the respondents views. Part B gathered and presented the views of the CDP coordinator, using a rating scale and in-depth interview questions.

##### **4.6.1. Rating scale and in-depth interview schedule from CDP coordinator respondent**

To the rating scale Question 1, **“to indicate the extent to which the CDP succeeded in its intent to develop contractors for the construction industry from 2015-2018?”**, the respondent answered “4. To a moderate extent”.

To the in-depth Question 2, **“Briefly explain your selection for the above question in the space provided below?”**, in a brief explanation of what was meant by

“4. To a moderate extent”, the respondent stated that “the former beneficiaries themselves recommend the CDP to other potential CDP participants/emerging contractors. It so happened that many contractors become participants of the CDP programme based on word of mouth referrals. The only reason for the choice of 4. being to a moderate extent, is because there is always room for improvement”. The response provided substantiate the significance programme evaluations as the means to determine programme effectiveness, also discussed in Chapter Two, under sections 2.3, 2.4 and 2.5.

To the rating scale Question 3, **“indicate the extent to which the CDP impacted on the development of contractors in the construction industry from 2015-2018?”**, the respondent answered “5. To a great extent”.

To the in-depth Question 4: **“Briefly explain your selection for the above question in the space provided below?”**, the respondent stated that “at the conclusion of CDP training courses suggestions and feedback about content revisions and improvements to the roll out of the CDP training were received from CDP beneficiaries who completed the course. From the inputs received, and where possible, considering resource availability, had the suggested content revisions and improvements to training offerings incorporated into the rollout of future CDP training offerings for the benefit of future CDP beneficiaries. For example, “when you for example attend a training programme, and at the end thereof you complete a survey about your experience of the course and provide comment/feedback/input in pursuit of improving the experience of the training offering for future course participants.

Whilst the revised training course offering would exclude CDP beneficiaries who have concluded their training, we as the CDP Team endeavour to keep in touch CDP

beneficiaries via our contact information which remains unchanged, with the exception of now due to the Covid-19 global pandemic lockdown regulations potentially exacerbating access to our Team via the stated telephone numbers. Our email access to some are operational, but probably not to the ideal degree desired". The respondent repeated that there is contact with CDP beneficiaries who have concluded their training. The respondent shared an example about how the CDP Team facilitates contact with CDP beneficiaries about an opportunity they could benefit from, from activities undertaken as part of other programmes within the department. The respondent stated that "we facilitate contact to CDP beneficiaries. For example, when we have other training or other requests maybe from other programmes asking do you have contractors in an area? We check our databases for the requested contractors and share information of those compliant with the prescribed training and or requests. We also, depending on our internal resource availability, contact programmes to explore avenues where our CDP beneficiaries could be of benefit to some of the activities undertaken by their programmes. To do so we call CDP beneficiaries in order to and check on them. This is subject to resource availability, time and emotional availability. At times, you find that things are not faring well with CDP beneficiaries/contractors. For example, you might be calling to find out how it is with them now as contractors and businesses owners in the construction industry since you last spoke to them, only to learn that it is not going as hoped. Also, in some instances as a government employee, contractors may experience challenges with other departmental components and defer the call made from you to them to discuss an issue they have outside of the reason for your call. I am referring to questions about issues they may encounter with another official the tendering department in perhaps. So, these are some of the emotional availabilities I refer to which one has to be prepared for when calling CDP beneficiaries

and checking on them after the conclusion of the stated course. On the other hand, the success stories of our past CDP beneficiaries are always a great source of motivation to the CDP Team and a pleasure to encounter when calling to check up on CDP beneficiaries”. From the response provided continuous monitoring and intermittent programme evaluations remain uncontested, also discussed in Chapter Two, under sections 2.3, 2.4 and 2.5.

To the rating scale Question 5, “**indicate the extent to which the impact of the CDP reached the beneficiaries from 2015-2018?**”, the respondent answered “4. To a moderate extent”.

To the in-depth Question 6, “**Briefly explain your selection for the above question in the space provided below?**”, the respondent stated that “in the design of the CDP training, special focus was given to parts of the construction field, for example roads, building of hospitals and schools, and general infrastructure maintenance, as they relate to the mandate of the WC DTPW, rather than the construction field in its entirety. For this reason, the respondent stated, this study “contractors that might be venturing into different forms of construction, let’s say for example they would like to venture into Ports. As the WC DTPW our mandate does not oversee Ports. Ports form part of the mandate of the National government. Whilst, we expect that the National Contractor Development Programme will look at that industry specific contractor development training, from our side our role would only be supportive to an extent, as opposed to versus where for our CDP the focus will be more so on brick work, a bit of surveying, etc. as it relates to the mandate of the WC DTPW. Important to note however is that this does not mean that if you are trained you will not be useful elsewhere”.

The respondent provided the following example: “when you are assigned a mentor and they are working on a project, whether it is for CSIR or Department of Water Affairs, this does not mean that a contractor will be limited to WC DTPW projects solely. In fact, there have been instances when people from other provinces enquired about joining our CDP training to which such requests are unfortunately limited to the target population within the jurisdiction of the Western Cape Province.

“Another point which springs to mind is that the minimum requirements for this course might not be compatible with the educational levels of beneficiaries to this course. These were some of the scenarios we encountered included for example people working as a labourer for most of their lives but have now started their own company and as a result 1) present with a National Qualification Framework level which might not be at the minimum required level. 2) may not have been in a classroom for more than a decade or two or sometimes three. Listed here is just a few challenges we’ve encountered. To allow for the targeted catchment, we as far possible avoid being exclusionary, but rather accommodating of the varied educational levels as it relates to the course content selected as part of the CDP training offered.” From the response provided it is important to understand prioritisation and the alignment between planning, resource allocation and programme evaluation, also discussed in Chapter Two, Sections 2.5, 2.8, 2.9 and 2.12, under sub-section 2.12.2.

To the rating scale Question 7, **“indicate to what extent has the CDP impacted the development of sustainable businesses in the construction industry?”**, the respondent answered, “3. To some extent”.



To the in-depth Question 8: **“Briefly explain your selection for the above question in the space provided below?”**, in brief explanation to “3. To some extent”, refer to the response in question 10 below.

To the in-depth Question 9, **“Do you believe that the impact of the CDP reached all the intended beneficiaries? Briefly explain your answer in the space provided below?”**, the respondent stated, “Definitely not. We have budgetary limitations and human resource limitations. In a short space of time key CDP Team members took up promotions outside of the component which impacted on the operations of the CDP. For example, needed to achieve a training programme is not only logistical arrangements, but recruitment and procurement of trainers using the prescribed supply chain management processes, of which we are all aware takes [a] considerable amount of time to complete”.

The respondent further elaborated by stating that “even though 100 000 people could potentially benefit from our intervention, only few get an opportunity to benefit from it. Most of the time we try to get our training in areas where development is anticipated or taking place. If say for example it is planned to build a school in the area of Grassy Park, then it can be inferred as a new school to be built and local contractors needed to do so. We then endeavour to time the duration of our training project to have concluded in the time it takes for that particular project to commence. It is done this way with the intention that a suitably trained pool of contractors might be eligible to be 1) either a sub-contractor or 2) the main contractor for such a project.

“Notwithstanding how dynamics between planned and actual projects play themselves out, we try to plan it so that there’s a goal towards contractors could work towards without overplaying a guarantee thereof. Important to note is that contractors

are not limited to work solely within their localities, nothing prohibits them from bidding their service offerings in other areas and moving there for the period it takes to complete the project. These are some of the considerations we look at in relation to our budget allocations. Our goods and services budget are only R4 million and that's not a lot to make a dent in training, but for what our cloth can fit, we fit. Sometimes we receive surprisingly lower prices than what was projected whilst other times prices are considerably higher than projected, meaning that we do what we can depending on the offers we get from the market. Similarly, the services of trainers vary based on the estimate as to the cost of their services in line with supply chain management prescripts. While this doesn't affect the participant targets that we set".

The respondent clarified further:

For example, "if we set a target of 20 people for an intake of CDP participants, and that we might run short of funds along the way, we communicate the necessary funding requirements to the relevant authorities during a process called an adjustment budget which takes place annually at a specified time. For this financial year, it might not be possible due to anticipated budget cuts across all government departments in response to efforts to fight the Covid-19 global pandemic. Prior to the pandemic the targets we set were 150 people for our 1-day interventions. For this intervention when we invite different contractors for our workshop focussed around compliance pertaining to government requirements, whether it be South African Revenue Service, Construction Industry Development Board, and the like affecting the edibility of contractors to do business with government. In the previous financial year, we reached more than 150 contractors for this training. I imagine, that a similar result will be possible, given the pandemic we're currently faced with. Furthermore, we had 40 people for our 10-month

programme. For this course we usually target 50, because as the programme progresses, people tend to drop out leaving us with approximately 40 by the time the programme concludes. However due to the looming budget cuts we anticipate a revision of our targets to that which can be accommodated. For our municipal training programme our target may have been 80 and 20 people were on our advanced training and mentoring training programme. We also had customised training interventions, for example, a programme for OHAS for those on lower CIDB grades like 1-2.”

Thus, in a nutshell, “we do have annual targets. And the policy will likely not be updated to include the customised training interventions mentioned. It could put a little pressure on the budget, but this is that area for innovation. For example. Right now, during a time of social distancing we could have training remotely. It would not be normal protocol, but it could be something that we’ve customised as it relates to the times we’re faced with. Also, where our traditional training may not be able to take place, due to the unavailability of venues this is where customisation comes into play. Especially given the challenges we are now faced with, not only by contractors, but us as a Department too. Whilst we, will likely revisit the targets that were set, I imagine that companies, may feel the need to put in lower bid prices to assure the landing of contracts”. From the response provided the relationship between the focus areas of the change process, also discussed in Chapter Two, section 2.9 is refuted.

To the in-depth Question 10, **“To what extent do you believe the CDP impacted on the development of businesses in the construction industry? Briefly explain your answer in the space provided below?”**, the respondent stated “that during forum meeting where the CDP was advocated, a question to the programme’s effectiveness was raised. One of the past CDP beneficiaries, in attendance informed the meeting of

the effectiveness of the CDP as it relates to her development as contractor and that of her business which to date employs 150 people in the construction industry. This former CDP beneficiary's success story put to bed any questions related to the extent to which the CDP could potentially impact the development of businesses in the construction industry. Not only did the account of this former CDP beneficiary/contractor help us to save face at the meeting that day, but her story reinforced why we wake up every day to do what we do to better the lives of otherwise ordinary people. It must however be said, in any market there will be those who will make it and those who unfortunately won't.

However, as for the success stories the development of businesses in the construction industry, "I'm reminded of what one of our senior officials said. He said that when he met some of our former CDP beneficiaries/contractors with the start of the EPWP programme, the annual turnover, based on their CIDB grade was like his annual salary turnover. Fast forward to now, their annual turnover, based on their CIDB grade now, has far out increased to a rate almost 10 to 14 times higher than the rate his increased over time, meaning that his annual turnover as a senior government official progressed slowly, whilst theirs progressed substantially over time."

"Importantly to note in no uncertain terms is that the impact of the CDP intervention by no means claims causality of businesses development in the construction industry. The impact of the CDP merely has a part in their development." From the response provided the relationship between the focus areas of the change process, also discussed in Chapter Two, section 2.9 is evident.

To the in-depth Question 11: **"What factors influenced the CDP to achieve the intended impact for all the intended beneficiaries from 2015-2018? Briefly explain**

**your answer in the space provided below?”**, the respondent stated, “that political, safety and security, economic and environmental factors influenced the CDP to achieve the intended impact for all the intended beneficiaries from 2015-2018 as follows: As for

... political factors, with the flare ups of volatility in certain areas, as a result of service delivery protests, the ability of the CDP to achieve the intended impact for all the intended beneficiaries from 2015 to 2018 was to a large extent exacerbated. Whilst, attempts to garner resolve to disputes by entering into some kind of level of order agreement with community leaders, failure to obtain buy-in from the community made it impossible to provide training for the intended beneficiaries from those areas. For this reason, potential beneficiaries from such volatile areas, as a result found themselves excluded from the reach of our CDP training programmes”.

In terms of safety and security, the respondent stated that “training in areas considered a high-risk zone for emergency vehicles to enter without Police escort were particularly challenging to provide training in. At the call for bids from trainers to provide training in such areas, bids received were found to be largely inflated due to the likelihood of emergency vehicles not being able to reach such venues in event a need for them to do so arose. As a result, venues in the Central Business District was booked. For the intended beneficiaries a venue so far from their locality raised questions on how they would access the training, considering transport and traveling costs. It came to light that some contractors were between projects, and or getting a job here or there, along the way, which had impacted our reach to these intended beneficiaries. What gave rise to this challenge stemmed from the offensive attacks perpetrated on emergency vehicles particularly in the Cape Flats areas which resulted

in various zones as part of the Cape Flats area being classified as a high-risk areas, necessitating Police escort before attending to calls for service in such areas”.

Economic factors also had an impact on training being rolled out. For example, “a situation arose where contractors stopped attending training when they were awarded contracts. Meaning the contractors spot on the training vacant, until that contractor resumed the training again, if at all. Another example is where the timing of the training provided overlapped with other work obligations contractors may have committed to. We had a situation where a contractor, had resorted to harvesting on farms during the harvesting season which took place over a 2-3 months period. Similarly, as mentioned above, contractors would stop attending training for the period of their contract lasted at the farm and resume training thereafter. Needless to say, learning time for the period the contractor was unable to attend the training would be missed. This meant that contractors from time to time, where they found themselves needing to work whilst training was in progress, stopped attending training and resumed their training again when they could”.

Similarly, it has come to light that some municipalities will now put a requirement that some people must have gone through some CDP training. This will likely spark an increased requirement from beneficiaries to us in fulfilling of the stated requirement.

The factors stated above are, but a few outside our control which influences the programmes ability to reach all beneficiaries.

To the in-depth Question 12, “**Describe and explain the key success factors which influenced the CDP to achieve the intended impact from 2015-2018?**”, the respondent stated, the following: “One, Team commitment and passion to drive the

programme aims and objectives. Two, commitment of the beneficiaries/contractors to see the training provided through to the end. Three, the year on year budget provisioning to do the necessary to achieve the set targets. Four, the coming together with other departmental programmes in exploration of avenues where CDP beneficiaries/contractors could possibly derive benefit from building and/or maintenance projects that are in the pipeline and finally, projects and activities happening in areas allowing for CDP beneficiaries/contractors to access work opportunities”.

However, the respondent emphasised “that the CDP training provided, by no means should be inferred as a guaranteed access to building and/or maintenance projects. To this end, it merely facilitates development of contractors and interactions with relevant industry players”, also shown in Figure 4d and discussed in Chapter Two, section 2.9.

To the in-depth Question 13, **“What tracking system is in place to ensure that the CDP impact reaches all intended beneficiaries?”**, the respondent stated:

“We have and manage a database housing CDP beneficiary/contractor information. Something we’ve recently initiated was to create a WhatsApp group for CDP beneficiaries at the commencement of training. By so doing, those who chose to keep in touch with us and fellow peers, after the conclusion of the training, could do so, if they so preferred. Admittedly our tracking system is not the best, but we do what we can with the resources at our availability and room for improvement is always welcome. Central to keeping in touch with past CDP beneficiaries is being informed of any changes to their contact details. From time to time, efforts of the CDP Team to keep in touch with CDP beneficiaries/contractors is exacerbated when not informed of changes to past CDP beneficiary contact details”.

Whilst it is not uncommon for contractors to periodically relocate in pursuit of work opportunities, not having correct contact details of beneficiaries exacerbates any efforts to remain in contact. Notwithstanding, that we endeavour to maintain some level of contact with our past CDP beneficiaries/contractors through the tracking system we have in place, but unless CDP beneficiaries inform us of changes to their contact information, a strong likelihood looms, whereby contact with such may be lost along the way.

The results from the semi-structured interviews conducted used in telephone interviews provided a good overview of the current state as it relates to the effectiveness of the CDP and its impact on its beneficiaries however the sampling population was small and not generalisable to all contexts of the CDP's. The response provided substantiates the importance of programme monitoring and evaluation, also discussed in Chapter Two, section 2.5.

#### **4.7. Interpretation of findings**

Chabane also implies that the planning of resource allocation, budgeting and reporting should be coordinated for programme outcomes to yield the intended results (DPME National Evaluation Policy Framework, 2011), the WC DTPW's CDP anticipated this. It aimed for programme relevance, efficiency, effectiveness, utility and sustainability, as prescribed by the DPME National Evaluation Framework, and used to interpret the findings of this study, as discussed in Chapter Two, section 2.5. This study has focussed on the effectiveness of the CDP for direct and indirect beneficiaries and whether the outputs of the CDP led to the intended outcomes and stated objectives.

Assessment of the effectiveness of the CDP was based on the answers of CDP beneficiary respondents, and the virtual interview with the CDP coordinator who said that "the former CDP



beneficiaries themselves [were] recommending the CDP to other potential CDP participants/emerging contractors”, so that many contractors became participants of the CDP programmes “based on word of mouth referrals.

Feedback and suggestions received from CDP beneficiaries at the conclusion of the CDP usually contributes to adjustments and/or improvements in future CDP training offerings. Where possible, the inputs received, suggested content revisions and improvements are incorporated into future CDP training offerings. The findings of the study show that contact between CDP beneficiaries and other programmes within the WC DTPW was facilitated, creating potentially mutual beneficial opportunities arising from activities that formed part of the WC DTPW programmes but were not in the EPWP. This means that the potential of the CDP to succeed was high given the commitment from the WC DTPW to align the programme objectives of the CDP with that of other programmes through its strategic and annual plans, budgeting/resource allocation planning, implementation monitoring and outcomes evaluations throughout the lifespan of a policy/project/programme, as discussed in Chapter Two, section 2.6.

Collaboration with partnering programmes also aided the CDP to reach its intended programme outcomes. Chapter Two, section 2.6 also noted that a results-based management approach contributed to the realisation of the intended programme outcomes. The major factors influencing the achievement of the CDP’s objectives were: 1) team commitment and passion to drive the programme aims and objectives; 2) commitment of the beneficiaries/contractors to see the training provided through to the end; 3) the year-on-year budget provisioning to carry out what was necessary to achieve the set targets; 4) the collaboration with other departmental programmes to explore avenues from which CDP beneficiaries/contractors could derive benefit from forthcoming building and/or maintenance projects; 5) projects and activities in local areas

that allowed CDP beneficiaries/contractors to access nearby work opportunities. All these are believed to have contributed to the realisation of the CDP aims.

The findings also indicate that external factors, including political factors, safety and security, economic and environmental conditions all influenced the extent to which the CDP was able to achieve the stated objectives. The overall conclusion from the results presented is that in terms of effectiveness, the CDP fared acceptably in line with the evaluation standards of the DPME National Evaluation Framework (DPME, National Evaluation Framework Policy, 2011; Chianca, 2008; Makiva, 2019).

Table 8 below provides a summary of the performance of the CDP offered by the WC DTPW.

**Table 8: Summative evaluation of the CDP using DPME National Evaluation Policy Framework (NEPF)**

CRITERION	KEY QUESTIONS	DEF	EXAMINATION
<b>RELEVANCE</b>	Is the intervention doing the right thing?	“The extent to which the intervention objectives and design respond to the needs of beneficiaries, global, country, and partner/institution needs, policies, and priorities, and continue to do so if circumstances change” (DPME NEPF, 2019).	<ul style="list-style-type: none"> <li>• Contact between CDP beneficiaries and other programmes within the WC DTPW was facilitated.</li> <li>• Collaboration with partnering programmes were facilitated.</li> <li>• A results-based management approach contributed to the realisation of the intended programme outcomes.</li> <li>• Team commitment and passion to drive the programme aims and objectives was stated.</li> <li>• Commitment of the beneficiaries/contractors to see the training provided through to the end was stated.</li> <li>• The year-on-year budget provisioning to carry out what was necessary to achieve the set targets were provided.</li> <li>• The collaboration with other departmental programmes to explore avenues from which CDP beneficiaries/contractors could derive benefit from forthcoming building and/or maintenance projects was established and encouraged;</li> <li>• Projects and activities in local areas that allowed CDP beneficiaries/contractors to access nearby work opportunities was accessible.</li> </ul> <p>All these are believed to have contributed to the realisation of the CDP aims. Therefore, based on the results of the study, the CDP in terms of relevance, fared acceptable (DPME, National Evaluation Framework Policy, 2011; Chianca, 2008; Makiva, 2019).</p>

CRITERION	KEY QUESTIONS	DEF	EXAMINATION
<b>EFFECTIVENESS</b>	Is the intervention achieving its objectives	“The extent to which the intervention achieved, or is expected to achieve, its objectives, and its results, including any differential results across groups. Analysis of effectiveness involves taking account of the relative importance of the objectives or results” (DPME NEPF, 2019).	<ul style="list-style-type: none"> <li>• In terms of their development as contractors, CDP beneficiaries felt that they were to a moderate and great extent positively impacted by the CDP.</li> <li>• In terms of the development of CIDB level 3-5 contractor businesses, the efforts by the WC DTPW, whilst supportive to the empowerment of CDP beneficiaries, were not the sole cause of the development of CIDB level 3-5 contractor businesses.</li> <li>• In terms of feeling satisfied with the CDP as it relates to their development as contractors, Some CDP beneficiaries felt generally satisfied and others felt satisfied to a moderate and great extent.</li> <li>• CDP respondents felt that they were to a moderate and great extent positively impacted by the CDP.</li> <li>• CDP respondents felt that training provided improved their cash flow and ability to keep people employed.</li> <li>• CDP respondents felt that mentors assigned to them were knowledgeable and accessible.</li> <li>• CDP respondents not only had their access to work opportunities improved, but they could also provide employment opportunities to other unemployed individuals.</li> </ul> <p>The overall conclusion from the results presented is that in terms of effectiveness, the CDP fared acceptably in line with the evaluation standards of the DPME National Evaluation Framework (DPME, National Evaluation Framework Policy, 2011; Chianca, 2008; Makiva, 2019).</p>

<b>CRITERION</b>	<b>KEY QUESTIONS</b>	<b>DEF</b>	<b>EXAMINATION</b>
<b>EFFICIENCY</b>	How well are resources being used?	“The extent to which the intervention delivers, or is likely to deliver, results in an economic and timely way. “Economic” is understood as the conversion of inputs (funds, expertise, natural resources, time, etc.) into outputs, outcomes and impacts, in the most cost-effective way possible, as compared to feasible alternatives in the context. “Timely” delivery is within the intended timeframe, or a timeframe reasonably adjusted to the demands of the evolving context” (DPME NEPF, 2019).	<ul style="list-style-type: none"> <li>• Commitment by the WC DTPW to allocate the annual budget provision to implement the CDP.</li> <li>• There was alignment between the planning of resource allocation, budgeting to realise the programme outcomes.</li> <li>• Efforts by officials within the EPWP CDP to drive the CDP objectives through collaboration with other programmes within the WC DTPW, improving access to funding of other programmes in the Department.</li> <li>• The commitment of the WC DTPW to reprioritise budgets during the adjustment period if required to fulfil the project aims and objectives of the CDP.</li> </ul> <p>Therefore, based on the results of this study, efficiency was substantiated and the CDP faired acceptably in line with the evaluation standards of the DPME National Evaluation Policy Framework (DPME, National Evaluation Framework Policy, 2011; Chianca, 2008; Makiva, 2019).</p>
<b>UTILITY</b>	What difference does the intervention make?	“The extent to which the intervention has generated or is expected to generate significant positive or negative, intended or unintended, higher-level	<ul style="list-style-type: none"> <li>• The CDP respondents’ access to work opportunities improved, and they could also provide employment opportunities to persons who were considered otherwise unemployed.</li> <li>• Income potential increased with the improvement of CDP beneficiaries’ CIDB level grading status improvements.</li> </ul>

CRITERION	KEY QUESTIONS	DEF	EXAMINATION
		<p>effects. Utility addresses the ultimate significance and potentially transformative effects of the intervention. It seeks to identify social, environmental and economic effects of the intervention that are longer term or broader in scope than those already captured under the effectiveness criterion” (DPME NEPF, 2019).</p>	<ul style="list-style-type: none"> <li>• External factors, including political factors, safety and security, economic and environmental conditions all influenced the extent to which the CDP was able to achieve the stated objectives.</li> <li>• Explicitly stated was that the CDP intervention alone could not claim utility.</li> <li>• The CDP outcomes reached the majority of CDP respondents (83 percent), however not all intended beneficiaries (17 percent). Reasons included budgetary, training attendance by contractors and, human resource limitations.</li> </ul> <p>Therefore, based on the results of this study, using the evaluation standards of the DPME National Evaluation Policy Framework (DPME, National Evaluation Framework Policy, 2011; Chianca, 2008; Makiva, 2019), the performance of the CDP is regarded as being fair.</p> <p>Important to note however is that the result could not be proved without including other variables, that was not within the scope of this study.</p>
<b>SUSTAINABILITY</b>	Will the benefits last?	“The extent to which the net benefits of the intervention continue or are likely to continue. This includes	<ul style="list-style-type: none"> <li>• CDP respondent’s provided varying responses as key highlights and lessons being learned which had contributed to the sustainability of their construction businesses because of their experience on the CDP.</li> </ul>

CRITERION	KEY QUESTIONS	DEF	EXAMINATION
		<p>an examination of the financial, economic, social, environmental, and institutional capacities of the systems needed to sustain net benefits over time. Involves analyses of resilience, risks and potential trade-offs. Depending on the timing of the evaluation, this may involve analysing the actual flow of net benefits or estimating the likelihood of net benefits continuing over the medium and long-term” (DPME NEPF, 2019).</p>	<ul style="list-style-type: none"> <li>• Three respondents echoed the importance of planning provision for contingency for activities and or eventualities otherwise unforeseen; two respondents echoed interpersonal skills, relationship building and fostering as a key lesson learnt from their experience of the CDP that enhanced the sustainability of their businesses.</li> <li>• CDP respondents perceived an impact as a result of the CDP as it relates to the sustainability of their construction industry businesses, with some respondents experiencing the impact either to a greater or lesser extent than others.</li> <li>• Therefore, based on the results of this study sustainability was substantiated using the evaluation standards of the DPME National Evaluation Policy Framework (DPME, National Evaluation Framework Policy, 2011; Chianca, 2008; Makiva, 2019). However, important to note is that further variables would need to be considered to determine causality.</li> </ul>

Table 8 above, using the DPME National Evaluation Framework, provides a summary of the performance of the CDP in terms of programme relevance, effectiveness, efficiency, utility and sustainability. The ensuing paragraphs discuss the results of the examination as summarised in Table 8 above.

The researcher focussed on the question whether the CDP was effective in achieving its intended outcomes and impact anticipated in the programme rhetoric. In the instance of 1) - whether the CDP had been effective in achieving its intended outcomes and impact anticipated in the programme rhetoric – its effectiveness was substantiated. The CDP beneficiaries who participated in this study felt that they were to a moderate and great extent positively impacted by the CDP in their development as contractors.

Whilst 43 percent of CDP beneficiary respondents felt generally satisfied (14 percent to a moderate extent and 29 percent to a great extent), the majority of respondents (57 percent) indicated that they were satisfied only to some extent with their development as contractors. This raises the question as to what may have contributed to this response.

The CDP targets included learner contractor development, skills development for smaller contractors, enterprise development, performance improvement for more established contractors, as discussed in Chapter Two, section 2.12 under sub-section 2.12.4. In the instance of 2) – whether respondents felt that the CDP intervention had worked - the results of the telephone interviews with the CDP beneficiaries indicate that CDP respondents were to a moderate and great extent positively impacted by the CDP.

In terms of the employability of CDP beneficiaries and their ability to provide work opportunities for other otherwise unskilled and semi-skilled labour groups, the study discovered that not only had the CDP respondents' access to work opportunities improved, but



they could also provide employment opportunities to between six and 36 persons who were considered otherwise unemployed. This was the subject of this chapter. However, the results cannot be generalised to circumstances beyond the parameters of this study.

In terms of the development of CIDB level 3-5 contractor businesses, this study discovered that efforts by the WC DTPW, whilst supportive to the empowerment of CDP beneficiaries, were not the sole cause. Respondents elaborated on measures that supported the development of CIDB level 3-5 contractor business independence and self-sufficiency such as criteria provided by various government departments to contractors on how to tender successfully for government contracts and the shorter time, usually within 30-days that invoices submitted for payments by contractors, were processed. This improved their cash flow and ability to keep people employed. This was also discussed in this chapter.

With regard to 3) – whether the impact was solely attributable to the CDP under review – the telephone interview with the CDP coordinator stressed that the CDP intervention alone could not make such a claim.

In the researcher's opinion, the design and aim of the CDP, stemming from the National EPWP job and work opportunities creation imperatives, contributed to creating an enabling environment conducive to the absorption of emerging contractors into the construction industry labour market (Dapaah et al. 2017). Chapter Two, section 2.10 dealt with this matter.

In terms of whether these outcomes reached all intended beneficiaries, the fact that it did not, was explicitly stated. Reasons included budgetary and, human resource limitations. The idea of a dialectic in the mentorship component of CDP skills development programmes (Dapaah et al. 2017; Mayombe, 2009), could not be supported by this study. Results from the findings of this study from CDP respondents stated that mentors assigned to them were

knowledgeable and accessible. This further substantiated McConnell's (2009) work, which postulated the potential of innovation to promote policy outcomes, as were views shared by the researcher given the results presented in this chapter.

In terms of 5) – whether these impacts not reaching all intended beneficiaries, what the reason for this was – the telephone interview with the CDP Coordinator found that even if the results at times were limited by the previously mentioned external factors, as far as was possible there was alignment between the planning of resource allocation, budgeting and reporting to realise the programme outcomes. There were also efforts by officials within the EPWP CDP Programme to drive the CDP objectives through collaboration with other programmes within the WC DTPW in order to reach all intended beneficiaries and was noted in this chapter .

External factors discussed by Makiva et al. (2019) above could deepen challenges such as chronic unemployment faced by HDIs who already suffer the effects of continued obstacles to the developmental outcomes in general and the development of their businesses in particular (StatsSA, QLFS, 2019). In this regard, in the researcher's view was the CDP Team's commitment and passion to drive the programme aims and objectives, the commitment of the CDP beneficiaries/contractors to comply with the criteria for the training, the annual budget provision to implement the CDP, and the collaboration between the EPWP and other departmental programmes to streamline job creation imperatives were encouraging.

Both enabling and constraining factors influenced the CDP to make an impact. One positive factor is the desire to reach beyond the constraining factors, also mentioned by McConnell (2009) and discussed in Chapter Two, section 2.2. This emphasised the need to positively impact the livelihoods of youth at a local level through policy, programme and project evaluation conducted throughout the life cycle of policy, programme and/or project implementation (McConnell, 2009; Cloete, et al. 2014). By doing so, it is possible to bring

about positive changes to the socio-economic challenges faced by South Africa today. This does not mean that it will be possible to satisfy all stakeholders fully (Kusek & Rist, 2004 cited in Cloete, et al. 2014), as discussed in Chapter Two, section 2.2.

#### **4.8. Summary**

Chapter Four described the process used to collect and analyse the data collated. To recap, the independent variables were 1) the development of contractors and 2) the development of sustainable enterprises in the construction industry; the dependent variable was the Contractor Development Programme offered by the Western Cape Department of Transport and Public Works. The unit of analysis was the contractors. The researcher followed the quasi-experimental design, with a qualitative approach to collect data as cited by Mouton (2001). Using purposive sampling techniques, 13 relevant research participants and the programme coordinators were approached in accordance with permissions obtained from the research ethics committee and research participants. Semi-structured interview schedules were created and distributed to garner participation and the collection of the required data for the purposes of this study. This Chapter presented and interpreted the research findings from the data collated of the semi-structured interview schedules used as the data collection tools. The next chapter will summarise, conclude this study and make recommendations.

## **CHAPTER FIVE**

### **SUMMARY, CONCLUSION AND RECOMMENDATIONS**

#### **5.1. Introduction**

Chabane encourages the use of evaluation because their results can improve the planning of public sector policies, programmes and/or projects (DPME National Evaluation Policy Framework, 2011). He means that there must be alignment between the planning of resource allocation, budgeting and reporting if programme outcomes are to succeed, as discussed in Chapter Two, section 2.5.

#### **5.2. Summary of the study**

Chapter One provided the background, problem statement, research aims, methodology, design and methods of the study. Chapter Two reviewed extant literature on legislative and theoretical frameworks as they relate to programme evaluation. Chapter Three provided the research design, data collection procedures, methods, data analytical tools and described the data gathering process used for this study. Chapter Four presented and analysed the research findings and discussed the interpreted research results. Chapter Five made recommendations, summarised and concluded the study.

The purpose of this research was to examine the effectiveness of the CDP by examining the extent of its impact on the CDP beneficiaries as it relates to the CDP's intended outcomes of contractor development, their employability as contractors and their ability to employ other otherwise unskilled and semi-skilled labour groups and the development of their businesses in the construction industry. Most CDP beneficiary respondents felt that the CDP impacted their development as contractors to both a moderate, (86 percent) and to a great extent (14 percent). As for support to their businesses, the sense the researcher derived from CDP beneficiaries, similarly from the CDP coordinator, was that the implementation of the CDP was not a sole

cause of how their businesses fared. Some CDP beneficiaries suggested that their own drive and determination along with supportive measures such as information on tendering criteria provided by various government departments to contractors on how to successfully vie for government contracts and the shorter time, usually within 30 days, for the processing of invoices submitted to departments contributed to the development of their businesses.

### **5.3. Conclusion**

The results of the main research findings are that the CDP indeed impacted on the development of CDP beneficiaries as contractors, their employability and their ability to employ other otherwise unskilled and semi-skilled labour groups from the targeted unskilled and semi-skilled labour groups. Research results indicated that the CDP impacted the development of sustainable CDP beneficiary businesses mostly to some extent. Some respondents experienced the impact to a greater extent, and others to a lesser extent.

It is the opinion of the researcher that coordination and collaboration should be strengthened, possibly by lobbying appropriate funders and establishing funding mechanisms. Future scholars interested in the advancement of the study terrain could investigate this. However, the biggest challenge to the effectiveness of the CDP to achieve its intended outcomes remains unpredictable external factors such as political, socio-economic and environmental developments that could have detrimental effects on the successful roll out of the CDP.

It is the opinion of this researcher that the recommendations above have the unique potential to meaningfully narrow the gap in the body of knowledge. Other researchers could examine more closely the expectations of the intended target groups as they relate to such government programmes, and use that knowledge to improve and/or refine the CDP where necessary.

#### **5.4. Research recommendations**

Recommendations emanating from the discussions interpreted of the findings of this study in Chapter Four are as follows:

As it relates to the extent to which the CDP impacted on CDP respondents' development as contractors, their employability and their ability to provide work opportunities to otherwise unskilled and semi-skilled labour groups, and the development of CIDB level 3-5 contractor businesses in the construction industry, a recommendation would be for future scholars in this field to investigate the status quo of CDP beneficiaries to understand what factors advance or constrain their ability to successfully perform in the construction industry. This investigation could enhance public service delivery and attract the interest of targeted groups to explore similar government interventions.

The study found that the CDP's reach in terms of developing contractors was clearly effective and impactful. To extend the value for money invested in those CDP beneficiaries who had gone before, this study recommends exploration of avenues where CDP beneficiaries, now sustainable contractors in the construction industry, are incentivised to transfer their acquired skills in the manner of a mentor. In the light of the largest employment contraction observed in the construction industry during Quarter 1 of 2019, such action could maximise the effects of the CDP on otherwise unskilled and semi-skilled target groups in the construction industry. This study recommends that future researchers should consider an exploratory study to determine appropriate avenues through which this action could be made possible.

Another recommendation is to create an environment between established contractor and CDP beneficiaries to go beyond a purely mentoring relationship. Subject to satisfactory completion of the CDP, the developing contractor could subcontract to a different mentor's

construction business. This would require safeguards against preferential treatment. Future researchers could conduct a feasibility and impact assessment to determine its viability.

To enhance public service delivery, given that 83 percent of CDP respondents stated that they knew of fellow beneficiaries who did not benefit from the CDP for various reasons, a recommendation for future scholars in this field would be to explore opportunities to incentivise previous CDP beneficiaries who have become sustainable contractors to transfer their acquired skills as mentors. This could maximise the effects of the CDP on otherwise unskilled and semi-skilled target groups.

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**ANNEXURE A: Semi-structured interview schedule distributed to the CDP Beneficiaries of the Contractor Development Programme (CDP) offered by the WC DTPW**

**A. Informed consent**

1. I freely and voluntarily agree to participate in this study which was explained to me in a language that I understand.	
Agree <input type="checkbox"/>	Disagree <input type="checkbox"/>

**B. Demographics**

1. What is your gender?				
Male <input type="checkbox"/>		Female <input type="checkbox"/>		
Other <input type="checkbox"/> Please specify: _____				
2. Which of the following categories best describe your age?				
25-30 <input type="checkbox"/>	31-35 <input type="checkbox"/>	36-50 <input type="checkbox"/>	50-60 <input type="checkbox"/>	60+ <input type="checkbox"/>
3. What is your ethnicity?				
Black <input type="checkbox"/>	Mixed race <input type="checkbox"/>	Indian <input type="checkbox"/>	White <input type="checkbox"/>	Other <input type="checkbox"/> Please specify: _____

4. Which of the following categories best describe your CIDB grade before participating on the CDP?				
1-2  <input type="checkbox"/>	3-5  <input type="checkbox"/>	6-9  <input type="checkbox"/>	Other  <input type="checkbox"/>  Please specify: _____ _____	
5. Specify the number of people under your employ?				
6. Which of the following categories best describe the age categories of the persons employed in your company?				
25-29  <input type="checkbox"/>	30-35  <input type="checkbox"/>	36-45  <input type="checkbox"/>	46-60  <input type="checkbox"/>	60+  <input type="checkbox"/>

**C. The Contractor experience on the Contractor Development Programme (CDP)**

1. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate the extent to which the CDP impacted your development as a contractor in the Construction industry?				
1. Not at all  <input type="checkbox"/>	2. small extent  <input type="checkbox"/>	3. some extent  <input type="checkbox"/>	4. moderate ext.  <input type="checkbox"/>	5. great extent  <input type="checkbox"/>
2. If you answered Not at all to the above question, please explain why in the space provided below?				

3. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate the extent to which the CDP supported your business in the construction industry?				
1. Not at all <input type="checkbox"/>	2. small extent <input type="checkbox"/>	3. some extent <input type="checkbox"/>	4. moderate ext. <input type="checkbox"/>	5. great extent <input type="checkbox"/>
4. If you answered Not at all to the above question, please explain why in the space provided below? <hr/> <hr/>				
5. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate the extent to which your expectation of the CDP was met?				
1. Not at all <input type="checkbox"/>	2. small extent <input type="checkbox"/>	3. some extent <input type="checkbox"/>	4. moderate ext. <input type="checkbox"/>	5. great extent <input type="checkbox"/>
6. If you answered Not at all to the above question, please explain why in the space provided below? <hr/> <hr/>				
7. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate your level of satisfaction with the impact of the CDP on your development as a contractor in the Construction Industry?				
1. Not at all satisfied <input type="checkbox"/>	2. Satisfied to a small extent <input type="checkbox"/>	3. Satisfied to some extent <input type="checkbox"/>	4. Satisfied to a moderate extent <input type="checkbox"/>	5. Satisfied to a great extent <input type="checkbox"/>
8. If you answered Not at all satisfied to the above question, please explain why in the space provided below? <hr/> <hr/>				

9. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate to what extent has the CDP impacted the sustainability of your business in the construction industry?

1. Not at all <input type="checkbox"/>	2. small extent <input type="checkbox"/>	3. some extent <input type="checkbox"/>	4. moderate ext. <input type="checkbox"/>	5. great extent <input type="checkbox"/>
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10. If you answered Not at all satisfied to the above question, please explain why in the space provided below?

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11. To what extent do you believe the CDP impacted on your development as a Contractor?

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12. To what extent do you believe the CDP impacted on the development of your business in the construction industry?

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13. Do you know of fellow beneficiaries who benefitted of the CDP? If so, explain?

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14. Do you know of fellow beneficiaries who did not benefit of the CDP? If so, explain?

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15. What were the key highlights from your experience on the CDP attributable to the sustainability of your business in the construction industry?

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16. What were the key lessons learnt from your experience on the CDP attributable to the sustainability of your business in the construction industry?

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**ANNEXURE B: Semi-structured interview schedule distributed to the Programme Coordinator of the Contractor Development Programme (CDP) offered by the WC DTPW**

**A. Informed consent**

2. I freely and voluntarily agree to participate in this study which was explained to me in a language that I understand.	
Agree  <input type="checkbox"/>	Disagree  <input type="checkbox"/>

**B. The Programme Coordinator of the Contractor Development Programme (CDP)**

17. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate the extent to which the CDP succeeded in its intent to develop contractors for the construction industry from 2015-2018?				
1. Not at all  <input type="checkbox"/>	2. small extent  <input type="checkbox"/>	3. some extent  <input type="checkbox"/>	4. moderate ext.  <input type="checkbox"/>	5. great extent  <input type="checkbox"/>
18. Briefly explain your selection for the above question in the space provided below? <hr/> <hr/>				
19. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate the extent to which the CDP impacted on the development of contractors in the construction industry from 2015-2018?				
1. Not at all  <input type="checkbox"/>	2. small extent  <input type="checkbox"/>	3. some extent  <input type="checkbox"/>	4. moderate ext.  <input type="checkbox"/>	5. great extent  <input type="checkbox"/>
20. Briefly explain your selection for the above question in the space provided below? <hr/> <hr/>				

21. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate the extent to which the impact of the CDP reached the beneficiaries from 2015-2018?				
1. Not at all	2. small extent	3. some extent	4. moderate ext.	5. great extent
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
22. Briefly explain your selection for the above question in the space provided below?				
<hr/>				
<hr/>				
23. On a scale of 1-5, with 1 = being not at all and 5 being = to a great extent, please indicate to what extent has the CDP impacted the development of sustainable businesses in the construction industry?				
1. Not at all	2. small extent	3. some extent	4. moderate ext.	5. great extent
<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
24. Briefly explain your selection for the above question in the space provided below?				
<hr/>				
<hr/>				
25. Do you believe that the impact of the CDP reached all the intended beneficiaries? Briefly explain your answer in the space provided below?				
<hr/>				
<hr/>				
26. To what extent do you believe the CDP impacted on the development of businesses in the construction industry? Briefly explain your answer in the space provided below?				
<hr/>				
<hr/>				



27. What factors influenced the CDP to achieve the intended impact for all the intended beneficiaries from 2015-2018? Briefly explain your answer in the space provided below?

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28. Describe and explain the key success factors which influenced the CDP to achieve the intended impact from 2015-2018?

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29. What tracking system is in place to ensure that the CDP impact reaches all intended beneficiaries?

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