

**INSTITUTIONALIZATION OF IMPACT
EVALUATION: OPPORTUNITIES AND
CHALLENGES IN THE MAURITIAN CIVIL
SERVICE**

By

Mrs. Rooba Yanembal Moorghen

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ABSTRACT

This study explores the opportunities and challenges surrounding the institutionalization of Impact Evaluation as a policy instrument in Mauritius' Civil Service. Although there has been continuous expansion of evaluation practice around the world since the 1920s, in many countries, particularly in the developing world, not much progress have been made by developing countries to adopt evaluation into their approach to governance and policy-making.

Thus, this study examines the role that evaluation and impact evaluation might play in the wider context and processes of government using the Civil Service of Mauritius as a case study. The research examines the perceived importance of evaluation to the policy-making process within the Mauritian Civil Service, the role 'impact evaluation' plays in practice within the Mauritian Civil Service, and the challenges that present themselves while seeking to institutionalize impact evaluation within this context.

Data were collected using a triangulated approach: interviews provided the main sources of evidence and were conducted with Ministers, former Ministers, Permanent Secretaries, Senior Chief Executives, Heads of Departments from the public, private sector, academic and Research Institutions Trade Unions and Consumer Associations, Development partners based in Mauritius. This data was supplemented with informal discussions and a document analysis. =

The findings were analysed using a conceptual framework blending policy Evaluation performance cycle, the Advocacy Coalition Framework and the demand and supply framework as a theoretical lens.

The key findings are that policy evaluation including impact evaluation, is indeed potentially valuable and important at any stage of a policy's life cycle. However, political economy of a country, insufficient technical capacity, the limitations of public officials, and funding are potential constraints. The thesis has implications for developing countries, in particular small island developing states. The findings raise several issues to assist policy makers and practitioners and could contribute to future developments of the Advocacy Coalition Framework.

DEDICATION

To my mum and brother Vishnou, who unfortunately passed away during my study period
May their souls rest in peace!

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LIST OF ABBREVIATIONS

ACET	The African Centre for Economic Transformation
ACF	Advocacy Coalition Framework
ADB	African Development Bank
AEG	African Evaluation Guidelines
AFD	Agence Francaise de Developpement
AFreA	African Evaluation Association
APRM	African Peer Review Mechanism
AU	African Union
CEDAW	Convention on the Elimination of all Forms of Discrimination Against Women
CLEAR	Centre for Learning and Evaluation and Results
COA	Chart of Accounts
COMESA	Common Market for Eastern and Southern Africa
CSO	Central Statistics Office
DAC	Development Assistance Committee
DFID	Department for International Development
DIME	Development Impact Evaluation Initiative
DOA	Director of Audit
EAC	East African Community
EGDI	E-Government Development Index
EPZ	Export Processing Zone
ESTP	Economic Social Transformation Plan
EU	European Union
FAO	Food and Agriculture Organization
GDP	Gross Domestic Product
GNI	Gross National Income
GNP	Gross National Product
HR	Human Resource
ILO	International Labour Organization
IMF	International Monetary Fund
JEC	Joint Economic Council
JICA	Japanese Institute Corporation Agency
LMICs	Low and Middle Income Countries
M&E	Monitoring & Evaluation
MTCI	Ministry of Technology, Communication and Innovation
MCSA	Ministry of Civil Service and Administrative Reforms
MDGs	Millennium Development Goals
MEPD	Ministry of Planning and Economic Development and Regional Co-operation
MIH	Mauritius Institute of Health
MOFED	Ministry of Finance and Economic Development
MOH	Ministry of Health and Quality of Life

MRC	Mauritius Research Council
MUR	Mauritian Rupees
NAO	National Audit Office
NAS	National AIDS Secretariat
NEPAD	New Partnership for Africa's Development
NESC	National Economic and Social Council
NGOs	Non-Governmental Organizations
NONIE	The Network of Networks on Impact Evaluation
OECD	Organization for Economic Co-operation and Development
OPSG	Office of Public Sector Governance
PAC	Public Accounts Committee
PBB	Programme Based Budgeting
PFM	Public Financial Management
PMO	Prime Minister's Office
PMS	Performance Management System
PRB	Pay Research Bureau
PSC	Public Service Commission
PSIP	Public Sector Investment Programme
RMCE	Regional Multi-Disciplinary Centre of Excellence
SADC	Southern African Development Community
SAI	Supreme Audit Institution
SDS	Service Delivery Surveys
SIDS	Small Island Developing States
SMST	Sector Ministry Support Teams
SOAS	School of African and Oriental Studies
TAS	Treasury Accounting System
UFE	Utilization Focused Evaluation
UNCTAD	United Nations Conference on Trade and Development
UNDESA	United Nations Department of Economic and Social Affairs
UNDP	United Nations Development Programme
UNGASS	United Nations General Assembly Special Session
UNICEF	United Nations Children's Emergency Fund
UOM	University of Mauritius
USA	United States of America
VAT	Value Added Tax
VOPEs	Voluntary Organizations of Professional Evaluators
WB	World Bank
WHO	World Health Organization
3ie	The International Initiative for Impact Evaluation

CHAPTER 1 - INTRODUCTION

1.1 The Thesis Background

This thesis explores the state of impact evaluation in the Mauritian Civil Service based on evaluation practices identified in western literature. As Chelimsky (1995) explains, evaluation is not new. Since the 1920s, if not before, there has been a process of continuous expansion of evaluation practices around the world, particularly in developed countries such as the United States, Switzerland, Canada, France, Australia, and Great Britain. There was also a growing interest in ‘impact evaluation’ brought about by the emphasis on the ‘results agenda’ in international development. White (2014) has argued that, during the last ten years, the number of published studies on impact evaluation has risen from less than 20 before 2004 to at least 120 per year in 2012.

Impact evaluation covers a wide range of applications, including social protection initiatives, infrastructure, education and health care. Thomas (2014) gave an illustration of impact evaluation in relation to the Philippines’ conditional cash transfer programme, which started with 6,000 households in 2008 and had been extended to cover more than 3 million households by 2013.

Evaluation is increasingly seen as a public good; as an activity aimed at the betterment of society by establishing social change. This is then translated into enhanced accountability and acts as a

tool for the better management of scarce resources and, more generally, good governance (Segerholm, 2003). Evaluation has thus become an integral part of policies, programmes and projects in order to achieve credibility and public trust. Evaluation is a powerful tool for understanding what works, what does not, and the reasons why (Mackay, 2000). International institutions such as the World Bank and related international banks have all notably increased their use of evaluation tools.

The rise and expansion of Evaluation Associations at local, regional and international levels brings together evaluators, policy analysts, auditors, and researchers involved in knowledge production and diffusion. House (1993) claims that evaluation emerged as a formal field of practice over the past three decades and Evaluation Societies/Associations have sprung up around the world, publishing books and journals, giving out awards, hosting conferences and setting evaluation standards. According to a survey undertaken by IOCE (2010), there are now around 75 Evaluation Associations, including twelve regional ones.

In addition, many Government Departments worldwide, especially in developed countries, have formally adopted Evaluation and Impact Evaluation as part of their reform programme to ensure the effectiveness of their programmes and policies. Many such countries, notably France, Canada, Switzerland, and the United Kingdom, have institutionalized evaluation as a policy instrument to assess the policies, programmes and projects at different stages within the policy life cycle. However, emphasis is also increasingly being placed on ‘post-implementation’ or

Impact Evaluation, an aspect of evaluation that has blossomed in recent years as a potentially powerful tool to establish accountability.

Although the political nature of evaluation is generally acknowledged as an inevitable reality by many evaluators in developed countries, there has been little systematic discussion of the issues arising with evaluation in developing countries and small island developing states. Most of the literature on evaluation in developing countries is produced by, or for, donor agencies such as the World Bank and looks at evaluation from the donors' perspective. It assesses projects that are funded by such donors, many of whom wind down their operations in the respective country once the project is completed (Bamberger, 1991). Hence, there is much less evaluation of how well projects operate, how effectively they are sustained and to what extent they have the intended impact.

Recently, however, some headway has been made in mainstreaming impact evaluation in World Bank supported projects. This has been achieved through the Development Impact Evaluation Initiative (DIME) and by 3IE, an international organization spearheading impact evaluation, which carry out impact assessments of several critical themes across the world. Since 1999, some further headway has also been made on the African continent by the African Evaluation Association (AFReA). This has been in response to the growing demand for information sharing, advocacy and advanced capacity building in Africa. The AFReA has acted as an umbrella organization for more than twenty years. Furthermore, several countries in Latin America, such as Chile, Mexico and Columbia, have recently adopted impact evaluation.

1.2 Statement of the Problem and Research Questions

The set of principles and the benefits arising out of evaluation practice have been widely recognized by developed countries and seem to have offered promising solutions to governments in search of greater efficiency and accountability.

In developing countries, the words ‘monitoring’ and ‘evaluation’ are often used interchangeably but they are quite distinct as they do not have the same purpose. While monitoring is a continuous process, which aims to track changes within a programme, evaluation is a periodic assessment of a planned, ongoing or completed project, looking at the cause and effect of a programme and seeking to identify the changes in outcomes that can be directly attributable to the programme.

In most developing countries, the Auditor General (or equivalent) is responsible for ensuring that the financial reporting system is accurate and transparent and for reassuring the nation that the resources approved by their representatives have been used for the purposes intended. Moreover, the Auditor General carries out audits in line with the terms of his constitutional mandate. Also undertaken are ‘value for money’ audits that inform the Executive about the economy, efficiency and effectiveness with which projects have been executed. Such audits afford governments the opportunity to improve on their performance. In the UK (as in many other countries), there are also Select Committees and Public Accounts Committees (PAC) which act as watchdogs to ensure that public policies and expenditures remain firmly under

parliamentary control. The PAC examines audited accounts as reported by the Director of Audit and such other accounts laid before the Parliament. The Committees have to satisfy themselves that disbursements of public funds comply with regulations and standing orders. They also have to ensure that cases of negative expenditure and financial irregularities are subject to scrutiny. However, the powers of the Auditor General are limited to the powers given to the office by the constitutional mandate and it is the process of evaluation that provides the main opportunity for a review of impacts and the sustainability of programmes/projects.

In addition, budget monitoring allows performance on spending to be tracked against pre-determined expectations during the formative phase of a programme/project. As indicated, evaluation and impact evaluation are quite distinct from monitoring, even though monitoring data is critical for impact evaluation.

If it is assumed that policy evaluation and impact evaluation are desirable and that they should form part of a good policy process to assess effectiveness during the life cycle of programmes, promote stronger accountability, good governance and the judicious use of resources, then there is arguably a serious gap in the policy process of most developing countries. This gap will be especially significant if, as seems to be the case, there is good evidence of the value of evaluation in informing policies at both the conceptual and the instrumental level (Weiss 1980; Patton, 2002).

This thesis thus explores the issues surrounding that apparent gap in the use of policy evaluation and impact evaluation as a proactive policy instrument in public decision-making. In so doing, the thesis explores the factors which influence such initiatives and examines the potential benefits (and pitfalls) which could be derived from an embedded framework of impact evaluation within Government.

Research has shown that several factors account for this gap. Firstly, evaluation is primarily a political activity (Weiss, 1980; Balloch, 2005) and political will, to a great extent, influences the adoption of evaluation as a tool for policy-making within a country. Commitment to transparency and good governance is also a highly political issue. Politicians may favour blurred policies. They may, not wish their decisions to be exposed to assessment, especially if, later, they are shown not to have met their intended objectives. Hence, without a demand for evaluation, there is unlikely to be supply, even if there is a need.

Secondly, administrative staff and policy makers who are responsible for implementation may have to justify adverse reports especially if bounded rationality, public choice theory rationale, demotivation and frustration are the causes. Furthermore, lack of expertise, absence of leadership and a champion to the cause of Impact Evaluation are additional inhibiting factors to favour the institutionalization of impact evaluation in some countries.

Thirdly, there may be constraints in terms of technical systems and expertise that limit the provision of statistical performance data of appropriate quality and quantity. Lack of

performance information and baseline data in respect of policies and programmes can, in some cases, constitute a hurdle quite apart from any dearth of expertise in research and evaluation methodology.

Fourthly, institutional factors such as lack of inter-ministerial cooperation, diverse and competing priorities, and poor coordination between different but inter-related policy areas, may slow progress towards the adoption of evaluation initiatives.

Fifthly, external criticisms from the press and the media, parliamentarians and informed members of the public or trade unions may dampen any appetite for using evaluation to inform and reflect on policy decisions.

Any or all such factors may prove significant in deterring governments from opting to open up the debate on the effectiveness of their programmes and policies and this thesis examines their significance in the context of one Small Island Developing State – Mauritius. This is a state which is well placed in the context of the financial and other reform initiatives being undertaken (including the introduction of Programme-Based Budgeting) to institutionalise impact evaluation and to do so with the support of development partners such as the World Bank and other international agencies.

If it is assumed that the Mauritian Civil Service would not benefit from impact evaluation as a policy instrument and from knowing how well the projects, programmes and policies it has

implemented are working out, then an opportunity has been missed for enhanced public accountability and better governance. The research, thus, sets out to examine the role that impact evaluation might play in the wider context and processes of evaluation in Mauritius as a developing country - now upgraded to a middle income country as well as a small island developing state.

In particular, the thesis addresses the links between continuous monitoring and evaluation and impact evaluation during the different stages of the policy process and the factors, which are most critical in resisting the introduction of impact evaluation as a policy initiative.

The research questions have been framed in order to explore whether the possible reasons summarized above are indeed restricting the process of institutionalization or, if not, find out what other factors might be at work, including perhaps factors specific to developing countries and to Mauritius in particular. The key research questions are:

1. How important is evaluation perceived to be to the policy-making process within the Mauritian Civil Service?
2. What part does 'impact evaluation' play in the workings of the Mauritian Civil Service?
3. What opportunities and challenges present themselves in seeking to institutionalise impact evaluation within the Civil Service in Mauritius?

1.3 Aims and Objectives

The aim of the research is to explore the opportunities and challenges of institutionalizing impact evaluation in the Mauritian Civil Service based on evaluation practices identified in western literature on evaluation. It investigates the policy-making and budgeting processes and identifies both enabling and constraining factors affecting the institutionalization of impact evaluation in Mauritius. In order to do this, the following objectives have been identified:

- to examine the practice of policy-making to understand how policies are formulated, implemented and evaluated throughout the policy cycle;
- to examine the budgeting process, as this is the major vehicle in many countries to provide performance information at different entry points;
- to identify the demand and supply factors of impact evaluation as conditions for the institutionalization of impact evaluation in the Civil Service of Mauritius; and
- to map the state of readiness of evaluation in the Civil Service of Mauritius.

1.4 Organization of the Thesis and Chapter Overview

Following on from this introductory and background chapter, Chapter 2 reviews the literature on evaluation, setting out the complementarities and distinctions among monitoring, auditing and evaluation. The chapter traces the historical evolution and recent trends in evaluation in

developed and developing countries to establish the influence of context on the progress of evaluation in a country, including the uses, methods and values that impact progress.

The uses and benefits of evaluation are taken into account, from both the demand and the supply side, as well as the challenges and constraints inhibiting the development of an evaluation culture. The chapter also discusses the institutionalisation of impact evaluation and the factors that trigger demand and supply of such work, with a particular focus on public sector organizations. It highlights the different factors, which either promote or constrain institutionalisation, including the evaluation culture and the different pathways taken by three countries, namely Chile, Columbia and Mexico.

Chapter 3 focuses on the policy-making process and the different approaches and models discussed in the literature. The chapter examines the complexities of decision making and assesses the factors, both internal and external, which previous research has suggested influences the process at different stages of the policy cycle. The second part of the chapter focuses on budget systems as vehicles used by many developing countries for monitoring the effectiveness of policies. Taken together, the two sections summarize what is already known from previous research and practice about evaluation within the public policy and governance process.

Chapter 4 develops the philosophical grounding for the research. It begins with a review of some of the issues concerning the positioning of the researcher's ontology and epistemological standpoint as a practitioner within the Mauritius Civil Service. The case-study research design

approach and the methods selected for data-gathering are outlined and discussed for what is essentially a qualitative study based on interviews, some of which were conducted with Ministers and Chief Executives. As will be described more fully, the interview subjects included politicians, policy-makers, private sector leaders, representatives of donor agencies, representatives of the European Union and the World Bank as well as academics, members of research institutions and members of consumer associations.

Chapter 5 describes the context for the case study in relation to its geographical location, historical background and economy as a small island developing state, explaining how Mauritius has shifted from being a poor mono-crop economy to one that has won world recognition as a success story. The chapter elaborates on the factors and the conditions affecting impact evaluation relating to institutional structures, including the Parliamentary System and the Executive, which proffer supported strategies for policy change.

Chapter 6 presents and analyses the findings from the empirical research and, in doing so, addresses the key research questions relating to the policy making process and investigate how policies are made and to identify the factors that influence policy making and policy change. The analysis is done through the lens of the Advocacy Coalition Framework and the Rist stagist approach of policy making.

Chapter 7 further, examines the state of evaluation in the Mauritian Civil Service exploring the existing institutional structures of monitoring and evaluation in place. This chapter focuses

firstly, on the institutional frameworks of Monitoring and Evaluation (M&E) mechanisms, establishing the relationship between the roles and responsibilities of various institutions involved in M&E, and demonstrating the ways performance information is shared for decision-making. Secondly, the analysis focuses on Programme Based Budgeting (PBB), which forms the primary instrument of monitoring in the Mauritian Civil Service.

Chapter 8 develops this finding further by analysing the factors, which enable and constrain the institutionalization of impact evaluation within the Civil Service of Mauritius, from the perspectives of both demand and supply and their interaction.

Chapter 9 provides a conclusion to the thesis. It summarizes the key findings, assesses the contribution that the thesis makes to the knowledge and understanding of the subject and reflects on the limitations of the study. The chapter finally considers the lessons learned from the case study and assesses their application to the wider context of developing countries and to good public governance on a global basis.

CHAPTER TWO - EVOLUTION OF EVALUATION, APPROACHES AND INSTITUTIONALIZING IMPACT EVALUATION WITHIN PUBLIC SECTOR ORGANISATIONS

2.1 Introduction

This chapter reviews the evolution of evaluation, and highlights the early historical series of events and decisions with a fundamental bearing on: (1) the professionalisation of evaluation as a movement or practice; and (2) as an explanation of the reasons for, and the context of, how evaluation (and Impact Evaluation in particular) has been adopted within public sector organisations within the context of reform.

This chapter is in four parts. The first part analyses the evolution of evaluation as a practice or movement, from its initiation until the present day. The establishment of this background is significant for establishing the influence of context on the progress of evaluation in a country, including the related parameters influencing such progress. There is also a discussion of a number of interpretations of evaluation in terms of: (1) definitions; (2) models (Shaw, 2000; Shaw et al., 2006); (3) movements (Rist, 1980); (4) waves (Vedung, 2010); (5) generations (Guba & Lincoln, 1981); and (6) the Evaluation Tree (Mark & Christie, 2004; 2006). There is also a discussion of the purposes, benefits and usage of evaluation to establish a beneficial insight into the factors promoting evaluation from a number of different perspectives.

The second part reviews the literature concerning impact evaluation (i.e. the focus of this thesis), and which, although forming one aspect of evaluation, is distinct from other types of evaluation.

It concentrates both on the impact and outcome of a policy, programme and project, along with an assessment of the consequences (both intended and unintended) of an intervention, and specific related methodologies.

The third part discusses the institutionalisation of Impact Evaluation, with a particular focus on public sector organisations. It highlights the different factors, which either promote, or constrain, institutionalisation, and the different pathways adopted.

The fourth part forms a summary of the chapter, and situates the current thesis within the literature.

2.2 Monitoring, Auditing and Evaluation

Monitoring, auditing and evaluation focus on different aspects of managerial accountability, while stressing the different dimensions of governmental performance (Rist, 1989). Prior to discussing the definition of evaluation, a distinction must first be made between monitoring, auditing and evaluation, as (despite being used interchangeably in many contexts) there are a number of marked (although potentially complementary) differences.

Kusek and Rist (2004) and Gertler et al. (2011) differentiated between monitoring and evaluation. They stated that monitoring: (1) clarifies programme objectives (2) sets targets and performance indicators; (3) identifies resources to meet the objectives; and (4) regularly collects

data to monitor performance against set objectives. Thus, monitoring tracks performance against the expected results on a continuous basis, and aims to establish the effectiveness of the programme in achieving the objectives set against the target population, and its fidelity to the original design, i.e. in relation to the activities and the appropriateness of the expenditure of both money and resources (Rossi & Freeman, 1993).

In comparison to evaluation, the history of auditing has taken place over a longer period of time, with its strongest contribution to managerial accountability being through a focus on fiscal or regulatory issues (Rist, 1989). Mayne (2006) stated that there are a number of different types of audit, each having a distinctive role: (1) Financial audit ensures compliance and attestation to financial statements and budgetary operations with respect to the adherence to legal or administrative rules and regulations; (2) Performance audit (also known as value-for-money) assesses the efficiency and effectiveness of performance issues, in order to examine the extent to which policies and programmes meet their intended objectives. Mayne (2006) conceded that effectiveness audits demonstrate a number of similarities with evaluation, as the criteria are to examine the stated objectives and identify the causes of weak performance, by means of an examination of systems and procedures. This is undertaken in a number of countries, e.g. the United States Accounting Office, the United Kingdom Accounting Office and the Swedish Accounting Office. However, further audit offices do not have the degree of mandate given to the audit offices in Canada, New Zealand and Norway, as it is considered that such audits can become assessments of government policy, thus leading to potential political implications.

The Director of Audit (or an equivalent post-holder) is, in most developing countries, responsible for the financial reporting of the reasonableness and fairness of government accounts, in order to reassure the nation that the resources approved by their representatives have been utilised for the purposes intended. Moreover, the Director of Audit undertakes audits in line with the terms of a constitutional mandate. In addition, ‘value-for-money’ audits are also undertaken to inform the executive concerning the economy, efficiency and effectiveness with which projects have been executed. Such audits afford governments the opportunity to improve on their performance. In the UK (as in many other countries), there are also select committees and a Public Accounts Committee (PAC), which act as watchdogs to ensure public policies and expenditure remain firmly under parliamentary control. PAC examines audited accounts, as reported by the Director of Audit, while similar accounts are laid before Parliament, which may refer to the accounts, along with the relative report from the Director of Audit. Such committees need to satisfy themselves that disbursements of public funds are undertaken according to agreed programmes, policies and projects.

Evaluation, on the other hand, evaluates the reasons as to why the intended results were (or were not) achieved, and assesses the specific causal contribution of activities to results. Evaluation thus provides a periodic assessment of a planned policy, programme or project, against set objectives at discrete periods, depending on the type of questions the evaluation seeks to answer. Gertler et al. (2011) argued that evaluation is able to answer three types of questions, i.e. (1) descriptive; (2) normative; and (3) cause and effect. The descriptive question seeks to determine the events taking place, analysing processes, conditions, organisational relationships

and the views of stakeholders. The normative question assesses input, activities and output, and undertakes comparative assessments of the targets set and achieved. The cause and effect question examines outcomes, and assesses the difference the intervention makes to outcomes (Imas and Rist, 2009). Such clarification is important, with monitoring assisting in the planning of programmes, policies and projects, setting baseline data to assist the evaluation.

2.2.1 Definition of Evaluation

There are a number of definitions of evaluation: (1) as an assessment, or a function to determine merit and worth (Rossi, 1986); (2) as a process (Weiss & Bucuvalas, 1980); (3) for evaluation (Patton, 1997; 2002); and as a social activity (Rossi et al., 2004). The root of ‘evaluation’ originates from the French word ‘valeur’ and the Latin word ‘valere’, meaning “to be worth something” (Scriven, 1991) or “to work out the value of something” (Shaw et al., 2006, p.6). From this perspective, evaluation consists of “the process of determining the merit, worth, or value of something, or the product of that process” (Scriven, 1991). Rossi and Freeman (1993) considered ‘evaluation’ to be a social science activity directed at collecting, analysing, interpreting and communicating information concerning the workings and effectiveness of social programmes. It is an aid to: (1) establishing decisions concerning whether programmes should be continued, improved, expanded or curtailed; (2) assessing the utility of new programmes and initiatives of management and the administration; and (3) to satisfy the accountability requirements of programme sponsors (Rossi and Freeman, 1993).

Guba and Lincoln (1981) interpreted the evolution of evaluation from the perspective of four succeeding generations. The first three were characterised as ‘Measurement’, ‘Judgement’ and ‘Description’ in reference to the roles and functions of evaluators operating during specific periods. The fourth method (contrary to previous evaluations) is more participatory in nature and reflects the claims, concerns and issues of stakeholders (Guba & Lincoln, 1981, p. 50).

Patton (1997, p. 23) was committed to the principle of the use of evaluation, defining utilised-focused programme evaluation in relation to its usability for intended users. Rossi (1993) reinforced Patton’s claim that utility forms “the systematic application of social research procedures for assessing the conceptualisation, design, implementation and utility of social intervention programmes”, emphasising that, in this definition, utility refers to both efficiency and effectiveness (cited in Rist & Vedung, 1998, p. 6).

Weiss (1988, p. 4) viewed evaluation from the process perspective as being the “systematic assessment of the operation and/or the outcomes of a programme or a policy, compared to a set of explicit standards, as a means of contributing to the improvement of a programme or policy”. Rossi (2004), on the other hand, viewed evaluation research as a “social science activity directed at collecting, analysing, interpreting and communicating information about the workings and effectiveness of programmes” (Rossi et al., 2004, p. 2).

The Organisation for Economic Co-operation and Development (OECD) defined evaluation in a much broader perspective, as follows:

“...Evaluation is the systematic and objective assessment of an on-going, or completed, project, programme or policy, including its design, implementation and results. The aim is to determine the relevance and fulfilment of objectives, developmental efficiency, effectiveness, impact and sustainability. An evaluation should provide information that is credible and useful, enabling the incorporation of lessons learned into the decision-making process of both recipients and donors”. (Organisation for Economic Co-operation and Development’s Development Assistance Committee. (DAC), 2002, p. 21)

This definition was adopted in the context of the Paris Declaration on Aid Effectiveness, in order to improve the evaluation of the impact of aid from a wider perspective, so as to attain the Millennium Development Goals (MDGs), along with establishing the impact on the welfare of communities, households, and individuals (including taxpayers and voters).

2.2.2 Approaches to Evaluation

Definitions establish only one method of identifying the meaning of evaluation. Derlien (1990) argued that evaluation contains multiple histories, which vary considerably in relation to geography and government, but which have collectively made a significant contribution to the growing diversity in the field, leading to evaluation becoming, within a single generation, an internationally recognised practice (Mark et al., 2006, p. 7). A number of interpretations have established the evolution of the evaluation movement from the historical perspective, primarily since the 1950s, although some countries (known as ‘pioneer counties’) have employed evaluation since the 1920s, e.g. the United States, Canada and a number of European countries (Furubo et al., 2002). These countries have used evaluation in relation to reforms of areas of

education and welfare, in order to control excessive government budgets and expensive social programmes.

Vedung (2010) argued that the first wave of evaluation (labelled as measurement) commenced in the 1950s and was classified as 'science-driven'. It was based on central planning, capitalism and the market economy, in which policy decisions are rigorously tested with a series of methods and experimentation prior to being implemented in 'pioneer' countries. Further countries (e.g. Canada, Sweden, Germany and the United Kingdom), joined the evaluation movement in the 1960s and early 1970s, with a focus on the evaluation of social programmes. However, such evaluations (which consisted of a top down approach) were highly subjective and gradually diminished during the 1970s, giving way to a more participatory model involving stakeholders (Furubo et al., 2002; Guba & Lincoln, 1986; Vedung, 2010).

The second wave of countries had adopted evaluation by the end of the 1980s, in order to review strategies created through budgetary reviews to rationalise the allocation of resources. Evaluation was used as an instrument to advocate the retreat of government and to favour the adoption of private sector principles through privatisation and the deregulation of government activities. In the 1980s, the Neo-Liberal Wave campaigned for market orientation, deregulation and privatisation, employing evaluation to promote accountability, value-for-money and customer satisfaction (Vedung, 2010). From 1990, further developments took place that also characterised evaluation. The original justification for evaluation was to: (1) improve social programmes; and (2) reduce government expenditure by cutting programmes. At the same time,

the reduction of the government's budget gave way to a more fundamental shift in values concerning the role of central government.

The new public management reduced the role of the state, leaving the market mechanism in control. Evaluation has thus been embodied in the 'public management package', i.e. the budget process in many countries has become the most important channel for evaluation information. Finance Ministers became prime movers for evaluation activities (Furubo et al., 2002 p.20). The Thatcher government in the United Kingdom created executive agencies under the 'Next Steps Initiative'. The introduction of results-based management in countries such as Norway and the Netherlands (termed the 'Dialogue-Oriented Wave') was a more democratic process, involving discussion among stakeholders (Bemelmans-Videc, 1992).

In France, evaluation was integrated within the administrative and legal system (Nioche, 2002), with regulatory controls having been previously focussed on compliance. The institutional structure of evaluation in France was effected through a tier-system, in which there was: (1) an international committee of evaluation; (2) a national fund for development evaluation; (3) an interdependent committee; and (4) a scientific committee to regulate the evaluation function.

Around 1995, the 'Evidence Wave' saw a return of experimentation, particularly in the North Atlantic countries, where supporters demanded evidence of 'what works', on which to base government success. Furubo et al. (2002) argued that the evaluation employed during the different waves (or in the pioneer countries) was based on specific contexts to control growing

government budgets and expensive social programmes. These prompted the central government of the United States to adopt evaluation during the 1960s. Similarly, evaluation was used throughout central planning in Germany, and financial planning in the United States, Canada and Sweden.

Each wave cumulatively contributed to the advancement of the evaluation movement. However, each subsequently suffered from specific flaws, leading to reviews of the field, i.e. the evaluation practice as it spread; the role of evaluators; and the evolution of evaluation theory, with its impact on the methodology adopted to undertake different types of evaluation. Hence, a need arose for a fundamental shift to a more realistic system, capable of responding to new contexts and new claims of stakeholders.

During the three periods (or waves), the scientific paradigm prevailed in guiding the methodological work. Such types of evaluation led to a number of problems. Firstly, the controlled conditions adopted for evaluation disregarded the local context, with the result that the evaluations were found to be irrelevant at the local level (Guba & Lincoln, 1981). Secondly, there was an overdependence on formal quantitative measurements, which reflected the rigour of the data fed into the process. Quantifiable data eased the problems associated with prediction and control. Finally, this led to the assumption that what cannot be measured cannot be real.

Thus, the Fourth Generation evaluation of Guba and Lincoln moved beyond previously existing evaluation systems (characterised as measurement-oriented, description-oriented and judgement-

oriented) to a new level of evaluation, whose key formed a negotiation with stakeholders. Shaw (2000) also focused on increasing the facilitating role of the evaluator, in order to establish alignment between stakeholders. The process thus led to the evaluators becoming negotiators, and no longer distancing themselves from the evaluation process.

Pawson and Tilley (1997) were highly critical of the principles of participation and negotiation as advocated by Lincoln and Guba, and which reflected a “deep seated air of unreality about evaluation as a negotiation perspective, namely, a failure to appreciate the asymmetries of power which are assumed in, and left untouched by, the vast majority of policy initiatives” (Pawson & Tilley, 1997, p. 21).

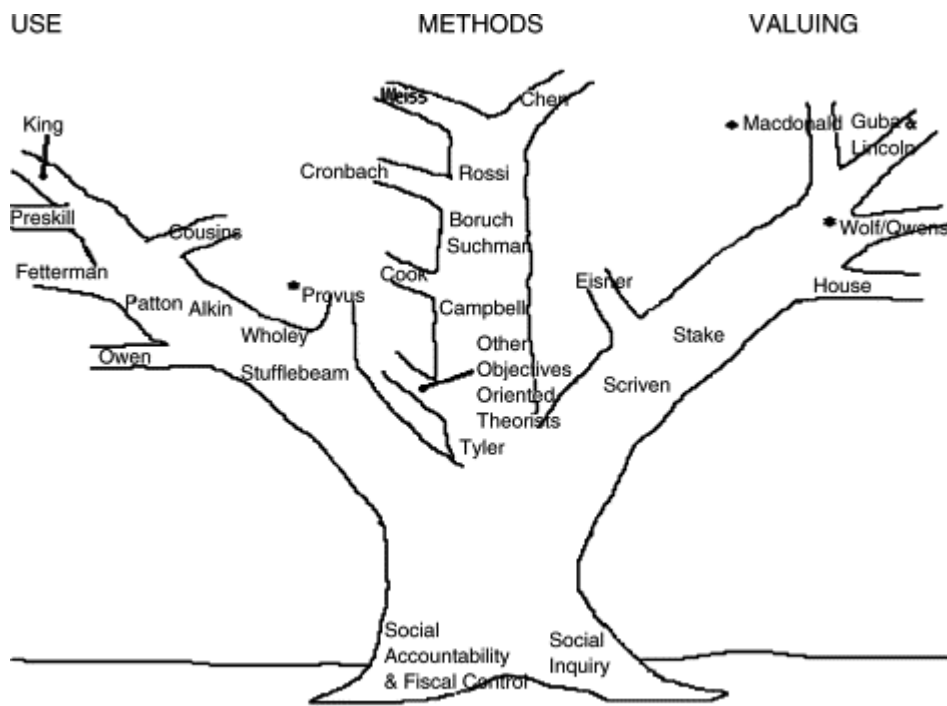
Picciotto (2007) argued that the evaluation environment was being transformed, shifting from its existing structures to reach beyond aid, projects and the top-down approach, to become more comprehensive and participatory, and better adapted to the needs of society. Evaluation is now thus shifting from research partnerships, in order to identify the impact on poverty of the policies and standards shaped by rich countries, including the policy network they control.

Thus, a considerable number of discussions have been identified that address the different facets of evaluation. Bamberger argued that, in reality (and particularly in developing countries), many constraints focus on budgets, time, data and political issues (Clark et al., 2004). The focus is now moving from evaluation, and beyond aid, to achieve a new paradigm, in which evaluation is

more participatory, while developing countries are treated as full owners of evaluation methods and processes.

One further interpretation of evaluation practice is portrayed by Christie (2004) and Christie and Alkin (2013) in terms of a tree, with the evolution of evaluation practice taking the shape of an Evaluation Theory Tree, as reproduced below (see Figure 2.1).

Figure 2.1 - Evaluation Theory Tree



Source: Christie and Alkin (2008, p.132)

The tree is based on a solid foundation of accountability, fiscal control and systematic social inquiry. It consists of a trunk with three primary branches, which classify three major areas of evaluation practice, i.e. ‘use’, ‘methods’ and ‘valuing’. The tree represents twenty-seven different approaches to evaluation, each being classified by its primary focus on one of three essential elements, as represented by each of the three branches (Alkin & Christie, 2004). The main branch of the tree forms the continuation of the social inquiry trunk, guided by the research methods branch. The valuing branch establishes the vital role of the evaluator in valuing (or making judgments), while the branch termed ‘use’ focuses on an orientation towards the use of decision-making and evaluation.

2.2.3 Methods

The middle branch of the tree grows from the social inquiry foundational root, thus placing a primary focus on developing models for evaluation practices, which, at the core, are grounded in, and derived from, social science research methods. The branch emphasises the ‘methods’ used “in the most rigorous manner possible given the constraints of evaluation” (Carden & Alkin, 2012, p. 104). The views of Campbell (1967) continue to remain at the heart of this branch, as he directly influenced evaluation practice by his work on experiments, quasi-experiments and issues of validity (Christie & Alkin, 2008).

The methodology varies, being designed to meet the different needs of evaluation, including: (1) highly flexible evaluation, due to constraints of budget, data, time and resources (Mackay,

2009); (2) rigorous statistical analysis observing validity issues in detail; and (3) experimental and non-quasi experimental designs for research (Campbell, 1967; Weiss, 1999).

However, positivism has declined since Kuhn's structure of scientific revolution and the modern American science of philosophy agreed that observations are theory-laden, while theories are value-laden. As it is impossible to achieve value-free social science, a shift has taken place at the methodological level from positivism to qualitative methodology, thus shifting from quantitative totalitarianism to methodological pluralism. The rational paradigm has also lost its dominant position, as it is rare that public policies are formulated in terms of well-ordered means and hierarchies (Albaek, 1995).

The shift to post-positivism was prompted by the difficulties inherent in, and the rigidity of, quantitative methodology in responding to real life settings where, at times, the goals of public policies were not clearly defined, and it was politically and administratively unfeasible to undertake experimental designs. This gave rise to a plethora of different types of mixed methods aimed at responding to the specific needs of evaluation.

2.2.4 Use

One of the central subjects of this discussion is the 'Use' branch of the Evaluation Tree (Cook, 1997). A rich body of primarily quantitative empirical studies has identified many determinants of evaluation used in the 1980s, although their relative importance has been contested (Alkin,

1985; Cousins & Leithwood, 1986). The most well-known theory is Patton's utilisation-focused evaluation, which focuses on its actual use (Patton, 2012, 2013).

Cousins and Leithwood (1986) analysed a sample of sixty-five studies as a basis for describing current research-based knowledge concerning the use of evaluation, identifying twelve factors influencing its use. Six were identified with the implementation of evaluation, i.e. the quality characteristics of the evaluation process (including the increased sophistication of the methods, rigour, type of valuation model, and the credibility of the evaluator and/or the evaluation process) being defined in terms of objectivity, relevance, communication, the findings themselves and the timeline of the user evaluation. The remaining factors consisted of features of decision or policy, primarily relating to: (1) the information needs of users; (2) decision characteristics; (3) the political climate; (4) competing information; (5) the personal characteristics of the user and user commitment; and (6) receptiveness to evaluation information. However, there is a need for scientific research into the effective use of evaluation to address a number of difficulties. The first challenge is to recognise that utilisation has taken place, as Weiss and Bucuvalas (1980) noted that the use of evaluation is often undertaken unconsciously, and is neither rapid, nor clear-cut. They argued that the use of evaluation during formative stages may be ratified by conscious policy actions, but subsequently appears to take place without conscious deliberations. The second obstacle relates to the considerable period frequently occurring between the completion of an evaluation and its effective use, leading to a loss of the causal relationship, which can then be difficult to prove. Weiss and Bucuvalas (1980) considered the use of evaluation to be an 'enlightenment function', as the results are employed

(either directly or indirectly) over a long period. The third issue relates to the measurement of changes triggered by an evaluation, leading to difficulties in quantifying the extent of the resulting change. Finally, the subject matter under investigation confronts the analysis with the issue of determining which of the changes rank as utilisation of the evaluation.

Notwithstanding the difficulties highlighted above, there is a significant overall use of evaluation. Molas-Gallart (2012) argued that many uses have been identified in mainstream literature, including:

“...The legitimation of policies and past initiatives, the provision of an accountability mechanism to the legislature and the public, the support of policy formulation design, the allocation of resources, the provision of evidence to implement operational improvements, the provision of a negotiating arena for different stakeholders, provision of a forum for debate to promote broader policy participation, the development of agreement on policy goals and strategies, and the provision of policy management data and tools” (Molas-Gallart, 2012, p. 5).

However, there are a number of difficulties in tracing back to identify where the outcome of an evaluation assists the policy process, as a result of: (1) the complexity of the system; (2) the large number of individuals contributing to the different stages of the policy process; (3) the fact that policy makers do not start with a blank slate when they make new policies; and that policy does not take effect at a single time and place. Thus, a large number of individuals contribute to the definition of defining issues, and supporting new definitions, conceptual frames, and policy proposals, including: (1) legislators; (2) ministers; (3) civil servants; (4) constituency groups; (5) party leaders; (6) potential beneficiaries of new policies; (7) taxpayers; (8) religious leaders; and (9) intellectuals.

2.2.5 Valuing

The branch termed ‘valuing’ is influenced by the work of Scriven (1967; 2003), and based on the philosophy of science. It was founded according to ontological, epistemology and positivist viewpoints, which consider evaluation to be the science of valuing and thus it is the work of the evaluator to form a value judgment of the object being evaluated. Hence, rigorous statistical methods are employed to establish the truth of evaluation.

However, the scientific rigour of objective truth in evaluation has, over time, given way to the consideration of social justice, as well the philosophy of subjectivity, i.e. a lack of any single objective reality (Christie and Alkin, 2008). Over time, a number of changes have taken place in the role of evaluator, with the primary function transferring from that of an objective scientific evaluator to that of a facilitator of the developmental process (Patton, 1997, p.105). This has led to increased emphasis on context, resulting in the use of case studies (Yin, 2013) and democratic evaluation (Picciotto, 2015) to promote social justice in the evaluation and inclusion of stakeholders (both those with, and without, power), as well as enabling them to participate in an evaluation by means of dialogue, in order to ensure that the contributions of all stakeholders are recognised, and contribute to the evaluation.

The evaluator’s role has thus been transformed from making judgements to adopting a participatory approach, as reflected in the Realistic Evaluation of Pawson and Tilley (1997), and leading to an understanding of what works, for whom, and under which circumstances. The use

of case study methods to assess the worth of a programme is based on the concept that value is bound to context, and that evaluators must therefore consider context when determining value.

Use is central to Patton's (1997) utilisation-focused evaluation, which:

“...Begins with the premise that evaluations should be judged by their utility and actual use; therefore, evaluators should facilitate the evaluation process and design any evaluation with careful consideration of how everything that is done, from beginning to end, will affect use” (Patton, 1997, p. 20).

Democratic evaluation principles are based on framing the evaluation of stakeholders' values using three criteria of deliberative democratic evaluation: (1) deliberation; (2) inclusion; and (3) dialogue. Fetterman (1998) used this approach to establish empowerment evaluation, in which evaluators allow participants to shape the direction of the evaluation, along with suggesting ideal solutions to their problems, and taking an active role in ensuring social change. Fetterman (1998, p. 306) viewed all empowerment evaluators as having the potential to serve as “illuminating and liberating facilitators, assisting programme participants, freeing themselves from traditional roles and expectations”. Fetterman (1998) viewed the outcome of the evaluation not as an assessment of the programme's worth (as value and worth are not static in nature), but rather as an ongoing process:

“...Through the internalisation and institutionalisation of self-evaluation processes and practices, a dynamic and responsive approach to evaluation can be developed to accommodate shifts in populations, goals, value assessments and external forces” (Fetterman, 1998, p. 382).

The concept of the tree was revisited through the addition of a ‘social justice branch’. This was grafted onto the theory tree by Donna Martens, who advocated the inclusion of marginalised groups, with an emphasis on diversity and the inclusion of diverse groups, thus ensuring

evaluation is undertaken within a context, so as to discourage bias (Christie & Alkin, 2008; Mertens & Wilson, 2012; Picciotto, 2015).

2.2.6 Evaluation in Developing Countries

Bamberger (1991) acknowledged that the majority of the literature on evaluation in developing countries is produced by (or for) donor agencies (e.g. the World Bank), and is thus focussed on the perspective of the donors, including the use of aid and assessing donor funded projects, many of which close down once the project implementation period is completed. This leads to the existence of far fewer results of evaluations concerning the effective operation of projects, including the sustainability and to what extent they produce the intended impacts (Bamberger, 1991).

Carden and Akin (2012) also argued that evaluation roots and approaches were developed by aid organisations in North America and Europe, and subsequently imposed on Low and Middle Income Countries (LMICs). However, as evaluation became more widely used in LMICs, as well as being more localised, practical evaluations (largely informal in nature), began to reflect local contexts in many forms, through bilateral aid agencies and their multilateral counterparts. Evaluation was thus developed and expanded by these agencies as a tool to support the delivery of their projects in developing countries. As such, aid began to develop as an industry during the 1960s, following the gaining of independence by many third world states, and as a result of a need to assess the flow of aid. This led to the first form of development evaluation, which

Carden and Akin (2012) termed ‘adopted methodologies’, transferred from systems developed in North America and Europe for use in LMICs, in particular in assessing aid flows. A key methodology adopted by many bilateral and multilateral agencies is Logical Framework Analysis, which formed the basis of much of the evaluation training by donor agencies, along with results based management, as used in multilateral and bilateral development assistance agencies.

Examples of the adopted methodologies include the Citizen Report Card in India, and outcome mapping, and the African Peer Review Mechanism (APRM). The Citizen Report Card was designed for local use within the Indian context, to enable citizens to deliver feedback to public agencies. It had a strong orientation towards ‘valuing’, due to the importance its design and processes attached to citizen empowerment. The Citizen Report Card is intended, through the use of participatory surveys, to improve access to, and the delivery of, public services. When it comes to outcome mapping, the method recognises that development focuses on the relationship between individuals and their environment, rather than on products. Hence, the emphasis on evaluating the changes in behaviours, activities and relationships in the individuals and organisations with whom a development programme works directly.

APRM was created by the New Partnership for African Development (NEPAD), and is a voluntary assessment developed by African researchers and policy-makers. It consists of a specific set of self-assessment procedures, peer-reviewed by heads of state and senior officials, and which cover a country’s governance and issues related to human rights. Carden and Akin

(2012) argued that the APRM is a strategy to hold the approximately half of all African countries who voluntarily joined the APRM responsible for, and accountable to, their stated commitments. Evaluation undertaken by Africans in their own country was triggered following the AfrEA conference in 1999, in which there was a discussion of the need to develop evaluation strategies to fit both the African context and culture. AfrEa adapted the United States Programme Evaluation Standards (based on North American practices and culture) as the basis of the African Evaluation Guidelines (AEG), which was presented in the form of a checklist capable of being used to assess and improve the quality of evaluations appropriate for African conditions and culture.

Cloete et al. (2014) traced the emergence of evaluation in Africa, arguing that it should be viewed against a backdrop of the colonisation of evaluation, during which foreign teams entered the continent over a number of decades to evaluate African performance through imported measures and processes. Cloete (2014) stated in the foreword to 'Evaluation Management in South Africa and Africa' that "Africa is flourishing and so is the evaluation profession on the continent".

There is high demand within developed countries for evaluation within the context of reforms, along with good governance, and increased accountability for the effective use of resources, and this is now also increasing in Africa. However, there is still little to evaluation undertaken on the African continent, apart from donor-driven evaluation projects, which are required to comply with funders' requirements. Farchamps and Zeitlin (2012) argued that the influence of Impact

Evaluation (along with the causal evaluation of government and private sector policies) has been limited to governments and other policymakers in Sub-Saharan Africa, due to issues of both time and the geographic and research focus of the first wave of experimental studies. However, there has since been a gradual global increase in the demand for rigorous policy and Impact Evaluation.

Moreover, the rise and expansion of evaluation associations at local, regional and international levels brings together evaluators, policy analysts, auditors, and researchers involved in knowledge production and diffusion. House (1993) claimed that evaluation has emerged over the previous three decades as a formal field of practice, and that evaluation societies and associations have sprung up globally, publishing books and journals, along with making awards, hosting conferences and setting evaluation standards.

Evaluation associations are currently expanding and promoting professionalism amongst their members at local, national and international levels. In some cases, they advise government on evaluation, i.e. the task force of the American Evaluation Association, which argues the need for the American administration to use programme evaluation as part of a road map for a more effective government (AEA, 2009).

Evaluation associations have increased considerably in number over recent years, and have attempted to professionalise the evaluation service, to ensure that evaluation is undertaken in the most effective manner. The International Organisation for Cooperation in Evaluation (IOCE)

represents the national and regional Voluntary Organisations of Professional Evaluators (VOPEs) in America, Africa, Australia, Europe and Commonwealth of Independent States, and the Middle East. It strengthens international evaluation through the exchange of evaluation methods, theories and practice, and promotes good governance and the recognition of the value of evaluation in improving the lives of individuals. Furthermore, it is committed to cultural diversity, inclusiveness and the bringing together of different evaluation traditions in respect of diversity. A survey undertaken by IOCE (2010) identified approximately seventy-five evaluation associations, including twelve that were regional.

The United Nations General Assembly selected 2015 as the International Year of Evaluation, requesting each member country to take two landmark steps. Firstly, each country should strengthen its capacity to conduct evaluations, in accordance with its national policies and priorities; and secondly, they were obliged to report back to the United Nations in 2016 concerning their progress. Picciotto (2015) noted that:

“...(Such) a historic resolution brings into sharp focus the new global politics of evaluation, and highlights the urgent need to renew and invigorate democratic evaluation in an international context characterised by rising economic inequality, social exclusion and popular protest” (Picciotto, 2015, p.154).

2.2.7 Purpose and Benefits of Evaluation

Evaluation is employed: (1) to promote accountability (Chelimsky, 1995); (2) as a policy-learning device (Ramesh et al., 2010); (3) to legitimise and moderate conflict; (4) to gain new

knowledge (Steurer & Martinuzzi, 2009); (5) to improve agency capability; (6) to improve the welfare of the population; and (7) to enhance the effectiveness of development (Bamberger, 2001; Chelimsky, 2006; Gaarder & Briceño, 2010).

Evaluation assists management to improve a programme in relation to its funding, structure and administration, along with supporting advocacy and responding to political pressures (Rossi et al., 2004, p. 34). Benefits arising from evaluation include: (1) knowledge concerning the impact of certain policy programmes; and (2) provision of information to policymakers as to whether the intervention is contributing to the achievement of the stated results.

The Magenta Book (2011) of the United Kingdom, which constitutes the HM Treasury guidance on evaluation for Central Government, provides a sound scientific basis for the creation of policy by identifying the interventions that have proved effective. The book is key to achieving appropriate returns from taxpayers' resources, and highlights the importance of: (1) evaluation in providing accountability; (2) the reliable evidence this can generate to provide direct benefits, in terms of policy performance and effectiveness; (3) promoting the fundamentals of the principles of good government; and (4) supporting democratic accountability.

Furthermore, there is a global consensus concerning the multiple and broader benefits of evaluating policies. Evaluation is vital to the global debate concerning the most effective means of addressing the contemporary concerns of the international community, e.g. extreme poverty; inadequate health care; environmental degradation; global warming; ethnic and religious strife

and warfare; access to education; and a fair distribution of resources (Mark et al., 2006). An evaluation establishes credible and useful information, thus enabling the incorporation of the lessons acquired into the decision-making process of both the recipients and the donors.

In many countries, evaluation is also tied to managerialism, with the aim of improving economic productivity and management, as well as controlling sectors of society (House, 1993). Evaluation has become embedded within the framework of policy-making in many developed countries in varying degrees, and for a number of different reasons, i.e. promoting good governance; accountability; conflict moderation; development; alleviation of poverty; the promotion of democracy; and civic participation.

Evaluation also contributes to developing accountability mechanisms, through which management and government can be held to account for their actions. It can also promote learning, and understanding, of evaluation and its purpose.

Furthermore, evaluation also contributes to enlightenment, i.e. the dissemination of new information, ideas and perspectives into the arenas in which decisions are made. Evaluation results in data (and generalisations based on the data) appearing in the political system. Over time, such ideas seep into the consciousness of the population, altering the ways in which issues are framed, alternatives are designed and assumptions re-examined. New issues move up the policy agenda, and the slow trickle of enlightenment, along with the cumulative effects, may

result in a major recasting, and the embracing of a very different order of policy (Weiss and Bucuvalas, 1980).

2.3 Impact Evaluation

Impact Evaluation is a form of evaluation employed by planners and policymakers, and which fits into the chain of monitoring and evaluation processes in a number of ways. Firstly, it helps to assess the causal link between an intervention and an outcome of interest. Secondly, it provides baseline evidence for the effectiveness of an intervention, enabling it to then be compared with other, similar, interventions, thus establishing credible comparisons related to cost-effectiveness. Thirdly, it can serve to build the knowledge base of what works in development, responding to the increasing demand for evidence of the effectiveness of aid with a method of highlighting development successes. Bamberger (2000) and Leeuw and Vaessen (2009) identified a growing demand for the assessment of the impact of: (1) new instruments and modalities (i.e. international treaties); (2) new aid modalities (i.e. sector budget support); (3) instruments (i.e. institutional reform, partnership development); and (4) stakeholder dialogues, at either national or regional levels (Leeuw & Vaessen, 2009).

In order to ensure the implementation of the Paris Declaration (which sets out the measures to address the alleviation of poverty through the Millennium Development Goals), OECD developed a number of monitoring and evaluation strategies to assess development aid, and

ensure its effectiveness among member countries. The definition of Impact Evaluation thus focuses on:

“...The positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended. These effects can be economic, socio-cultural, institutional, environmental, technological or of other types. It includes the full range of impacts at all levels of the results chain, including ripple effects on families, households and communities, on institutional, technical or social systems, and on the environment” (OECD-DAC, 2002, p.24).

The definition of the Organisation for Economic Co-operation and Development- Development Committee (OECD-DAC) leads to a focus “on long term effects” and two underlying premises for Impact Evaluation, as discussed below.

Attribution is an approach that attributes impacts to interventions, rather than simply assessing that which has taken place (Picciotto, 2014). A number of different factors are involved when assessing changes in outcomes for a specific intervention. However, it remains possible to establish the percentage change in outcomes for a specific intervention through the analysis of attribution, which allows the identification of the degree to which an intervention has contributed to the overall change in the outcome of interest, i.e. a common finding would be that intervention X caused outcome Y to change by p percent (White, 2010). The analysis of attribution also addresses the issue of contribution (White, 2010).

Counterfactual is defined as the situation, or condition, which may hypothetically prevail for individuals, organisations, or groups, for which no development intervention exists (OECD–DAC P 17). Thus, in the majority of contexts, such evaluation seeks to establish the impact of an

intervention in order to gauge the events that could have taken place, had the intervention not been implemented. If sufficient time, money and expertise is available, an Impact Evaluation study remains the most effective method of addressing the issue of attribution (Mayne, 2001).

Gertler et al. (2011) held a similar view, arguing that Impact Evaluation consists of:

“...A particular type that seeks to answer cause and effect questions. Unlike general evaluations, which can answer many types of questions, impact evaluations are structured around one particular type of question: What is the impact or causal effect of a programme on an outcome of interest ... An Impact Evaluation looks for the changes in outcome that are directly attributable to the programme. The focus on causality and attribution is the hallmark of Impact Evaluation” (Gertler et al., 2011, p. 7-8).

Impact Evaluation can thus be established as quite distinct in its purpose and methodology to other types of evaluation, due to going beyond output to consider impact, and investigating issues of cause and effect to assess the effects on outcomes directly attributable to the programme under evaluation. Hence, the focus is on causality and attribution, which are the hallmarks of Impact Evaluation (Bamberger, 2009; Gertler et al., 2011; Rist, 1995; White, 2010). This results in recourse being made for rigorous statistical methods for Impact Evaluation intervention, to calculate the attribution (or the percentage change) in a programme, as well as envisaging the events that might have taken place in the absence of such a policy programme or project.

White (2010) argued that projects were initially evaluated through quantitative cost-benefit analysis, which then fell into general disuse during the 1980s and early 1990s, as a result of two related trends. Firstly, there was an increase in social sector interventions, whose objectives

lacked any focus on quantitative analysis, e.g. ‘empowerment’ and the building of social capital. Secondly, there was the rise of participatory approaches to development, including participatory evaluation in favour of local narratives and judgments of successes. However, White (2010) argued that the rise of quantitative Impact Evaluation should enable a resurgence of cost effectiveness and cost-benefit analysis.

Khandker et al. (2010) employed a number of different approaches through quantitative, qualitative, and mixed methods, in order to address Impact Evaluation, which can be ex-ante and ex-post. The ex-ante design determines the possible benefits, or pitfalls, of an intervention, through simulation, and economic or structural models, in order to gain improved understanding of the mechanisms by which programmes are able to: (1) predict the outcomes of intended policy changes; (2) assist in refining programmes prior to implementation; and (3) forecasting the potential impact on beneficiaries. Ex-post Impact Evaluation is based on actual data gathered either: (1) following a programme intervention; or (2) prior to (and following) the implementation of a programme. Such evaluations measure actual impacts accrued by the direct beneficiaries as a result of the programme, along with the wider impact.

Impact Evaluation spans both quantitative and qualitative methods. The methodology adopted can range from large scale surveys, to small-scale rapid assessments, during which estimates of impact are obtained from combining group interviews, key informants, case studies and available secondary data. Impact evaluation can be rigorous in identifying the impact of programmes by applying a number of different models to survey data, in order to construct comparison groups

for participants. The primary focus of Impact Evaluation is that of attribution, i.e. isolating the effect of the programme from other factors and potential selection bias.

There is also an increasing use of qualitative methods to assess Impact Evaluation, as a result of the rise of participatory approaches to development, including participatory evaluation in favour of local narratives (Patton, 2002). In addition, mixed method approaches are also employed to gain an improved concept of an evaluation taking place. Mixed methods combine theories from a number of different disciplines, and combine the rigor of quantitative methods, with the depth and context of qualitative techniques. They employ observation, interviews, case studies and focus groups to assist in understanding the characteristics of the different groups selected in the sample, and can be an effective method of reaching women, ethnic minorities and vulnerable groups. However, real world evaluation is subject to a number of constraints relating to time, budget, and data. The challenge is therefore to select the strongest possible design within the relevant constraints (Bamberger et al., 2006; IEG World Bank).

Impact Evaluation is currently being used in many developed countries, and forms an aspect of evaluation systems at national level in the United Kingdom, France, Sweden, and Spain, and also at sectoral level for education in the United States, and health in the United Kingdom (Briceno and Gaarder, 2009). Impact Evaluation is also being increasingly employed by a number of institutions, including: the World Bank; the International Initiative for Impact Evaluation (3ie); The Network of Networks on Impact Evaluation (NONIE); and the Department for International Development (DFID). The World Bank has established several initiatives to raise and coordinate

the production of Impact Evaluation through the establishment of the Development Impact Evaluation Initiative (DIME) as a broad-based decentralised effort to mainstream Impact Evaluation. The overall objective is to improve the quality of the bank's operations, while strengthening each country's institutions in relation to evidence-based policy making, while generating knowledge concerning selected policies in the Latin America and the Caribbean regions, focusing on education, local development, and social protection sectors. Impact Evaluation has also expanded in the African region under the Africa Impact Evaluation Initiative. In addition, Impact Evaluation has recently begun to cover a number of new themes (e.g. malaria), and other sectors (i.e. agriculture, finance, and private sector development).

In addition to the World Bank, Non-Governmental Organisations such as 3ie¹ focus on improving the lives of those in the developing world, by supporting the production and use of evidence on what works, when and why and for how much.

Networks on Impact Evaluation (NONIE) was established in 2006 to also foster greater, and more effective, Impact Evaluation among its membership through the evaluation of networks of bilateral and multilateral organisations, as well as networking with evaluators of developing countries, in order to collaborate with national and regional evaluation networks. NONIE produces guidance notes on Impact Evaluation, as well as a platform to move towards a common understanding of the meaning of quality Impact Evaluation. As part of these efforts, in early

¹ <http://www.3ieimpact.org/en/announcements/2014/10/17/3ie-executive-director-howard-white-honoured-government-benin/>

2009, NONIE organised a conference on Impact Evaluation with AfrEA (Leeuw and Vaessen, 2009).

In addition, further agencies (e.g. the Department for International Development (DFID)) and a number of evaluation associations, have initiated programmes of Impact Evaluation studies. The majority of these studies are undertaken by external evaluators, leading to a substantial expansion in demand for Impact Evaluation services (White, 2004).

2.3.1 Benefits of Impact Evaluation

Over recent years, there have been a number of benefits to policy makers from designing and evaluating programmes, including improved data collection and methods of sharing data and analysis across countries. Impact Evaluation assists policy makers to: (1) establish whether programmes generate the intended effects; (2) to promote accountability in the allocation of resources across public programmes; and (3) to fill gaps in understanding of what works, what does not, and how measured changes in well-being are attributable to a particular project or policy intervention (Bamberger et al., 2006; Mackay, 2000; IEG World Bank).

Thus, the benefits of a well-designed Impact Evaluation are long-term, and can have substantial spillover effects, while also establishing the kinds of programmes capable of creating substantive results, along with those that are not, and under what circumstances. Such information is critical not only for policy-makers directly in charge of the programme under evaluation, but also for

others who may be considering adapting its approach for their own circumstances. Parliaments, finance ministries, funding agencies, and development partners now have increasing concerns when it comes to the effective use of resources, along with the need to measure development interventions, in order to ensure they achieve their intended results, including how they compare with alternate uses of scarce resources (Paris Declaration, 2005).

Impact Evaluation focuses on providing feedback to assist in improving the design of programmes and policies. In addition to providing improved accountability, it forms a tool for dynamic learning, allowing policymakers to improve on-going programmes, and thus ultimately improve their allocation of funding across programmes. Thus, Impact Evaluation constitutes the preferred approach to assessing results when used strategically to test the effectiveness of specific approaches in addressing key development challenges, while also providing critical inputs (i.e. benchmarks) to other monitoring and evaluation activities.

A number of countries have institutionalised various methods of evaluation, in accordance with their specific political and administrative systems and traditions. The hallmark for the institutionalisation of Impact Evaluation consists of a strong political will, and several countries have adopted different systems to drive such process through a series of measures. Impact Evaluation needs to be immersed into broader M&E systems, with complimentary monitoring and evaluation instruments, and needs to be an integral aspect of a programme from its inception (3ie, 2009). It does not necessarily need to be conducted independently of monitoring, as the latter provides data through project management on the way an intervention

evolves over time, evaluating the available data in terms of initial goals, indicators, and outcomes associated with the programme. Impact Evaluation thus depends on data to establish the design of a programme, along with the targeted beneficiaries, and the implementation of a project, policy or programme (Khandker et al., 2010).

2.4 Institutionalisation of Evaluation

In many countries, donors have supported the use of Impact Evaluation over a number of years, with many such evaluations proving to be of a high technical quality. However, far less attention has been given to assisting governments to create a national monitoring and evaluation system, which requires a clearly defined strategy from donors and governments for promoting the institutionalisation of Impact Evaluation at both national and sector levels. This remains a weakness in the majority of the approaches of donors to evaluation (Bamberger et al., 2011, p. 34).

Notwithstanding the above, several countries have institutionalised evaluation, the mode of which varies from country to country reflecting different political and administrative systems and traditions (Mackay, 2000). Strong political will is the hallmark for the institutionalisation of Impact Evaluation. There are different approaches which reflect the different political and administrative cultures of the countries concerned (Gibbons & Georghiou, 1987). Reporting on a comparative set of studies, Georghiou (1995, p. 4) attributed the differences to three factors: (1) the state of development of the research infrastructure; (2) the organisation of science; and (3)

the general governance practices beyond the research domain. Studies have also tended to identify substantial differences across national research evaluation systems.

The driving forces favouring (or hindering) the institutionalisation of evaluation and Impact Evaluation tend to focus on the interaction of the demand and supply of evaluation. A number of factors influence the use of Impact Evaluation. Crewe and Young (2002) argued that Impact Evaluation will influence the policy-making process through a number of entry points, or places of access, within the political system, into which it is possible to introduce information from impact evaluations. However, this strategy depends on the context, i.e. the political, institutional, cultural and structural dimensions of development. Weiss (1999) further elaborated on some of the factors, arguing that these strengthen evidence-based policymaking processes, in particular in developing countries, which contain lower levels of political competition than developed countries.

A democratic system is fundamental to the institutionalisation of evaluation, i.e. a country in which citizens have the right to information and to participate in decision-making through extensive information campaigns, consultation processes, and other legal and parliamentary steps. In addition, it is critical that a powerful stakeholder is designated to champion the process, i.e. in the United States, Congress (through the Ministry of Finance) creates the demand for the undertaking of evaluations.

In terms of structure, the overseeing body should have a degree of independence capacity for enforcement, in order to disseminate the findings and enforce the adoption of the recommendations. The role of policymakers is determinant when it comes to the call for evaluation, with their predisposal to accept and incorporate empirical evidence being determined by: (1) expertise in evaluation; (2) personal experience; (3) educational and professional background; and (4) belief system.

Weiss (1980) further argued the importance of a 'policy forum', assembling analysts and officials on a regular basis. Prestigious and long-term forums are an ideal arena to set the conditions for the participation of actors capable of demanding attention to evidence (Gaarder & Briceno, 2010; Lindquist, 1992; Sabatier & Jenkins-Smith, 1993). Further factors identified by Weiss (1980) include the existence of an institutionalised system for evaluation and a culture of concrete usage of evaluations. Furthermore, changes in government and advances in information technology have established opportunities to introduce changes in a broad range of policy issues (Crewe & Young, 2002).

However, political commitment is not, of itself, sufficient. It is also crucial that a national evaluation policy can be adopted, and that such policy triggers governmental commitment to allocate resources so as to effect evaluation. Such national evaluation policies promote the correct understanding of evaluation among public sector managers, along with a concept of an evaluation culture to 'manage for results'. An evaluation policy further ensures government

commitment to catalyse the generation of necessary human and institutional capacities, tools and methodologies (Rist, 2000).

Furubo et al. (2002, p. 7–9) argued that it is not possible to instantly adopt an evaluation culture, which requires a number of conditions to promote its implementation. Rist (1990) stated that the following nine criteria must be satisfied before an evaluation culture can be fully established, or reach full maturity. These nine dimensions came out of a comparative study undertaken among twenty-one countries, focussing on the maturity of evaluation in each individual country, to determine the degree of evaluation culture as illustrated in Figure 2.2.

Figure 2.2: The Nine Indicators from the International Atlas of Evaluation.

I. Evaluation takes place in many policy domains: There are frequent evaluation activities within various policy fields.

II. Supply of domestic evaluators from different disciplines: There is a supply of evaluators from different academic disciplines who have mastered different evaluation methods, and who conduct and provide advice over evaluations. This criterion is also intended to grasp the diffusion and pluralism of evaluation praxis in a country.

III. National discourse concerning evaluation: There is a national discourse concerning evaluation, in which more general discussions are adjusted to the specific national environment.

IV. Professional organisations: Evaluators have their own societies, networks or frequent attendance at meetings of international societies and at least some discussion concerning evaluation standards or ethics.

V. Degree of institutionalisation – Government: Institutional arrangements in the government for conducting evaluations and disseminating their results to decision makers. In several countries, a large number of evaluations are conducted, but their results tend to reach decision makers by chance. This criterion attempts to take into consideration permanent arrangements or systems whereby evaluation initiatives are commissioned to different

evaluators and, at the same time, arrangements are made to ensure that the evaluations undertaken are put to suitable use. Examples for this kind of institutionalisation can be central evaluation units in various national ministries or the existence of an evaluation budget. This is a form of guarantee that utilisation (at least in formal terms) will take place.

VI. Degree of institutionalisation – Parliament: Institutional arrangements are present in parliament for conducting evaluations and disseminating them to decision makers. This criterion attempts to cover the same kind of arrangements as Criterion V, but at the parliamentary level. The reason for having the same criterion for parliament is that different political groups are more likely to be involved and perhaps other kind of evaluative questions will be raised if the initiative comes from the parliamentary sphere. Members of Parliament may be involved in the ad hoc initiation of evaluation, but also evaluation clauses are introduced into laws as a means of finding political compromises, or subject committees conduct respectively tender evaluations. Furthermore, evaluation results may be utilised in the parliamentary debate.

VII. Pluralism of institutions or evaluators performing evaluations within each policy domain: An element of pluralism exists in that there are different people or agencies commissioning and performing evaluations within each policy domain. This criterion is clearly intended to capture the degree of pluralism. If we imagine that we have only one very dominant organisational entity in a policy domain, which at once formulates the evaluative problems, decides which evaluators to use, and thus also decides what kind of methods to employ, there is no scope for pluralism. A country with this kind of situation is regarded as less mature than a country in which there are a number of commissioners and conductors of evaluations.

VIII. Evaluation within the Supreme Audit Institution: The existence of evaluation activities within the Supreme Audit Institution (SAI) can be of different kinds. The SAI might conduct evaluation activities themselves (e.g. Performance/Value for Money Audits) or look at conditions for undertaking evaluations within the public sector or even carry out different forms of meta-evaluation.

IX. Proportion of impact and outcome evaluations in relation to output and process evaluations: The evaluations conducted should not just be focused on the relation between inputs/ outputs or technical production. Some public sector evaluations must show program or policy outcomes as their object and raise such questions as whether the public interventions actually had impacts on the problems they were intended to solve.

Source: Furubo et al. (2002, p. 7–9), with some adaptations of the explanatory text.

The degree of adherence to the nine criteria varies between countries, in terms of: (1) evaluation practice; (2) diffusion; (3) the existence of a supply of evaluators; and (4) the presence of a

national discourse on evaluation, supported by professional evaluation associations. The degree of maturity of countries in terms of evaluation practice is also demonstrated by institutional and legal arrangements enabling evaluation, as well as the participation of parliamentarians in the demand for, and the dissemination of, evaluation. Further evidence of evaluation maturity consists of: (1) a wide variety of evaluation within different domains; (2) the inclusion of evaluation activities in audit institutions; and (3) the conduct of impact evaluations to assess impact and the long-term effects of policies and programmes.

Furubo et al. (2002) concluded that this study revealed evaluation to be vigorously rooted in the political and administrative establishment, in particular within the pioneer countries having strong internal pressures for evaluation, e.g. the United States; Canada; Australia; Sweden; the Netherlands; United Kingdom; Germany; Denmark; Korea; Norway; France; and Finland. The evaluation culture in these pioneer countries has created an intellectual and organisational launching pad for ideas concerning evaluation, and their diffusion to other countries. This enabled evaluation to become integrated into public management concepts, and embedded into new public management, for OECD, the World Bank, and the European Union.

The second group consists of the following: Israel; Switzerland; New Zealand; Ireland; Italy; China; Japan; Spain; and Zimbabwe. These have weak internal pressures, and are thus strongly influenced by external pressure (in particular from the European Union and the World Bank) to implement evaluation activities. In practice, countries such as China and Zimbabwe that

developed (or had begun to develop) an evaluation culture in the 1990s did so as a result of external pressure.

For some countries, evaluation has become standard procedure, which can lead to evaluation fatigue. Varone and Jacob (2004) undertook a study of evaluation in a number of countries concerning the conditions for strong evaluation cultures, as well as paths of development. They differentiated between the presence of national evaluation bodies (as represented by the executive branch of government, Parliament and supreme institutions) and an epistemic community (as defined by the existence of a national society as well as a scientific journal and quality standards). They concluded that development culture does not follow a unidimensional model, but is rather embedded in a number of different forms of institutionalisation, and varies in usage at different levels, in different sectors, being difficult to capture at times, as these are further compounded by various historical roots. Jacob et al. (2015) further argued that the most effective method of measuring the degree of institutionalisation is to consider the number of evaluations or meta-evaluations undertaken. Other views on institutionalisation have been expressed by Mackay (2000), Bamberger, (2005) and Segone (2012), who argued that the institutionalisation of Impact Evaluation requires the following conditions at the sector, or national, level:

“...It is country led and managed by a central government or a major sectoral agency; there is a strong buy-in from stakeholders; there are well defined procedures and methodologies; it is integrated into sectoral and national M & E systems that generate much of data use within procedures and methodologies; it is integrated into national budget formulation and development planning, and there is a focus on capacity development” (Bamberger, 2005 p.198; 2009, p. 139)

2.4.1 Demand for Evaluation

The demand for evaluation is thus intrinsically linked to a country's degree of maturity or evaluation culture. In addition to evaluation culture, the driving forces favouring or hindering the institutionalisation of evaluation and Impact Evaluation are the demand and supply of evaluation and their interaction. A number of factors influence the use of Impact Evaluation. Crewe and Young (2002) argued that Impact Evaluation will be demanded by (or will impact the policy-making process through) entry points or places of access within the political system, i.e. through which information from impact evaluations can be introduced. However, such strategy depends on context, reflecting the political, institutional, cultural and structural dimensions of development. Weiss (1999) further elaborated on a number of factors, which he argued strengthens the evidence-based policymaking processes of developing countries, i.e. where political competition tends to be weaker than in developed countries.

2.4.2 Supply for Evaluation

There needs to be an adequate supply of evaluation in response to demand. Weiss (1999), Crew and Young (2001), and Langou and Weyrauch (2013) considered that the supply of evaluation is influenced by contextual characteristics, as represented by the existence and degree of monitoring and evaluation activities, and supported at different levels by the community, institutions, researchers, individuals and policy makers.

A pre-condition for supply consists of a thriving social science community, coupled with the availability of a sizeable group of social scientists with an interest in conducting policy-oriented research. In addition, institutional research mechanisms for research management are critical, as well as the availability of technical capacity among researchers, academics and policy-makers, whose educational background, professional credentials and capacity to network and communicate the results of an evaluation, contribute to the creation of an effective pool of qualified evaluators. Many countries contain evaluation associations, generally known as Voluntary Organisations of Professional Evaluators (VOPE), which regulate their own principles, theories and standards of evaluation.

In addition, at the level of institutions, the existence of a strategic framework for evaluation production is critical for the promotion of evaluation activities, i.e. knowledge management; capacity building; and the development of appropriate systems and procedures. A major constraint for effective evaluation activity consists of the lack of funding for research, evaluation and training. According to the literature review, countries with champions to lead the evaluation movement (i.e. at the level of ministries or Parliament) have achieved success, and have been able, to varying degrees, to trigger the evaluation movement (Bemelmas-Videc, 1992).

In order to be able to influence policies, policy-makers (particularly those in leadership positions) need to be in a position of power. They need to accept the process of evaluation, and possess the necessary expertise to understand the rationale, benefits and uses of evaluation, as well as having the capability to network and communicate the results of the evaluation. Langou

and Weyrauch (2013) further stressed the transparency of institutions to select research, conduct evaluations, and communicate the results to promote legitimacy.

2.4.3 Intersection of demand and supply

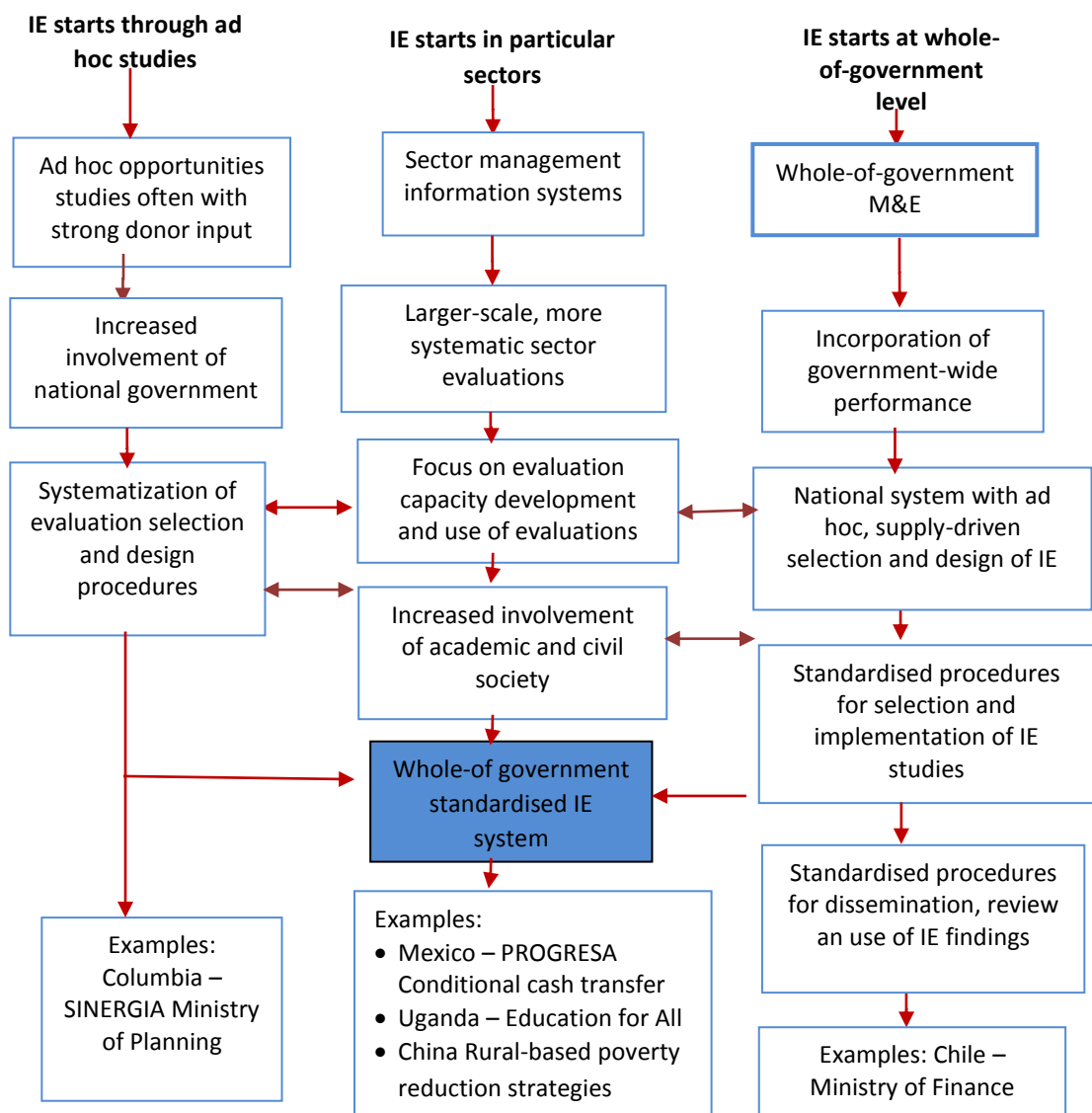
A number of factors affecting demand and supply for evaluation and research have been highlighted. However, the interaction of aspects of demand and supply ultimately determines whether the emerging evidence and recommendations are adopted and lead to policy change. It is the policy process which provides the context for such intersection (Crew & Young, 2001; Langou & Weyrauch, 2013; Weiss, 1999).

The contextual framework within which the evaluation research is undertaken is crucial, depending on the state of evaluation, and the spread of evaluation culture. The processes of generation are critical, along with the reception of intentional and unintentional signals that create perceptions and expectations. This leads to a need to develop appropriate communication strategies and maintain objectivity, while communicating evaluation results among different actors.

The institutionalisation and employment of Impact Evaluation varies between countries, reflecting different political and administrative systems, along with traditions and historical factors, e.g. strong donor support for programmes and research in specific sectors. However, if

there is sufficient demand and supply of evaluation, and favourable contextual factors to institutionalise evaluation, there are a number of ways in which this can be fulfilled. Figure 2.3 identifies three alternative pathways to the institutionalisation of Impact Evaluation (UNICEF, 2010).

Figure 2.3: Three pathways for the evolution of institutionalised IE systems



Source: UNICEF (2010): From Policies to Results: Developing capacities for country monitoring and evaluation systems P 200 Evaluation office NY

The first pathway of institutionalisation originates with ad-hoc studies from individual evaluations, funded through donor agencies undertaking evaluations in different sectors. The acquisition of experience in developing evaluation criteria, systems, methodologies and approaches has been gradually systematised, along with the development of expertise on how to achieve both quality and evaluation. A central government agency (i.e. in general finance or planning) is either involved from inception, or becomes involved as the focus moves toward a national system. An example of this pathway is SINERGIA, Colombia's national monitoring and evaluation system (Bamberger, 2010; Mackay, 2000; Segone, 2012; World Bank, 2009).

The second pathway develops Impact Evaluation expertise in a priority sector, supported by a dynamic government agency, along with the addressing of important policy questions and strong donor support. Once the operational and policy value of these evaluations has been demonstrated, this becomes a catalyst for developing a national system. An example of such an initiative is the PROGRESA cash transfer in Mexico.

The third pathway develops a planned and integrated series of impact evaluations as one component of a complete government system, managed and championed by a strong central government, undertaken through the Ministry of Planning or Finance, with the objective of improving public spending. An example of this is Chile, which has established clear guidelines and criteria to evaluate programmes, including methodologies for evaluation.

2.4.4 Institutionalisation of Evaluation in Africa

There has been a growing debate, in both academic and evaluation circles, concerning the need for increased Afro-centric research and evaluation. This has led to a consensus that current theory results from a strong western influence, which cannot always be translated into an African context (AfrEA, 2002). Initiatives are thus currently being adopted to establish more innovative and tailored policy designs, which (through the use of accurate, current, and reliable African data) respond directly to local conditions (Cloete et al., 2014; The Bellagio Centre, 2012). A number of institutions are currently assisting african countries to develop their evaluation capacities, including: NONIE; 3IE; the African Impact Evaluation Initiative of the World Bank's Africa Region; the Centre For Learning and Evaluation And Results (CLEAR) (i.e. (1) a global programme initiated and funded by the World Bank, based in Ghana in 2001, and aimed at Anglophone Africa; and (2) a Francophone programme based in Senegal in 2012, aimed at strengthening monitoring and evaluation and performance management to achieve development outcomes.

2.5 Conclusion

This chapter reviewed literature pertinent to the issues under discussion in this thesis. It highlighted the complexity of evaluation in a number of different settings, along with the approaches towards evaluation and evaluation practice in place in developed countries. The large amount of literature on this subject established the importance and evolution of evaluation

following its implementation in the 1920s, as well as its richness. The review also revealed that the majority of the literature focuses on Western countries, and that the development of evaluation has been closely linked to contextual parameters during different historical, economic and social changes, leading to these being reflected in the methods adopted for evaluation moving from an emphasis on scientific rigour to more participatory methods of evaluation.

The review firstly, highlighted the definition of evaluation. Secondly, it established the distinction between monitoring, evaluation and auditing. Thirdly, it discussed the different definitions and approaches of the evaluation discipline, by means of movement, waves, and the Evaluation Tree, thus reflecting the methods, use and value given to evaluation. Fourthly, there was a discussion of the ‘adopted methodologies’ characterised by Africa. Fifthly, there was a discussion of the benefits and purposes of evaluation, focusing on Impact Evaluation as one of a number of forms of evaluation employed by planners and policymakers, i.e. Impact Evaluation fits into the chain of monitoring and evaluation process, specifically addressing questions relating to cause and effect. Sixthly, there was a discussion of the enabling and constraining factors influencing the institutionalisation of evaluation in developed countries. Finally, further evidence revealed the pathways adopted to institutionalise Impact Evaluation in a number of countries.

The above review identified a gap in the literature, i.e. the lack of research into evaluation and Impact Evaluation, and in particular from the perspective of the governments of African countries. Considerably less attention has been given to helping governments build a national

monitoring and evaluation system, leading to the need for a clearly defined strategy to be formulated by donors and governments to promote the institutionalisation of Impact Evaluation at national and sector levels. Bamberger et al. (2011, p. 34) noted that this remains a weakness in most donor approaches to evaluation.

Bamberger (1991) acknowledged this aspect over two decades previously, demanding additional research in relation to developing countries, as the literature on evaluation is produced by, or for, donor agencies, and thus focuses on the perspective of donors, i.e. concentrating on the ways their aid is used and assessing donor funded projects, many of which close down when project implementation is completed. Cloete et al. (2014) traced the emergence of evaluation in Africa, arguing that this should be viewed against a backdrop of colonisation, while Picciotto (2015) pointed out that the historic resolution of the United Nations General Assembly in 2015 (which called for evaluation among member countries) brings into sharp focus the new global politics of evaluation, while highlighting the urgent need to renew, and invigorate, democratic evaluation in an international context, one that is currently characterised by rising economic inequality, social exclusion and popular protest.

A small number of public sector studies have already been undertaken, however, additional research is required to assess the state of evaluation, and in particular Impact Evaluation, within the context of government public sector reforms. A number of empirical questions requiring further study include: (1) Is there a need for such evaluation?; (2) Is there any demand and supply for such evaluation?; and (3) What are opportunities and challenges that present

themselves in seeking to institutionalise Impact Evaluation within the Civil Service in Mauritius? This study is in line with this call for research, as, to date, this current thesis is the first study to consider the issue of evaluation within the Mauritian Civil Service. By examining the contextual characteristics influencing evaluation and Impact Evaluation, the study will also contribute to the need for such research.

Having reviewed the literature pertinent to the current study, the following chapter reviews the policy process and the positioning of evaluation as an aspect of the policy lifecycle of the Mauritian Civil Service.

CHAPTER THREE - POLICY EVALUATION: FACTORS IMPACTING ON THE POLICY PROCESS

3.1 Introduction

This chapter provides a critical review of the literature on the evolution of the policy process. It identifies the implications for evaluation and the factors, which influence the evaluation at different stages. The previous chapter highlighted the fact that the policy process provides the context for managing demand and supply components for evaluation. This review explores and analyses the making of policy decisions, who the key actors are, and the contextual characteristics that determine policy decisions and policy evaluation (i.e. the focus of this research).

The chapter is divided into five sections. The section following this introduction conceptualises the policy making process, presenting its definition and the models and approaches used to explain the process to date. The third section identifies the array of actors and various factors, which influence the process. The fourth section sets out the implications for evaluation and the impact of evaluation on the various stages of the policy cycle. The fifth section concludes the literature review and sets out the analytical framework that will be used in this empirical study. This framework was based on the findings of the literature review carried out in Chapters two and three.

3.2 The Policy Making Process

A policy can be thought of as a set of instructions from policy makers to policy implementers that spells out both the goals and the means for achieving these goals (Nakamura and Smallwood, 1980, p.31). This set of instructions goes through a process of policy making which, as explained by Sabatier et al. (1993), includes an explanation of how problems are conceptualised and brought to the government's attention for resolution; how governmental institutions formulate alternatives and select policy decisions and how solutions get implemented, evaluated and revised. The process comprises a number of complex rounds or cycles (Dunn, 1994; Sabatier, 1999).

Hupe and Hill (2006) reinforce the argument of the complexity of the process and argue, firstly, that the policy process involves extremely complex sets, each involving a multiplicity of actors having different interests, values, perceptions and policy preferences; secondly, that the process generally spans a decade or more; thirdly, that there are normally dozens of different programmes involving multiple layers of government within a policy domain; fourthly, that it involves various debates about the policy involved, due in part to the highly technical nature of different fora; and, fifthly, that the high stakes involved give rise to politics, power and political behaviour around a policy process.

Howlett et al. (2009) argue that policy making is very complex and that there is an interplay of a series of factors that impact it. They claim that, in order to make effective policies, both the state

and social actors need to be sufficiently strong to enable them to support policies in the best interests of the nation. The nature of policy systems is affected by the political economy structures in which they operate and the nature of the political system's domestic variables namely the link between the executive, the judiciary and the legislature.

Parson (1993) posited that, given the wide range of institutional settings, academic orientations, policy interests and relationships within the policy process, a number of different frameworks are needed to obtain an insight into the varying aspects of the policy process. Parson (1995) reviewed some of these theoretical frameworks, namely the stagist, pluralistic, sub-systems, policy discourse and institutionalism frameworks.

3.3 Approaches to Policy Making

John (1998) views the evolution of political science from the perspective of five political science approaches / theories to explain how policies are made and implemented and how this process differs among policy sectors and countries. The approaches are: the institutional; groups and network; exogenous; rational-actor and ideas-based approach. Proponents of these approaches coexist in the political science field and emerge to argue against one another when there is a failure in earlier accounts of policy change and variation.

The institutional approach dates back to the first half of the twentieth century, which coincided with the formal arrangement of political systems such as Parliament, legal systems and other

bureaucracies, which determine policy, and reflects the traditional way of understanding political science. Context is the key feature to explain policy change and policy variation embodied in constitutional rules and conventions (John, 1998). Bureaucracy is the focus of institutional analysis because it represents the State and because bureaucratic institutions implement its decisions. Public officials form part of the core executive which “refers to all those organisations and procedures that coordinate central government policies, and act as final arbitrators of conflict between different parts of the government machine” (John, 2012, p.39). Several criticisms were levelled against institutionalism, which is considered to portray a static view of the policy process. Actors and groups circumvent institutions to pursue their self-interest. Institutions are also influenced by the political choices made by bureaucrats and politicians.

A new form of institutionalism in the 1980s reasserted the importance of the state and the salience of routines in politics. Myer (2009) argues that associations, both within and outside political institutions, influence policy decisions and outcomes through networking and mobilisation of groups in public decision making.

Institutions do matter, as policy makers function within organisations that have their own history, tradition, culture, standard operating practices, rules, and budgets that set powerful constraints on policy decisions. Jones (1999) posits that behind any study of the public policy process lies the theory of organisations. Policy is made up of organisations, which are made up of interacting decision makers. Therefore, any theory of organisations harbours a theory of individual choice.

Among the major macro-level factors influencing the policy process, institutional arrangements, state-society relationship and national culture are worth serious attention.

The groups and network approach became prevalent during the 1950s and early 1960s. It emerged in reaction to the limits of institutionalism, gaining popularity in the 1980s and 1990s. This approach is based on the tenet that associations and informal relationships, both within and outside political institutions determine policy output and outcomes.

According to John (2012), the exogenous approach rests on the assertion that economic and social factors, which are at work in the wider society and are external to the political system influence the decisions of public actors and have an impact on policy output and outcomes. Sabatier and Jenkins-Smith (1993) are of the view that policy occasionally reacts to external shocks, which can range from major economic changes to elections that realign parties and the rise of social movements. In such circumstances, the coalitions of decision makers and lobbyists argue for their preferred policy positions (John, 2012). Hofferbert (1974) argues that the intended function of the causality framework shapes the policy agenda. Such causality “moves from historical-geographical conditions to socio-economic factors, to mass political behaviours, the operations of government institutions, elite behaviour and policy choices” (Hofferbert, 1974, p. 253). He also added that these conditions are a set of circumstances with multiple relevance that the elite can either overcome, suppress or exploit, but cannot ignore under normal circumstances.

The rational-actor approach is based on the rational choice theory whereby preferences and bargaining power of public actors determine decisions and outcomes (Dunn, 1994; Hill, 2004). Such decisions take into consideration institutional and socio economic constraints but the policy makers have the potential to offer justification for their choices as such decisions are based within a structural context that can incorporate the role of institutions, groups and political and socio-economic factors as well as individual choice. The rational model being inherently the first search to emerge, to seek solutions to complex problems using relevant information in a scientific mode to assessing policy. The model prescribes procedures for decision making that, in theory, will every time lead to the choice of the most efficient possible means of achieving policy goals.

The study of rational choice theory, which claims analytical rigour and theoretical parsimony, assumes that political actors, like economic ones, act rationally as utility maximisers to deduce patterns of outputs from social systems (Friedman, 1953) or in a calculating fashion to maximise their utility or satisfaction, the primary motivation being self-interest of the individual. The public choice theory represents a strong application of the rational choice framework, where public choice theorists view the policy process as one in which a variety of political actors engage in competitive rent-seeking behaviour to capture benefits for themselves (Howlett et al., 2008).

According to the public choice theory, bureaucrats are guided by self-interest, as they are bent on advancing their own career, and their own political ideologies based on their systems of values,

ideals, beliefs and preferences that underlie their approach to issues and shape their decisions (Weiss, 1999). Grindle and Thomas (1991) based their conclusions on 26 case studies supplemented by a series of seminars and workshops with policy makers and managers from developing countries. The authors went beyond the theoretical approaches to analyse the roles and influences of policy elites in shaping agendas and managing the political and bureaucratic challenges of policy implementation.

Simon (1946) argues that, in practice, the limitations of information and time prevent decision makers from basing their decisions on pure rationality. He introduced the concept of bounded rationality which grew from an effort to reconcile the reductionist economic assumptions of rational choice with observed psychological cognitive and emotional constraints that interfered with the process of purely rational decision making (Simon, 1947).

The incremental model identifies the public policy decision making model as being less of a technical and more of a political activity as decisions are made under conditions of complete certainty when specific strategic choices are known to lead to explicit outcomes.

The pluralist-elitist approach focuses on the distribution of power among different groups and looks at how these influence the policy making- process. The sub-systems approaches make use of a unit of analysis, which is referred to as a policy network or policy community, in order to interpret the ways in which policy making and the distribution of power exists in reality (Lindquist, 1992).

The ideas-based approach reflects the growing importance of debates about norms and discourses in the social science. Such ideas about solutions to policy problems have a life of their own and gain influence independently of or prior to interest in the policy process (John, 2013).

Cultural elements are also influential in the policy process. The importance of cultural factors has long been recognised by social scientists such as Ruth Benedict, Margaret Mead and Geoffrey Goner, who are considered as being pioneers in the research of national culture, which lays emphasis on its uniqueness based on values, beliefs and practice (Young-Jung and Cui-Young, 2008). Many political scientists during the 1950s and 1960s also focused on national character or political culture to explain variance in the political systems and governmental activities of different nations. Recent approaches based on the grid-typology proposed by Mary Douglas emphasises the diversity of cultural orientations within a nation. Hofstede underlines the cultural difference among nations. Kim and Roh argue that cultural approaches have not received enough attention in the field of policy process theories because of the difficulty of conceptualising and measuring their core concepts.

Stagist Approaches

The stagist approach conceptualises the policy process as consisting of a series of sequential steps that start with agenda setting and end with policy evaluation (Howlett et al., 2009; Dunn, 2004; Hill, 2004). The policy process was first broached in the early days of policy studies by

pioneer Lasswell who looked at the overall policy making process in terms of “phases” or “stages”. Lasswell (1956) broke the process down to seven discrete stages, namely: intelligence; promotion; prescription; invocation; application; termination and appraisal. Such an approach calls for the development of a conceptual map of the major phases of a collective act (Lasswell, 1956, p.28). It simplifies the policy process as a sequence of functionalities and is viewed as a set of interrelated stages or manageable segments through which policy issues and deliberations flow in a more or less sequential manner from input to output and to outcomes. DeLeon (1999) posits that the stagist approach brings a richness to the policy sciences as it places more emphasis on the complexities of the policy process. Hill et al. (cited in Peters and Pierre, 2006) posit that the stagist approach is a framework, which helps to identify the elements needed for a more systematic analysis, providing a list of variables and metaphorical terms that can be used to compare theories and frameworks, which helps to identify the elements needed for a more systematic analysis.

While the stagist approach clearly takes into account Lasswell’s insistence on a multi-disciplinary approach to the policy sciences and demonstrates the interactive nature of the different stages, this policy process framework also permits the explicit inclusion of social norms and personal values, which were often ignored in other approaches. Attempts have been made to disaggregate Lasswell’s stagist approach leading to a plethora of models of policy stages. Jones (cited in Howlett et al., 2009) reduced Lasswell’s seven stages of policy analysis to five independent phases that taken together form complex, nonlinear cycles and rounds of activities arranged in sequence, that is agenda setting, policy formulation, policy adoption, policy

implementation and policy evaluation, to critically examine how a problem is carried through each of the five different stages of the policy cycle.

Several criticisms were levelled at the stagist approach, claiming that it was an unrealistic and text-box approach (Nakamura, 1987) blurring the borders between the stages (Lindbloom, 1968). Dunn (1994), also, argues that in some cases there is no sequencing as such as policies may be adopted first, or certain phases may be linked, skipped or merged into one another as the process of development of solutions is in a continuous flux.

Other criticisms of the stagist approach are that it is an inaccurate approach having a built-in legalistic top-down focus with no causal model, which fails to provide a good vehicle for integrating the roles of policy analysis and policy-oriented learning in the policy process (Jenkins-Smith & Sabatier, 1993). In addition, this approach is criticised for sharply differentiating the sets of activities, which are portrayed as being disjointed and episodic rather than a continuous process, which reflects a certain linearity in the stages. Furthermore, the approach has a clear downside in that it leads researchers to look at each stage discretely (Sabatier, 1999).

3.3.1 Alternative to the stagist approach - Advocacy Coalition Framework (ACF)

Sabatier's Advocacy Coalition Framework (ACF) emerged in the search for an alternative to the stages heuristic approach and the policy cycle which was an inadequate causal theory of the

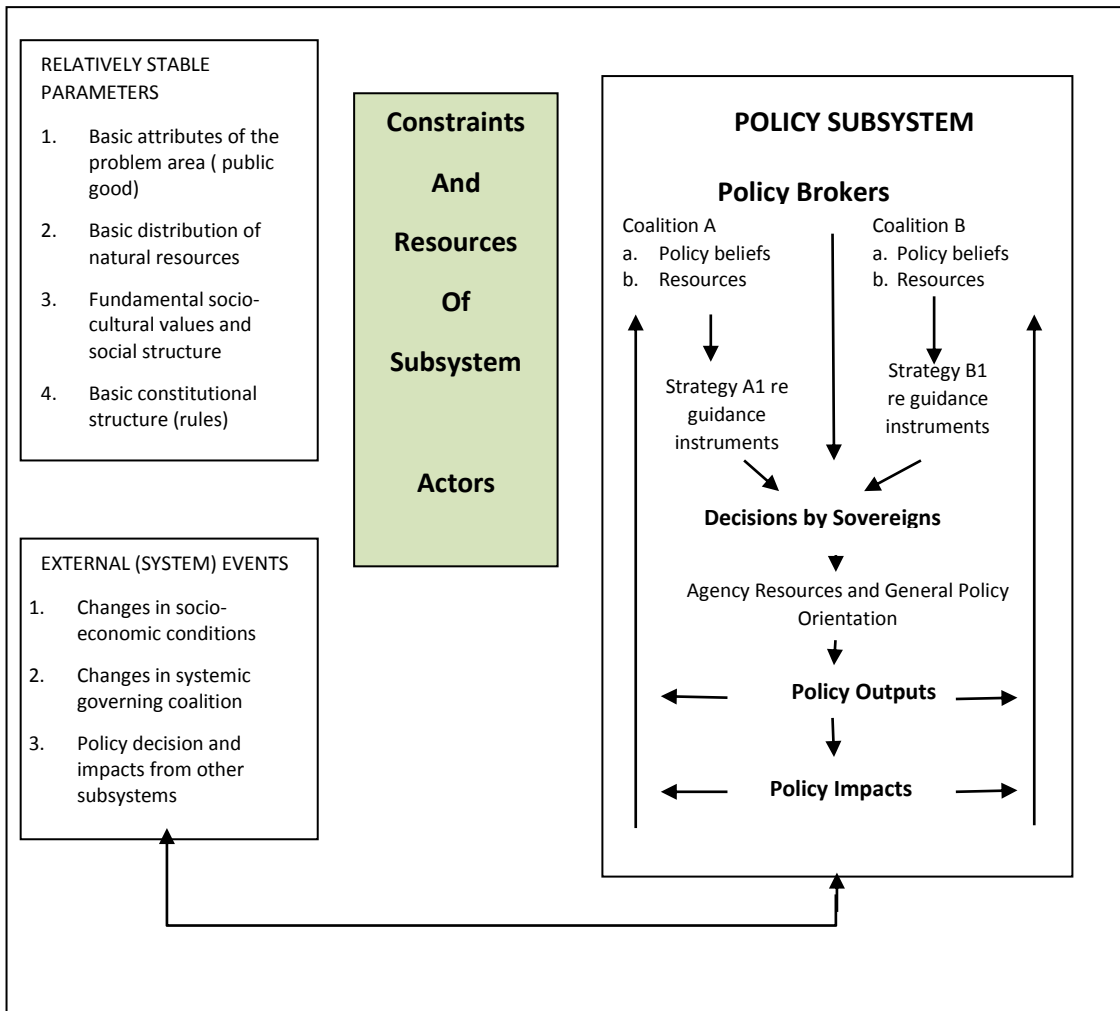
policy process that dominated policy studies in the 1970s and 1980s (Sabatier, 1998). ACF synthesised the best features of the top-down and bottom-up approaches to policy implementation and created a system-based model which incorporates technical information in the understanding of the policy process (Sabatier et al., 2009).

Sabatier (1999) defines an Advocacy Coalition as being:

“...composed of people from various governmental and private organisations that both share a set of normative and causal beliefs and engage in a non-trivial degree of coordination activity over time. The ACF explicitly argues that most coalitions will include not only interest group leaders, but also agency officials, legislators from multiples layers of government, applied researchers and perhaps even a few journalists” (Sabatier, 1999, p. 120).

The ACF, as seen in Figure 3.1, provides two sets of exogenous variables. One set of variables requires stable parameters including the basic constitutional structure, socio-cultural values and natural resources of a political system. Being extremely difficult to change, it is very rare that there are coalition strategies for such exogenous variables, but in Westminster systems, the majority party can change any law anytime and there is a reliance on coalitions. The second set of factors is exogenous to the subsystem and is more likely to change over the course of a decade or so. The major prerequisites to policy change are major economic changes, changes in the system of governing coalition, policy decisions and impacts from other subsystems. For most of the subsystems, the ACF assumes that actors can be aggregated into a number of coalitions, each composed of people from various government and private organisations, agency officials, interest group leaders, legislators from multiple sectors of government, researchers and, even, journalists.

Figure 3.1 - The Advocacy Coalition Framework (ACF)



Source: Sabatier, (1988, p.132)

The ACF approach puts considerable emphasis on competition and conflict as the drivers for investing in new evidence, arguments, and strategies in policy networks. However, Lindquist (1992) argues that there may even be evidence of co-operative strategies across advocacy coalitions rising in response to common shared objectives, such as when disaster strikes, when they would overcome their differences and develop new forms of debating. Sabatier et al. (2009) are of the view that:

“...the ACF can be utilised in almost any political setting and culture including authoritarian regimes, in developing countries and across almost any policy domain. (Sabatier et al., 2009, p.125).

He also argued that, although the ACF was designed as a subsystem-based theory of political behaviour that purposely avoids a linear depiction of policy applications, researchers have explicitly or implicitly integrated the policy stages back into the ACF or have applied the ACF to just one or two stages (Anderson, 1999). The rationale behind this is that researchers have needed to use two organisational tools, for example, the stagist approach to understand the life cycle of a particular policy and another approach, such as the ACF, to zoom in on the political behaviour and other events within each stage, as both the stagist and the ACF approaches are not sequential in nature and are complementary. Since the ACF is a theory of policy change, the framework can be used to look at the conditions as well as factors affecting subsystems, the role of institutions for various stages of the policy process and challenges for collective action and coordination.

Hence, the application of the ACF in the different stages of the policy process can give greater insight into the different factors to explain policy changes. The ACF approach is particularly relevant to this research in order to explain the different factors, both internal and external to the policy environment, which impact the policy process from different perspectives. Sabatier and Pelkey (1987) argue that external factors make use of different “guidance instruments” to influence an agency policy in an attempt to seek redress through court decisions and judicial redress. In addition, in terms of policy spillovers, pressure for change in policy networks can also arise from changes in other policy domains (Kingdon, 1984).

3.4 Stakeholders impact on Policy Making: The Third Community and Policy Communities

In addition to models that explain how decisions are made, it is pertinent to analyse the different stakeholders influencing the decision making process, to establish who impacts decisions. Lindquist (1990) posits that, on the one hand, there are knowledge producers such as social scientists and researchers who are the suppliers of information and, on the other, there are policy makers who are the knowledge-consumers. However, historically, there is a gap between the knowledge-producers and policy makers as the latter was suspicious of information supplied by the former who were considered reformists. Hence, this led to the emergence of a quite distinct group, referred to as the “third community” of policy makers, comprising policy makers, researchers and people from the private sector who were committed to producing policy-relevant data, research or analysis, and to a varying degree are willing to make the results of their inquiries available in the public domains.

With the emergence of the third community, Pross (1986) introduced the concept of “policy communities” to embrace the community concept of actors arising from a growing number of special interests, business and other types of associations, lobbyists, think tanks, and university-based research centres. He categorised them into two sectors: those in the sub-government grouping who come from influential departments in the government and who develop and implement public policy assisted by interest groups and relevant international organisations and who exert a strong influence on any decision (Sabatier, 1990); and, those who are in the “attentive public” domain who are bent on monitoring and criticising prevailing policy and

outcomes such as lobbyists, think tanks, university-based research centres and other actors with the same interests.

Pross (1986) further hypothesised that actors comprising the sub-government tend to support the status quo or support conservative approaches for change, while the “attentive public” would be more critical of the status quo and would be the source of creative ideas for new policy approaches.

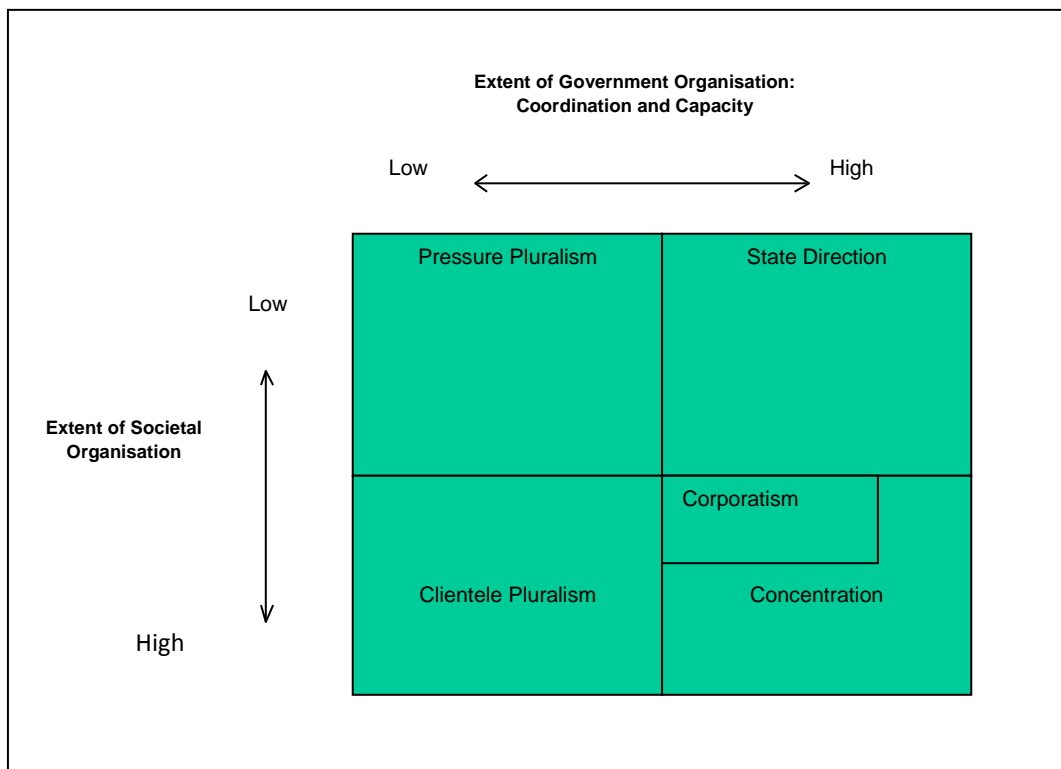
Delineating policy communities is crucial to understanding the complexity of policy making systems. Such communities also highlight the inter-relationship and powerful influence exerted on Government by non-governmental and international organisations such as the International Monetary Fund, the World Bank, other Regional Banks and donor organisations.

Lindquist (1992) argues, however, that when these policy communities have common interests at stake, they establish policy networks which thus constitute different sets of actors who influence the design and implementation of specific policy issues. Hence, institutional relationships and capacities can thus differ across jurisdictions. Such configurations can account for variations in the relative capacities and autonomy of actors within and outside of government and their ability to coordinate and develop coherent strategies and mobilise and sustain action. Figure 3.2 depicts the range of patterns for sub government in light of the groups’ ability, power structure and organisational capacities to coordinate. It is also relevant to reflect how a government’s organisational capacities change according to the issues at hand and how these change over time

and how governments' organisational capacities compare on a given policy issue across countries and sectors.

Lindquist (1992) summarises the possibilities according to whether the relative organisational capacity of state and non-state actors was high or low, or, in other words, whether state and non-state actors were dominant over one another, or whether they were an equal match when it came to developing, designing, and implementing policy.

Figure 3.2: - Patterns of Power for Government and Societal Organisations



Source: Lindquist (2001, p.10)

Sub-governments or policy networks have different patterns of power, including capacities distributed across the levels of government.

The relationship between the state and society impacts the policy process. The policy -making arena will vary depending on the degree of coordination and capacity exerted by both societal and governmental organisations.

At one end, if the degree of coordination and the capacity of the societal organisation and the government organisation is low, then the policy making process will be highly pluralistic allowing the intervention of diverse actors. At the other end, if both are well organised, then the participation of non-organised actors is not allowed as the policy community will be highly concentrated on business corporation or public corporations which are considered as being societal organisations.

Corporatism induces organised interest groups to participate in the policy making process. This is viewed as a collaborative arrangement where the state and the organised interests are using each other to realise shared objectives. Where society is well organised and the state is not, then the policy arena is characterised by clientele pluralism whereby societal interests can influence the policy making process. Clientelism thus acts as a reference to the organisation which depends heavily on the resources of the group and public policy tends to be captured by the interest of the groups. If the coordination and capacity of the state is high, then the state will direct policy making.

3.5 Evaluation within the Policy Cycle

Policy evaluation is not new. As a movement, it arose in the rapid growth boom years of the 1960s when countries such as the USA, Canada, West Germany and Sweden opted for an evaluation process the objective of which was to identify choices between alternative policies and the monitoring of new programmes (Derlien, 1990). Policy evaluation encompasses the estimation, assessment or appraisal of a policy, including its content, implementation, goal attainment and other effects (Nagel, 1980). It is closely linked to political processes that determine the selection, funding, modification, extension and termination of projects (Nagel, 2002).

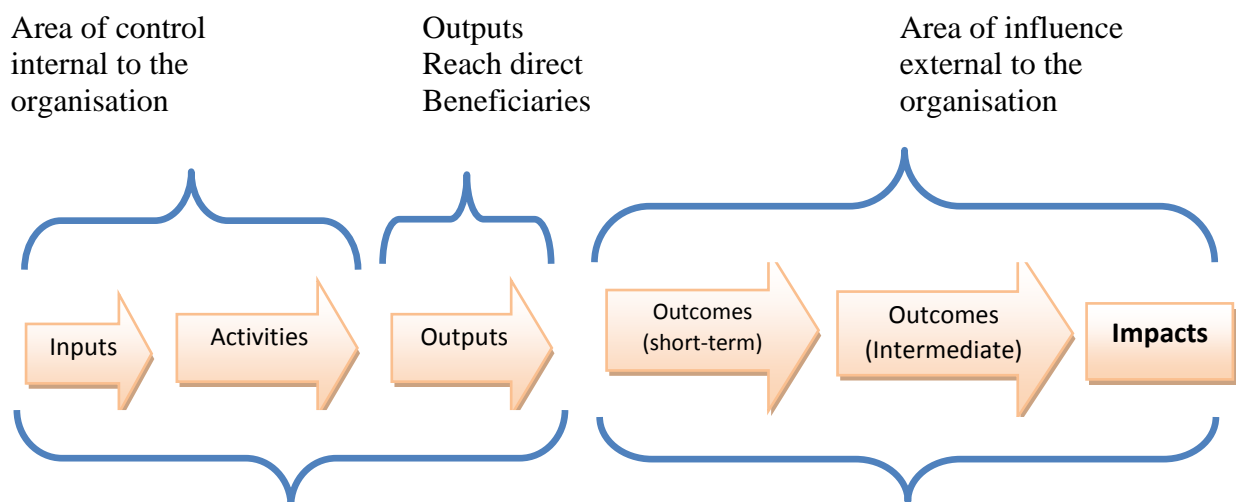
Taylor and Ballock (2005), argue that systematic evaluation employs social science methodology to measure the societal effects of policies and programmes and the extent to which they are achieving their goals and objectives. It involves the specification of goals or objectives and the collection of information and data on programme inputs and outputs. Such evaluation uses rigorous analysis through a variety of evaluation designs to assess the policy impact of a policy which can have several dimensions in terms of intended and unintended consequences. Impact can have positive or negative externalities, which can affect current or future conditions.

Taylor and Ballock (2005) expand on the problems of policy evaluation. For instance, when policy goals are diffuse, unclear or diverse, evaluation is rendered difficult. Determining causality is another problem. It is difficult to establish direct causality and systematic evaluation

requires that societal changes must be demonstrably caused by policy actions not intervening social and economic factors. Policy actions may also have diffuse policy impacts on groups other than those at whom they are specifically directed as the effects of some programmes may be very broad and long ranging. Other problems relate to the difficulties in the acquisition of accurate and relevant statistical data and other information, which may be required. Official resistance may at times come from high level officers who resist change or feel that the results of some evaluations may have divisive effects within agencies (Shaw, 2000).

In the context of a results-based management system, evaluation planning is critical to enable monitoring and evaluation of policies, programmes and projects. The Standard Results Chain, as reproduced in Figure 3.3, is a causal sequence for a development intervention that stipulates the necessary sequence to achieve the desired objectives, beginning with inputs, moving through activities and output and culminating in outcomes, impacts and feedback (Rist & Imas, 2009, p.166).

Figure 3.3 - Standard Results Chain



Source: Rist and Imas (2009, p.167)

This results chain can be roughly aligned to the policy life cycle where resources are allocated to input during the implementation stage in line with policy objectives set at the policy initial stage and the results are assessed in terms of outcomes and impact at the evaluation or accountability stage.

3.5 1 Policy Cycle (Rist model)

Rist (1995) simplified the policy process to three main stages, namely, policy formulation, policy implementation and policy accountability. He argues that each phase has its own logic and information requirements although there is some degree of overlap among the three phases which are very flexible in terms of assessing policies, programmes and projects at any point within the policy cycle. Initially, in the early years of evaluation efforts, it was accepted that assessment was always retrospective and the impact and outcome was always assessed during the last stage of the policy process (Rist, 1990). Rist (1990) argues that the policy cycle is the framework within which policy evaluation can be best understood and evaluation is carried out not only at the last stage of the policy process but at every stage to respond to different requirements.

There has been growing recognition that the different stages of the policy process require different conceptual and methodological approaches to reduce communication tension and to allow policies to be tailored to fit the political context and political ideologies (Leon, 1983). Taylor and Ballock (2005) reinforce the view that policy evaluation as a functional activity is as

old as the process of policy making itself as legislators, administrators, pressure groups, media and citizens have always judged the worth or effects of particular programmes, policies and projects.

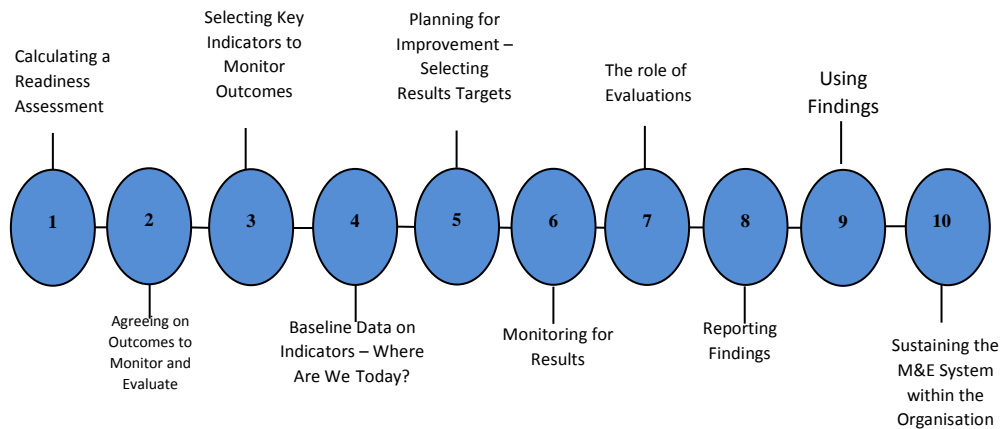
3.5.2 Evaluation at the Policy Formulation Stage

At the policy formulation or the agenda-setting initial stage, policy evaluation can be a useful and influential tool to use to assess particular programme and policy approaches and the kinds of impact, both intended and unintended, that might emerge from different intervention strategies (Rist, 1995). Such evaluation can provide information to policy makers when they have to choose among different alternatives. Weiss (1999) highlights the importance of having information at hand as evaluation findings have to compete with other sources of information that flow into the policy system. At this state, evaluation is useful to policy makers in assisting them to clearly define and understand any problem or condition that features on the agenda, which they have to respond to. They need to have information on what has been done in the past and the impact, if any, it had on the targeted population or institutions to enable them to choose among the available options.

There are different types of evaluation approaches which could be used depending on the type of problem being dealt with at the formulation stage. These include evaluability assessment of new projects, cost benefit analysis or prospective evaluation.

Kuzek and Rist (2004) derived a ten-point framework to build a results-based monitoring and evaluation system, which goes beyond the traditional monitoring system based on input, activities and output. They combined the traditional approach of monitoring implementation with the assessment of outcomes and impacts or more generally of results as shown in Figure 3.4. The monitoring key indicators and baseline data constitute important input for evaluation and impact evaluation in particular.

Figure 3.4 - Results-Based Monitoring Evaluation System



Source: Kuzek and Rist (2004, p.151)

3.5.3 Evaluation at the Policy Implementation Stage

Taylor and Ballock (2005) argue that the second phase of the policy cycle is the implementation stage where the established projects, programmes and goals are transformed into programmes

and policies. Hence, at this stage, which is considered as being the operational stage, the efficient and effective allocation of resources is needed. Rist (1995) argues that, as it is particularly difficult to get new projects off the ground, continuous monitoring helps to ensure that the programme is being implemented as scheduled. At this stage, the success of the project rests on several factors, namely, the institutional capacity, expertise and qualifications of those responsible for the implementation efforts as well as the allocation of timely financial and human resources (Rist, 1995).

Process evaluation, outcome evaluation, mid-term evaluation and continuous monitoring as to whether the targets and milestones are being met are undertaken during this stage. Evaluation at the policy implementation stage entails that monitoring is done as a continuous process and is used to gauge whether a project is being implemented according to plan. Implementation is done by staff, mainly programme managers, and the wider public, including parliaments, press, policy makers, donors and the international community are kept informed of progress. Funds for monitoring are more likely to be an intrinsic part of a programme budget and information, which is collected from monitoring, is useful for continuous programme improvement. Duncan (cited in Shaw, 2000) highlights the fact that monitoring helps keep track of activities, expenditures, processes, policies, rules and conditions which are in place; it focuses on input and output; tracks implementation; is concerned with short term accomplishment and tries to find out why things are or are not working.

3.5.4 Policy Accountability Stage

Evaluation broadly refers to the stage of the policy process at which it is determined how a public policy has actually fared in action. It involves the evaluation of the means involved in action and the objectives being served (Howlett et al., 2009). Gerston's (1997) definition (cited in Howlett et al., 2009, p.178) further adds to the definition that policy evaluation assesses the effectiveness of a public policy in terms of its perceived intentions and results.

Leon (1983) argues that evaluation cannot be carried out in relative isolation from policy makers' requirements as this would create credibility gaps between the evaluators and policy makers. The accountability stage in the policy cycle is evaluation of the policy or programme, which is sufficiently mature that it addresses the question of accountability, assesses the impact of the outcomes, asks how the programme has fared and assesses the consequences of the policy or programmes. Rist (1995) holds the view that the field of policy evaluation has greatly matured over the past twenty years and has helped to demonstrate the consequences of present and past policy initiatives, clarify policy choices, inform decision makers as to the costs and benefits of different options and reframed the debate on pressing national and sectoral issues.

Ex-post evaluation or impact evaluation falls within the last stage of the policy process. A new type of policy evaluation rests on the systematic and objective evaluation of programmes and employs social science methodology to measure the social effects of policies and programmes and the extent to which they are achieving their goals or objectives. Ex-post goes beyond output

to assess outcome and impact of a programme and its effect on the larger community and also looks at the net effect of the programme after taking into account what would have happened in the absence of the programme (Weiss, 1998; Bamberger, 2009; Bamberger et al., 2006, 2009).

3.6 Conclusion – Literature Review and Development of Analytical Framework

The analytical framework of this study is derived from the literature review given in Chapters Two and Three on evaluation and the policy making process, respectively. Yin (2009) argues that the conceptualisation of the phenomenon under consideration enables the researcher to elaborate on the main concepts and their interrelationship as well as sets the boundaries of the empirical research. In this particular context, the main concepts which have been defined are evaluation, impact evaluation and the policy process (Bamberger, 2009; White, 2010; Gaarder and Briceno, 2010).

The literature review provides evidence of the many facets and types of evaluation in a variety of contexts in several countries. Impact evaluation is just one of the many types of evaluation which respond to evaluation questions in terms of cause and effects of policies, programmes and projects. Rigorous statistical methods are used to address counterfactuals, attribution and contribution of a particular policy programme or project.

3.7 Definition of Impact Evaluation to be used in the Research

The literature review demonstrates that there are many types of evaluation which could be used at different points within the policy cycle, depending on the information requirements. Bamberger (2009) reiterates the fact that, although impact evaluation is “the most frequently discussed type of programme evaluation; it is only one of many types of evaluation that provide information to policymakers, planners, and managers at different stages of a project or programme cycle.” Table 3.1 lists different types of programme evaluations that could be used during the project planning process, while a project is being implemented, at the time of project completion, or after the project has been operating for some time. Although many impacts cannot be fully assessed until an intervention has been in place for several years, planners and policy makers cannot wait three or five years before receiving feedback. Consequently, many impact evaluations are combined with formative or process evaluations designed to provide preliminary findings while the project is still being implemented to assess whether a programme is on track and likely to achieve its intended outcomes and impacts (Bamberger, 2009, p.134).

Table 3.1 - Types of project or programme evaluation used at different stages of the project cycle

1.	Project planning	Implementation	Project completion	Post completion
	Exploratory studies	Evaluations based on program theory (logic) models	End-of-project survey for preliminary impact evaluation**	Post-test data collection for pre-test/post-test impact evaluation **
	Project appraisal	Results-based M&E framework**	Implementation completion report	Post-test impact assessment**
	Beneficiary assessment studies	Monitoring reports	Repeated cost-benefit or cost-effectiveness analysis	Sustainability assessment
	Baseline data collection	Beneficiary assessment	Results-Based Management Project Assessment	Public expenditure tracking study (study repeated to assess improvements)
	Pre-test data collection for pre-test/post-test impact evaluation **	Rapid feedback studies	Historical reconstruction	
	Cost benefit and cost-effectiveness analysis	Process analysis**		
		Public expenditure tracking studies		
		Action research		
		Mid-term review		

Note: ** programme evaluations that can be part of an impact evaluation design

Source: (Bamberger, 2009, p135)

Taking into consideration that institutionalisation of evaluation entails the adoption of all types of evaluation during a project life cycle or policy cycle including ex-ante or ex-post impact evaluation, then institutionalisation of impact evaluation as stated in the title of the research means any type of evaluation which is warranted at any point in time of a policy or project. Impact evaluation is not limited to one type of evaluation but covers the broad spectrum of evaluation carried out as a policy initiative along the project cycle.

Chapter Two also elaborates on the different approaches and dimensions of evaluation in several advanced countries and highlights the purpose and benefits derived from the institutionalisation of such evaluation. These are broadly based on a mix of factors relating to historical and domestic conditions linked to the countries' state of development. Factors which are of particular influence are the constitution, the role of the state and institutions as well as roles and responsibilities of politicians, policy elites, public administrators and the research community. Further, data management, funding, technical expertise in evaluation coupled with the prevalence of an evaluation culture are critical to institutionalising impact evaluation. Most of these factors are encapsulated in the demand and supply requirements of evaluation, as extensively described by Langou and Weyrauch (2013), as well as Rist's nine principles which provide evidence of maturity of evaluation culture (Rist, 2000).

The review of the different dimensions of evaluation and impact evaluation in Chapter Two identifies several factors, which influence the adoption of evaluation in many countries, and these constitute the main determinants for the institutionalisation of evaluation as a policy initiative. The factors for both evaluation and impact evaluation in particular rest on demand and supply of evaluation and their interaction, inclusive of the context, which is rooted in each country's historical development.

Demand is mainly determined by the economic and political conditions of a country. It inspires changes in public management to rationalise resource allocations to increase efficiency in the delivery of services. Supply, on the other hand, is the availability of expertise to respond to such

demand. Hence, these factors have been used to develop the theoretical framework for the empirical study to explore to what extent these characteristics can apply to the Mauritian case study.

The policy process provides the context for interaction of demand and supply of evaluation (Langou and Weyrauch, 2013). Chapter Three reviews the policy process which provides this context from different perspectives. The overall analysis identifies the factors within and outside public institutions as well as the influence of power dynamics and the coalition framework which greatly affects the policy process. Rist's three-pronged stagist approach has been used to identify the information evaluation requirements at each stage of the policy cycle.

The analysis of the literature on the policy making process using the Sabatier Advocacy Coalition Framework reveals that the policy cycle is influenced by several indigenous and external factors with particular emphasis on the influence of policy subsystems and other influences originating from approaches and models of policy making, such as incrementalism, rationalist choice theory models, institutionalism and network theories.

Thus, the factors that influence the demand and supply characteristics, as well as those factors that influence the policy cycle as analysed through the Advocacy Coalition Framework and the factors, which influence each stage of the policy cycle, are used to build the conceptual framework used in this empirical research study. The purpose of the conceptual framework is to guide the researcher in determining the evaluation requirements and produce evidence, mainly

from developed countries, on how impact evaluation has been institutionalised and to find out what factors enabled or constrained such institutionalisation. These factors, as indicated in Figure 3.5, provide the basis for the empirical research study concerning the Mauritian Civil Service.

Figure 3.5: Factors determining the institutionalization of Impact Evaluation

<p>Demand Context /entry point Political system Evaluation systems and usage Windows of opportunities Policy actors and policy communities Extent of government and societal organisation Evaluation culture Information Interest of policy makers</p>	<p>Supply Context Social science community Funding Individual or organisational characteristics Mechanisms and communications strategies internal/external and location Research characteristics Quality and independence Existence and characteristics of policy communities and advocacy coalitions Governance, funding, research management mechanisms and communications strategies Funding of social science community Policy actors and policy communities</p>
<p>Analysis of the policy process using the Advocacy Coalition Framework</p>	
<p>Relatively stable parameters Basic attributes of the problem area Basic distribution of natural resources Fundamental socio-cultural values and social structure Basic constitutional structure</p>	<p>External system events Changes in socio-economic conditions Changes in public opinion Changes in systemic governing coalitions Policy decisions and impacts from other subsystems</p>
<p>Exogenous variable Changes in socio-economic conditions Changes in public opinion Changes in systemic governing coalition Policy decisions and impact on from other subsystems</p>	<p>Policy-subsystems, coalitions, policy brokers</p>
<p>Constraints and resources of sub-system actors</p>	<p>Decisions by sovereigns Institutions rules, resource allocations and appointments Policy output Policy impact</p>

The empirical research will be carried out using the framework to explore the state of evaluation in Mauritius from a demand and supply perspective. Furthermore, the policy process, which is set within broader political, cultural, socio-economic conditions and is the vehicle for policy change will be analysed through the lens of the factors relating to the Advocacy Coalition Framework to assess the factors favouring or constraining the institutionalization of education.

CHAPTER FOUR - RESEARCH METHODOLOGY AND METHODS

4.1 Introduction

The aim of this chapter is to set out the research design, to guide the researcher in the process of collecting, analysing and interpreting empirical data. The chapter consists of five sections. Following this introduction, the first section elaborates on the ontological and epistemological stance of the research. Section two outlines the research design, justifying the selection of the case study approach and its relevance to this research. Section three establishes the role of the researcher, while section four elaborates on the research methods employed for the collection, analysis and validation of the data. Section five concludes by summarising the chapter.

4.2 Epistemological Considerations

Easterby-Smith et al. (2012) suggest that understanding the philosophical position of a research study is useful for enabling researchers to clarify what methods and techniques to use for the research. Case studies can be approached in various ways, depending on the epistemological standpoint of the researcher relative to the positivist and the interpretivist philosophical traditions (Darke et al., 1998; Yin, 2003). Hence, it is important to clarify the philosophical stance of the research when evaluating the research design.

Positivism: The positivist perspective is founded on an ontology that proposes that an objective physical and social world exists independently of human's knowledge constructs. Research predicated on this belief emphasises the empirical testability of theories, in order to discover the general principles of law that govern the natural world. Inquiry is thus assumed to be value free, enabling the researcher to remain detached, neutral, and objective (Darke, p. 276).

Creswell (2009) recalls that positivism was a response to mystical forces, as set out by the mysticism of philosopher Nostradamus, who chose to study the social world as part of a natural evolutionary process. Positivists believe that reality is real, that it exists "out there", and is waiting to be revealed through experimental reasoning or scientific methods, employing an objective and value free approach based solely on observable facts (Goles & Hirschheim, 2000).

Burrell and Morgan (1979) reinforce the concept of positivism as an epistemology that seeks to explain and predict events in the social world, by searching for regularities and causal relationships between constituent elements. Positivists believe in value-free research, in which researchers stand as neutral observers, employing scientific techniques to overcome human bias.

As it is deductive and particularistic, quantitative research involves counting and measuring events and performing a statistical analysis of a body of numerical data (Smith, 1988). It is based upon formulating research hypotheses and then verifying them empirically with a specific set of data (Frankfort-Nachmias & Nachmias, 1992). Quantitative analysis focuses on how to extract, use and manipulate both secondary and primary data.

The strengths of the quantitative method arise from the adoption of a standard factual approach to a research problem; for example, the method makes it possible to frame queries in precise terms for analysis (Frankfort-Nachmias & Nachmias, 1992); to specify both the independent and dependent variables under investigation; to ensure no deviation from the original set of research goals to reach more objective conclusions; testing hypotheses; determining issues of causality to achieve high levels of reliability for the gathered data based on controlled observations, laboratory experiments, and mass surveys. Discussing the benefits and limitations of field experiments, Campbell (1968) lists the following as possible components that could go wrong, creating what Harvard terms ‘Campbell’s demons’

1. History: If something is measured at two different times and a difference is observed, it could be because of any number of historical events that took place in the intervening period;
2. Maturation: Subjects and experimenters alike become older, tired, bored, and otherwise different in the course of an experiment;
3. Testing: Measuring the way a person responds to a stimulus can change the way he or she responds the next time there is a measurement;
4. Selection: If comparison groups are not chosen strictly at random, then hidden biases can destroy comparability;
5. Mortality: Not all subjects remain available during an experiment that lasts over a period of time. Those who drop out or become lost may differ in some systematic way;

6. Instrumentation: The measuring scale might have more flexibility in the middle than at the extremes;
7. The John Henry effect: Members of a control group might know they are in a control group and try harder skewing the results; and
8. Resentful demoralisation: Control groups see the experimental group as being favoured, and they stop trying.

Although recourse to this type of experimental research has been heavily used as an evaluation tool, especially in educational settings, there is increasing concern that quantitative methods cannot be used in all contexts. The notion of employing a scientific method and value free judgment has been questioned, as there is uncertainty due to elements of imperfection affecting scientific methods. Campbell (1969) recognises that discretionary judgment is unavoidable in science, stressing that proving causality with certainty when explaining social phenomena is problematic, as knowledge is inherently embedded in historically specific paradigms, and all methods are imperfect. Thus, multiple methods, both quantitative and qualitative, are needed to test theories, and improve understanding over time about how the world operates, to support informed policy makers and social program decision making (Campbell & Russo, 1999, cited in Patton, 2002, p. 92).

Contrary to scientific methods, the interpretivist approach is based on ontology, in which reality is subjective, a social product and interpreted by humans as social actors according to their own unique beliefs and value systems. Such interpretations are based on attempts to understand

phenomena through the meaning participants attribute to their historical and cultural context, rejecting the notion of value-free research and the importance of repeatability when offering an explanation (Dark, 1998). The overall aim of such attempts is for the researcher to gain an in depth understanding of any phenomenon being investigated to acknowledge their own subjectivity as part of the process.

Qualitative research is less likely to impose restrictive *a priori* classification on data collection. In addition, it is not typically driven by specific hypotheses and categorical frameworks, as it is more concerned with the relevance of emergent themes and idiographic descriptions (Cassell and Symon, 1994). Using qualitative methods can offer a more realistic view of empirical data than that emerging from statistical analysis. Such methods provide flexibility for data collection, and for the subsequent analysis, and interpretation of the collected information and they provide a holistic view of the phenomenon under investigation (Bogdan and Taylor, 1975; Patton, 1980). The qualitative approach is more participatory, as it involves instruments such as observation and open ended interviews to understand shared patterns of behaviour over time. Qualitative methodology also enables the researcher to be close to the phenomena. Qualitative instruments have been used to maximise the input of respondents and extend greater flexibility to them to reflect their own views in their specific context.

Pragmatism: Creswell (2009) advocates that “pragmatism” concerns “what works”, while abstaining from using metaphysical concepts, such as “Truth” and “Reality” to uncover solutions to problems (Patton, 1990). The pragmatic view places additional emphasis on the research

problem, allowing the researcher greater flexibility to choose the research methods, techniques and procedures that best meet his or her needs and purposes. In essence, the overriding issue for pragmatists is that something be useful, whether it is a philosophical assumption, a methodology, or information; that is, useful in the sense that the something in question is instrumental in producing desired or anticipated results.

Goles and Hirschheim (1999) opine that pragmatism falls somewhere between positivists who believe there is an objective reality that exists independently of the individual, and anti-positivists, who pose the counter argument that reality is equivocal, and that each individual uniquely interprets it. Pragmatism also takes the position that there is an objective reality that exists external to the individual, but that this reality is grounded in the environment and the experience of every individual and so can only be imperfectly understood. Pragmatism allows one to eschew methodological orthodoxy, preferring instead methodological appropriateness as the primary criterion for judging methodological quality, recognising that different methods are appropriate for application in different situations (Patton, 2002, p.72).

Pragmatism prompts the use of concrete methods to establish what makes sense, what was done, and what any implications are for findings associated with a research problem. Similarly, Patton (1990) asserts that once a research problem has been identified, pluralistic approaches can be resorted to, so that it is possible to address the problem flexibly.

The philosophical underpinnings for this research are based on a world view defined by Guba and Lincoln (1994), which holds that the world is comprised of a set of beliefs, propositions and a world view that defines the world. They quote Patton, arguing that:

“...A paradigm is a world view, a general perspective, a way of breaking down the complexity of the world. As such, paradigms are deeply embedded in the socialisation of adherents and practitioners: paradigms tell them what is important, legitimate and reasonable. Paradigms are also normative, telling the practitioner what to do without the necessity of long existential and epistemological considerations. But it is this aspect of paradigms that constitutes both their strength and their weakness – their strength in that it makes action possible, their weakness in that the very reason for action is hidden in the unquestioned assumptions of the paradigm” (Patton, 1978, p. 203 in Guba and Lincoln).

The world view adopted for the research is a pragmatic one, centred on the role of public policy-making, where politicians, policy makers, public officials, and other actors and recipients of services, and the population at large are affected in one way or another by the action or inaction of Governments within a specific context. The research is pragmatic in nature emphasising the research problem and allowing the researcher greater flexibility to choose the research methods, techniques and procedures that best meet the objectives of the research.

In this context, an interpretivist approach is adopted based on a realistic ontology that proceeds from a belief and value system that focuses on the cultural and historical context of Mauritius, and the Civil Service in particular. The research is exploratory in nature, and seeks to understand the mechanisms of the policy-making process to establish how a Government creates policies. This position is taken as the researcher is a public officer of long standing practice, who wishes to conduct research based on a case study that, as advised by Yin (2003), should be “exemplary”

and meet the conditions of being unusual and of general public interest, so that the underlying issues are nationally important, either in theoretical terms, or in policy or practical terms (Yin, 2003, p.162). Furthermore, the researcher, using an interpretivist approach, recognises her own subjectivity as part of the process.

As discussed previously, the Research Questions seek to guide the researcher to an understanding of how evaluation and impact evaluation are perceived in relation to policy-making within the Mauritian Civil Service, and what opportunities and challenges present themselves when seeking to institutionalise impact evaluation within the Civil Service in Mauritius. According to Yin (2003), a case study design is appropriate when: (a) the focus of the study is to answer “how” and “why” questions; (b) you cannot manipulate the behaviour of those involved in the study; (c) you want to cover contextual conditions, because you believe they are relevant to the phenomenon under study; or (d) the boundaries are not clear between the phenomenon and context.

4.3 Research Design

Case study: A case study is a specific research strategy that can be used to understand contextual conditions that are highly pertinent to a study, the central aim being the need to explore an event in depth in its natural setting. When employed within social science research, a case study methodology allows the researcher to conduct an investigation while retaining the holistic and meaningful characteristics of real-life situations and events (Yin, 1989). Yin (2003) further

defines the case study as a strategy of ‘empirical enquiry that investigates a contemporary phenomenon within its real-life context when boundaries between the phenomenon and context are not clearly evident’ (Yin, 2003, p. 13). Case studies also chosen as an appropriate method for examining the dimensions of social phenomena (Harper, 1992 p. 139 in Ragin and Becker, 1992; Lewis, 2004; Schaffer, 2000). When compared with other research designs, a case study design is seen to offer a high degree of flexibility (Ritchie & Lewis, 2003), and can be used to ‘delve deeper’, to provide rich, detailed, and intensive data (Bryman, 2001; O’Leary 2004, Denscombe, 2005).

Case studies can take advantage of the use of multiple data collection methods such as surveys, interviews, observation, and documentary analysis (Cresswell, 1998; Hakim, 2000; Holloway and Wheeler, 1996; Robson, 2002; Yin, 1993, 1994; O’Leary 2004), resulting in a multi-faceted study rooted in a single distinct context (Ritchie & Lewis, 2003). They also offer a potentially unique strength, for dealing with a full variety of evidence (documents, artefacts, interviews and observations) (Yin, 1989). These will facilitate better triangulation to provide a more holistic, comprehensive and contextualised understanding (Ritchie & Lewis, 2003; O’Leary, 2004, Denscombe, 2005).

In terms of purposes, Yin (1989) argues that all research strategies have at least one of three purposes: either exploratory, descriptive or explanatory, and that purpose is a function of the research questions being asked. Robson (1993, p. 59) elaborates these three purposes as follows: Exploratory research aims to “find out what is happening, to seek new insights, to ask questions

or to assess phenomena in a new light” and is usually qualitative in nature; descriptive research aims to “portray an accurate profile of persons, events or situations” and requires extensive previous knowledge of the situation to be researched to ensure that appropriate information is gathered; it may be either qualitative or quantitative in nature; explanatory research “seeks an explanation of a situation or problem, traditionally in the form of causal relationships”. Robson (1993, p. 58) also signals a possible fourth purpose, i.e. “emancipatory signalling the creation of opportunities and the will to engage in social action”.

Case Study approach for this Research: The rationale for using a case study approach is that the “how” and the “what” questions it poses are best answered using a qualitative research method that is well suited to understanding the intricacies of policy making and the interaction between the policy process and the factors affecting the institutionalisation of impact evaluation. Such a strategy also provides in-depth understanding of policy making within a defined context.

Unit of Analysis: Collis and Hussey (2009) describe the unit of analysis as the focal point that variables, phenomena and a research problem refer to and around which data is collected. Furthermore, Yin (1989) has argued that a researcher might refer to the unit of analysis as ‘the case’, which can either be singular or multiple, as these are examples from which the researcher should be able to draw generalisations (Payne & Payne, 2004). Remenyi et al. (1998) also suggest the unit of analysis can be an organisation, an individual, a group of people, a process or relationship. In the particular case of this study, the unit of analysis was determined by answering the following questions: What is it that the researcher wants to analyse? Is it a

program, an individual or a process? The Research Questions establish that the focus of the research is on the policy-process, but that the process is the responsibility of the Civil Service, as the executive arm of the Government.

However, the Civil Service is not a single entity, but is comprised of 25 Ministries and many other Departments. Hence, these Ministries and Departments can be considered to constitute embedded units within the case, and this will allow the researcher to explore the case overall while also evaluating the influence of the Ministries and Departments on the policy making process within its life cycle.

Another critical issue to articulate relates to the importance of the boundaries of a study (Payne & Payne, 2004). In this respect, as Somekh and Lewin (2005) have argued, epistemologically, the drawing of boundaries is crucial to enable the researcher to define the limits of any in-depth study of a case. The boundaries of this research are limited to the study of the policy process within the context of the Government of Mauritius' political, institutional, organisational and other structures, to determine the factors that influence policy making and determine the opportunities and challenges of institutionalising impact evaluation. This is achieved by reviewing the budgeting and policy-making processes at the level of Ministries, through the Cabinet of Ministers and the Legislative Assembly.

Hakim (2002) argues, that “the research design deals primarily with aims, purposes, intentions and plans within the practical constraints of location, time, money and availability of staff. It is

also very much about style, the architect's own preferences and ideas (whether innovative or solidly traditional) and the stylist preferences of those who pay for the work and have to live with the finished results" (cited in Robson, 2002, p. 80). In this study, the case study is selected on the basis that case studies have been firmly established as effective research instruments (Yin, 1994) and can be used to investigate real life contexts (Yin, 1994, p.13). Moreover, case studies are now firmly established as research strategies (Yin, 1994; Patton, 2002), and are well recognised in the fields of business, law and policy (Crowe et al., 2011). In other words, a case study can be used to understand the contextual conditions that are highly pertinent to this study, which has as its central tenet, the need to explore events in depth in their natural setting.

The case study approach was also chosen because of the accessibility of the site to the researcher. The researcher has an enhanced participatory role and so there is interaction with the research subjects to gather firsthand information in their own language and on their own terms.

Contrary to when applying quantitative methods, the researcher engaged in a qualitative study does not usually adopt a distant observational role, but rather interacts with the study from an epistemological angle. This has an impact on the axiological issue of the role of values in the study. The researcher therefore participates in the collection of observational data. The process is very flexible, and grounded theory is derived using multiple staged data collection to unfold the meaning of experiences, and to uncover their lived experience.

4.4 Role of the Researcher

The case study is based in Mauritius within the Civil Service, which is the executive arm of the Government responsible for policy making in the formulation, implementation and monitoring of public policies. As well as being of Mauritian nationality, the researcher has worked in the Civil Service in Mauritius for several years and is very conversant with the architecture, mandates and functions of all the Ministries. Equally important, the researcher has a good working relationship with both internal and external stakeholders, which effectively facilitated the interview sessions with officers of the Government, as they have all signed the Official Secrets Act and might have been reluctant to disclose information, even though nothing of a confidential nature was elicited. Creswell (2002) aptly defines the factors that determine the choice of a research design. In addition to determining use of a quantitative, qualitative, or mixed methods methodology, the adopted worldview, and methods used to address the research problem, the personal experience of the researcher and the audience are critical elements that can influence the choice of a research paradigm. (Creswell, 2002, p. 18). The choice rests to a large extent on the researcher's psychological attributes, training, experience, and comfort levels with using quantitative and qualitative techniques and other computer and research skills (Chen, 1990).

The researcher holds the post of Permanent Secretary at the Ministry of Health and Quality of Life and forms part of the management team directly accountable to the Minister responsible for the subject of Health and the Senior Chief Executive and the Secretary to the Cabinet and Head of the Civil Service. In this capacity, she is involved in policy formulation, policy

implementation and policy monitoring. The researcher also holds a double master's in Public Sector Management and Business Administration, in addition to being a Hubert Humphrey Fellow from the United States of America. She was thus able to elaborate on the sampling strategy in an informed way to guide the research. The credibility of the researcher is dependent on their training, experience, track record, status and self-presentation (Patton, 2002, p. 571).

In addition, all due care was taken to ensure neutrality and impartiality and report any personal or professional information that might affect the data collection analysis and interpretation. As a qualitative design, a case study is naturalistic to the extent that the research takes place in a real world setting, and so the researcher must avoid manipulating the phenomenon of interest.

4.5 Research Methods

Research methods are the tools used to collect and analyses data. A purposive sampling strategy was adopted for this study, as it focuses on individuals and groups of individuals who are thought to be

“...Case for study (e.g., people, Organisations, communities, cultures, events critical incidences) are selected because they are “information rich” and illuminative, that is they offer useful manifestations of the phenomenon of interest; sampling, then is aimed at insight about the phenomenon, not empirical generalisations from a sample to a population” (Patton, 2002, p. 40).

Sampling strategy: In qualitative research, Flick (2007) argues that sampling is not oriented in a similar way to formal selection, such as a random sampling is in a quantitative enquiry rather it is

conceived of as: "...a way of setting up a collection of deliberately selected cases, material or events for constructing a corpus of empirical examples for studying the phenomenon of interest in the most instructive way to capture the richness, variation and variety of the phenomenon under study" (Flick, 2007, p. 2007).

For this research, a purposive sampling approach was followed. The rationale behind doing so was that the topics being researched are very focused around particular groups of people involved at different stages of policy making, Denzin and Lincoln (1994) concur that many qualitative researchers employ purposive rather than random sampling methods. They argue that these researchers prefer to seek out groups, settings, and individuals where the processes being studied are most likely to occur (1994, p. 202). In this particular case, the researcher identified, based on the literature review in chapters two and three, that different stakeholders were involved in policy-making at different levels in the hierarchy of different institutions.

Based on the researcher's understanding of the roles of those involved in policy making the persons selected were Ministers, Honourable Members of the Public Accounts Committee of the National Assembly, Officers forming part of the top management team from institutions such as the Audit Department, high level officers from key ministries such as Ministry of Finance & Economic Development, Prime Minister's Office, and Ministry of Civil Service Affairs and Trade Union members.

In addition, other elites outside the State, such as persons from the Private Sector, and international institutions based in Mauritius, such as the World Bank, as well as academic and research institutions such as the University of Mauritius, Mauritius Research Council and key Consumer Associations were approached for interviews. In total, 31 people were interviewed over a five-month period. They were selected principally based on their job titles, to ensure their posts meant they would be able to provide data directly related to the purpose of the study. The research questions are quite explicit and targeted people directly and indirectly involved in policy-making at different levels in the policy cycle; namely at policy initiation, policy implementation, and policy evaluation.

4.6 Data Collection Techniques

Data collection is the primary research activity where primary data are collected through interviews, observations, participation, focus groups, and questionnaires while secondary data can be derived from books, journals, administrative and public records, films and documentary programs (Collin & Hussey 2009; Saunders et al. 2012). Interview is an exceptionally useful method of data collection. It provides one-to-one interaction between the researcher and the participants and can be used in situations where an in-depth knowledge of an issue or relationship is needed (Tashakkori & Teddlie, 1998, p. 102).

Prior to the interview, the Researcher phoned all the respondents to explain the purpose of the interview, and then sent out follow up emails and forwarded the Participation Information Sheet, as per Appendix 4.1, stating the broad objectives of the research. It proved difficult to secure appointments with Ministers and high level Officials as they all have a heavy schedule and appointments had to be rescheduled several times.

The interviews were structured around a list of themes, rather than questions; the schedules are as reproduced in Appendix 4.2, but there were no hard and fast rules, as many respondents raised issues that fell outside the purview of the research. Each interview lasted for around one to one and a half hours in total. The majority of the interviews were recorded, except for two which were not recorded deliberately and in one case where a faulty recording meant that nothing was recorded on that day. Fortunately, the researcher took notes during all the interviews on points of critical importance, despite also making recordings. The notes provided an effective backup system. During the interviews, the researcher used the interview guidelines, but allowed the respondents to elaborate on any issues that they considered relevant.

The researcher identified six broad groups of individuals for interviews. The first group to be targeted was from the Government, and comprised of Ministers, Directors, and Chief Executives from the different Ministries and Departments to enable the Researcher to understand how policies are made by Governments in the context of Mauritius, during the different stages of the policy life cycle. Furthermore, the researcher established their current understanding of the state

of evaluation, to assess whether there was any demand for policy evaluation and impact evaluation, and the challenges that might arise in relation to evaluation issues.

The second group targeted within the Government were officers involved with the implementation and monitoring of policies, programs and projects. The aim when interviewing the second group was to obtain insights into how they view policy implementation and to assess the role of evaluation in connection with the policy cycle.

The third group within the Government were the Trade Unions members, who are also Government Officers. The President of the Trade Union Members, who represents the majority of the 55,000 Public Officers at several levels in the hierarchy of the Public Service, was interviewed. The objective of this interview was to obtain firsthand knowledge of the associations on Performance Management Systems, incentives and monitoring and evaluation as viewed by Trade Unions.

The fourth group were from private sector research and academic institutions outside the Government. The objective was to assess their level of influence as an external pressure on policy-making, and the importance of supplying evaluation to respond to demand for evaluation from the Government.

The fifth group comprised members of international organisations based in Mauritius, such as the World Bank, the European Union, and the World Health Organisation and others to assess their

contribution to policy making as well as the harmonisation of grants from donor agencies for different projects and the role these play in evaluation assessments.

The sixth group were members of civil society, and this made it possible to obtain feedback on the types and quality of services they obtain, and their views regarding the rationale for evaluations. Among this group, the researcher interviewed the President of the Mauritius Consumers Association who plays a leading role in consumer protection and is a spokesperson for consumers.

As stated above, a total of 31 individuals were interviewed. In addition, a smaller number of other officers were also interviewed to provide further clarification about the case study work. The interviews were conducted mainly from August to November 2013, except for one respondent whom the researcher could not interview until early January 2014. The list of interviewees given in Appendix 4.3 has been codified to maintain the confidentiality of the interviewees. The case study quotes from the interviews have been referenced to a unique interview number, given an identity descriptor, and the year of interview recorded.

4.7 Clarifying access and Ethical Issues

Securing access was formalised by first preparing an information sheet to provide details to potential respondents about the project, as well as to gain access via gatekeepers to the right

persons (Flick, 2007, p. 32). Prior to the interviews, the researcher informed the interviewees of the objectives of the research by issuing them with the participation form. Once they had read and agreed to the terms given on the information sheet, the participants signed a consent form (Appendix 4.4), of which they were also given a copy. It was not easy to carry out interviews with Public Officers because all Public Officers are bound by the Official's Secrets Act. In addition, some Heads of Departments agreed in principle to arrange a time for the interviews, but kept postponing. After three or four attempts via email and phone, the researcher accepted that it would not be possible to arrange all the desired interviews. However, those Ministers whom the researcher was able to interview were very forthcoming, as were the representatives of the World Bank, European Union, World Health Organisation and "Agence Francaise De Developpement".

There were also ethical issues to consider before starting the interview. In line with the University Regulations, the Researcher sought and obtained the approval from the Ethical Committee. She also sought the approval of the Secretary to the Cabinet and the Head of the Civil Service in Mauritius before interviewing any Public Officers.

4.8 Document Review

Yin (2009) considered performing a document review a useful step in the data collection process when conducting a case study. Therefore, the researcher analysed a series of documents to trace the mandate, functions, roles and responsibilities of institutions, as well as reports and other

documentation deemed useful to assist in the research. The researcher also tried to obtain any documents the interviewees referred to, to support their statements regarding their organisations, and to provide examples of best practice in the field of evaluation, which provided a further in-depth understanding of the many issues affecting evaluation from different perspectives. Sources of information were gathered from websites accessed through the Government portal, and the websites of ministries, books, publications, published statistics, official public documents, legislation, the Constitution of Mauritius, Archived documents, Funding projects, speeches of Ministers. Such document review provides an additional and complementary source of data collection relating to the focus of the research.

4.9 Data Analysis

The qualitative study yielded a large amount of data and interviews were recorded and each was transcribed verbatim using the 'Microsoft Word' system. The transcripts were then reviewed and notes made as necessary to explore any additional references made during the interview. The transcriptions were classified around a list of topics and themes, which emerged, and were listed based on an analytical framework. They were then classified and grouped according to themes and categories as previously identified; for example, transcripts from Ministries, private sector, international organisations, research institutions, trade unions, consumer groups, and others. A list of themes was prepared for each group. This list was further disaggregated into several factors relating to definitions of evaluations, factors affecting demand and the supply of

evaluation. A list of factors and actors known to affect policy making at each stage of the policy cycle was determined. These were then grouped and analysed manually. Related documents were also then analysed and a further search made to locate additional information referred to by the respondents during their interviews. Chapters six and seven provide an analysis of empirical research.

4.10 Issues of generalizability

Denscombe (1998) has stated that the extent to which a case study can be generalised depends on the extent to which the chosen example shares similarities with others of its type. It is further argued that Qualitative Inquiry “cannot be determined by following prescribed formulas. Rather its quality lies in the power of its language to display a picture of the world in which we discover something about ourselves and our common humanity” (Seale and Silverman, 1997, p. 119). The response given here is that each case is unique and has specific contextual characteristics, which might at times be similar to those reported in other countries and which can be peer reviewed. Specifically, the purpose of this study is based on the primary consideration to establish how far evaluation, which has been prevalent in developed countries since the 1920s, can be compared with and applied to a Small Island Developing State like Mauritius, which is a Commonwealth country with historical remnants of slavery conditions.

4.11 Conclusion

This chapter presented the methodology when the empirical research was conducted; i.e. a qualitative case study approach. Purposive sampling was used to capture the views of the targeted groups, known to be involved in the formulation, implementation and evaluation of public policies, as well as assessing demand and supply to impact evaluation. The procedures adopted were ethical, and the granting of access to the Ministry, as well as the formulation of the list of questions, testify that all due care was taken to ensure the empirical components of the research are credible. The next section will present Mauritius, as this was the context within which the case study was carried out.

CHAPTER FIVE - MAURITIUS

5.1 Introduction

The previous chapter discussed the research methodology and the case study approach designed for the empirical study. This chapter describes the context for the case study. Policy decisions are never made in a vacuum and decision-makers must always formulate policy considering policies already in place. In the context of evaluation, Fitzpatrick (2012) identified five specific dimensions to take into account in relation to policy: the demographics and characteristics of the setting and the people in it; material and economic features; institutional and organisational climate; interpersonal dimensions or typical modes of interaction and norms for relationships in a given setting; and the political dynamics of the setting, including associated issues and interests.

This chapter elaborates on the above factors, analysing how the conditions affect impact evaluation. The chapter is divided into five sections. The next section provides details relating to geographical location and historical background. The third section elaborates on details regarding the economy, explaining how Mauritius has shifted from being a poor mono-crop economy to one that has won world recognition as a success story. Section four elaborates on institutional structures, including the Parliamentary system and the Executive, which proffer supported strategies for policy change. Section five reflects on how context affects impact evaluation, which is the focal point of this study; the chapter then concludes with a summary.

5.2 Geographical Location and Historical Background

Mauritius is situated in the South West Indian Ocean, slightly above the tropic of Capricorn, at a latitude 20° south and a longitude 57° east of Greenwich. It is 2,000 km off the east coast of Africa and 855 km east of Madagascar¹. The land area is 1,865 square kilometres, or 720 square miles. The territory of Mauritius is constituted of the main island of Mauritius and several outlying islands; namely, Rodrigues, Agalega and St Brandon. Figure 5.1 situated the location of Mauritius.

¹ <http://www.gov.mu/English/ExploreMauritius/Geography-People/Pages/GeographyPeople/Location.aspx>

The island of Mauritius was unknown to the outside world and was uninhabited until Arab sailors visited it during the Middle Ages. Later, the Portuguese landed on the island around 1507, but did not settle permanently; then in 1598 the Dutch landed on the island and named it Mauritius, in honour of their Prince Maurice Van Nassau, of Holland. However, it was not until 1638 that the Dutch settled in Mauritius. At that time, they introduced sugarcane, domestic animals and deer. However, they left Mauritius in 1710.

Following after the Portuguese and the Dutch, the French started to settle on a permanent basis on the island by 1715, renaming it the Isle de France. The island was then under the administration of the French East India Company which maintained a presence until 1767. From then until 1810, French Government officials oversaw the island, with the exception of a brief period during the French Revolution, when the inhabitants set up a government that functioned virtually independently of France. During the Napoleonic wars, the French ceded the island to Great Britain in the Treaty of Paris in 1814, together with its dependencies, which included Rodrigues and the Seychelles.

Under British administration, the island underwent rapid social and economic change. One of the most important events was the abolition of slavery in 1835, which had important repercussions in socio-economic and demographic fields. Planters, who were of Hindu and Muslim faiths, were purchased from India in large numbers as indentured labourers, to work in the sugar cane fields. A small number of Chinese leaders later joined them, and the sugar cane plantations were given a boost and sugar exported to England.

The various population movements of the 18th, 19th and early 20th centuries made Mauritius a unique blend of different races, cultures and religions. People of European, African, Indian, and Chinese origins created a multiracial society in which the various cultures and traditions flourished in peace and harmony.²

The population started to grow under French rule in the 18th century. In 1735, the population had grown to almost 1,000 reaching nearly 20,000 in 1767 including 15,000 slaves. When the British abolished slavery in 1835, the population stood at 100,000. It increased rapidly with the arrival of Indian labourers. Between 1835 and 1865, some 200,000 labourers were brought in, and by the turn of the century, the population grew to 371,000 and in 1944, it stood at 419,000. After the Second World War, the increase was more rapid, particularly due to the baby boom and the drop in the infant mortality rate.

The population is now estimated at 1.3 million and composed of a mosaic of different races, cultures and religions, since the Mauritians are descendants of immigrants from the Indian sub-continent, Africa, Europe and China. Thus, Mauritius has a cosmopolitan culture. Co-existence among the Mauritians of Indian, African, European, and Chinese ancestry has led to a sharing of cultures and values, a collective participation in festivals and an increased understanding between people of different backgrounds. Mauritius today is a unique melting pot of peoples, languages and cultures.³

²<http://www.gov.mu/English/ExploreMauritius/Geography-People/Pages/PeopleandPopulation.aspx>

³<http://www.gov.mu/English/ExploreMauritius/Culture/Pages/Culture.aspx>

Table 5.1 gives an indication of the diversity of the Mauritian Population.

Table 5.1: Breakdown of the population by Community 1962 and 1972

Population/Community	1962	1972
Population	699,954	850,968
Breakdown of population by community		
Hindu	344,622	428,345
Muslim	110,404	137,171
Sino Mauritian	23,436	24,373
General Population	221,492	261079

Source: Digest of Demographic Statistics 2014

According to Table 5.1, half the overall population are Hindu. The population overall originates from France and the United Kingdom, also including people of Tamil origin and creoles of African descent who have been grouped for statistical purposes by the Government's Statistics Department. However, each community has its own unique customs, traditions and cultures, which it perpetuates in harmony with other cultures. Hence, successive governments have mindfully ensured peaceful co-habitation, to preserve harmony in the distributive and redistributive policies to ensure fairness, equity, and avoid ethnic tension. Mauritius gained independence on 12 March 1968, achieving the status of a Republic 24 years later on 12 March 1992.

5.3 Economy

Mauritius was a low-income, agriculturally based mono-crop economy and when it gained its independence in 1968, it was a poor country with a mere per capita income of just US\$350 (Sacerdoti et al., 2005). Subramanian (2001) argues that Mauritius is a notable exception among the sub-Saharan African countries, having achieved high standards of living, despite prophecies made in early 1960s by economist and Nobel Prize winner James Meade, who predicted that Mauritius's development prospects were poor and that the country was likely to fail, due to its heavy economic dependence on monocrop sugar, and its vulnerability to trade shocks, rapid population growth, and the potential for ethnic tensions (Meade, 1961). Frankel (2010) referenced another pessimistic view stated by Naipaul (1972), in his book “the Overcrowded Barracoon”, that the region is overcrowded, the escape routes closed and the people disaffected, with no real sense of danger, but this proved to be wrong.

The World Bank classified Mauritius initially as a developing country upon independence. The term “developing country” is used to describe countries found mainly in Africa, Asia, Latin America, Oceania, and the Middle East, with many having gained independence from colonial authorities from the 1950s and onward (Wallace, 1990). The World Bank (2008) uses criteria such as Gross National Income to categorise developing countries,⁴ and those countries whose Gross National Income (GNI) is \$11,906 or less⁵ are classified as developing.

⁴ The World Bank classified economies into four categories based on their GNI as follows: high income (GNI \$11,906 or more), upper middle-income (GNI \$3856 to 11,905), lower middle-income (GNI \$976 to 3,855) and low-income (GNI \$975 or less) (World Bank, 2008, see,

On occasion, the World Bank refers to low-income and middle-income economies as developing economies. According to World Bank, the use of the term is convenient but should not imply that all economies in this group are experiencing similar development, or that other economies have reached a preferred or final stage of development. Classification by income does not necessarily reflect development status.

Mauritius drove an acceleration in its economic growth through a strategy of developing its export-oriented manufacturing sector after 1982, while also striving to continuously modernise its sugar industry and gradually diversify into tourism and offshore services. Export-led growth enabled Mauritius to increase its per capita income from US\$1,000 in 1982 to over US\$3,000 by 1995. Mauritius graduated to middle-income economy status in the 1990s, and is now considered an “Upper Middle Income” country by the World Bank, with a GNI per capita of US\$8750 (Frankel, 2010).

Mauritius has had a long record of sustainable growth over the last 45 years since independence. Prudent macro-economic management, political stability, favourable regulatory and institutional arrangements, investment in human capital development, an entrepreneurial culture and a well-developed financial system have led to a resilient economy, with high growth and growing affluence, which has been dispersed reasonably well among the population (Nath & Madhoo, 2003).

<http://web.worldbank.org/WBSITE/EXTERNAL/DATASTATISTICS/0,contentMDK:20420458~men uPK:64133156~pagePK:64133150~piPK:64133175~theSitePK:239419,00.html>. 5

⁵ <http://web.worldbank.org/WBSITE/EXTERNAL/DATASTATISTICS/0,,contentMDK:20420458~menuPK:64133156~pagePK:64133150~piPK:64133175~theSitePK:239419,00.html>

This remarkable achievement has contributed towards significant economic development through income and wealth distribution that is more equitable, a longer life expectancy and a much-improved quality of life. Today, the Mauritian economy is based on sugar, tourism, textiles and apparel, and financial services. Other sectors are also expanding, such as fish processing, information and communications technology, hospitality and property development. Mauritius has also attracted many offshore entities, a large proportion of which are taking advantage of commercial opportunities in India, South Africa and China.

5.4 Mauritius as part of the Commonwealth

After British rule ended in 1968, the Mauritius Independence Act 1968 transformed the British Crown Colony of Mauritius into an independent sovereign Commonwealth realm. The British monarch, Elizabeth II, remained as Head of State. Mauritius shared its sovereign with the other Commonwealth realms. However, the majority of the monarch's constitutional roles were delegated to the Governor-General of Mauritius. The Republic of Mauritius was proclaimed on 12 March 1992, to be headed by a Mauritian President.

Fifty-four countries, from Africa, Asia, the Americas, Europe and the Pacific are members of the Commonwealth. Of these, thirty-one are classified as small states, with a population size of 1.5 million people or fewer, and larger member states share similar characteristics with them. Table 5.2 lists these countries. In terms of an evaluative focus, some countries are considered first wave, and pioneers in evaluation, such as the United States, United Kingdom, Canada and

Australia (Furubo et al., 2002). South Africa has institutionalised evaluation since 2011 under the National Evaluation Policy Framework.

Table 5.2 Commonwealth Countries by Region

Africa	Asia	Caribbean and Americas	Europe	Pacific
Botswana	Bangladesh	Antigua and Barbuda	Cyprus	Australia
Cameroon	Brunei Darussalam	Bahamas, The	Malta	Fiji
Ghana	India	Barbados	United Kingdom	Kiribati
Kenya	Malaysia	Belize		Nauru
Lesotho	Maldives	Canada		New Zealand
Malawi	Pakistan	Dominica		Papua New Guinea
Mauritius	Singapore	Grenada		Samoa
Mozambique	Sri Lanka	Guyana		Solomon Islands
Namibia		Jamaica		Tonga
Nigeria		Saint Lucia		Tuvalu
Rwanda		St Kitts and Nevis		Vanuatu
Seychelles		St Vincent and The Grenadines		
Sierra Leone		Trinidad and Tobago		
South Africa				
Swaziland				
Uganda				
United Republic of Tanzania				
Zambia				

Source: <http://thecommonwealth.org/member-countries>

Like all member countries, Mauritius adheres to the principles of the Commonwealth Charter, participating actively in all the activities organised by the Commonwealth Secretariat to share best practices as well as to benefit from technical expertise and capacity building opportunities under the Technical Assistance Program.

5.5 Mauritius as a Small Island Developing State (SIDS)

The Commonwealth defines small states with a population size of 1.5 million people or less as sovereign states. Larger member countries, such as Botswana, Jamaica, Gambia, Lesotho, Namibia and Papua New Guinea, which share many of the characteristics of small states, are also designated small states. Thirty-two of the 54 member countries of the Commonwealth are classified as small states.⁶

Similar to other small island states, Mauritius is characterised according to common considerations affecting SIDS, including their vulnerabilities. Mauritius is confronted with particular challenges that result from several inherent natural and structural constraints. These factors comprise small size, remoteness, limited landmass, lack of resources, fragile ecosystems, and a vulnerability to natural disasters. These problems are exacerbated further by economic constraints that are associated with a commercially small market size, a reliance on the export markets, and a limited institutional capacity to address the challenges and opportunities of globalisation and susceptibility to external economic and environmental shocks (Briguglio, 1995; Srinivasan, 1986).

SIDS can access assistance from various fields to support greater sustainability through international treaties and agreements, which are reinforced by assistance from the World Bank, the United Nations, and the Commonwealth Secretariat. Briguglio (1995) investigated the

⁶<http://assets.thecommonwealth.org/assetbank-commonwealth/action/downloadFile>: Small States Digest NO 1 of 2011

economic vulnerability of SIDS, developing a Vulnerability Index using economic indicators to measure vulnerability, fragility, and a lack of resilience to outside forces. Gross Domestic Product, per capita and other related variables were not considered indicators, as the index has no bearing on poverty or under-development. Instead, exposure to foreign economic conditions, insularity, remoteness, and proneness to natural disasters were all used as variables for the index, and a comparative assessment was performed of 114 countries (developing, developed countries, and SIDS). The index revealed that SIDS, despite registering a higher vulnerability score than developing countries, do not necessarily register a low level of Gross Domestic Product per capita; thereby, conveying the notion that they have a strong economy, despite their extreme delicacy.

Furthermore, Srinivasan (1986), while agreeing to the specificity of SIDS, argued that economic and social stagnation in some small economies cannot be ascribed to their smallness as the single basis for comparison, and that it would be wrong to consider the social and economic conditions in some small states to be due to their smallness. These conclusions were further reinforced by Easterly (2000), to the effect that when controlling for location, small states have a higher per capita GNP than other countries, and that, in fact some of their characteristics (e.g. openness) have a positive net pay off for growth.

Another study found no significant correlation, positive or negative, for small and large countries. It also found that irrespective of size, each country has a President or Prime Minister and a range of Government Departments that are not necessarily proportional to their size (Jalan,

1892). Evidence has also revealed that Mauritius, despite its small size and lack of natural resources, proves Jalan (1892) right, due to its success overcoming challenges by employing a series of timely measures.

5.6 Economic Cooperation, Regional Integration and Trade

Mauritius has a long history of regional cooperation with several countries. Mauritius is a member of the African, Caribbean and Pacific Group of States, African Union, Common Market for Eastern and Southern Africa, Indian Ocean Rim Association, Non-Aligned Movement, Organisation Internationale de la Francophonie, Southern African Development Community, United Nations, and the World Trade Organisation.

In accordance with the government's regional integration agenda, a number of key initiatives have been implemented. For example, in 2011, a Regional Multi-disciplinary Centre of Excellence (RMCE) was established in Mauritius in collaboration with COMESA, to build capacity to formulate and implement regional integration policies within the Southern Africa region. In September 2011, the International Monetary Fund launched its Regional Technical Assistance Centre in Mauritius, which aims to provide macroeconomic and financial training to thirteen countries in the Southern Region.

5.7 Political and Institutional Structures

Constitution: The Republic of Mauritius is a sovereign democratic state within the Commonwealth, and has a long tradition of parliamentary democracy. The 1968 Constitution, which defines the Supreme Law of the land of the Republic of Mauritius, guarantees the separation of powers between the Legislative, the Judiciary and the Executive (Constitution of Mauritius 1968).

The Constitution necessitates the appointment of President, Vice-President, Speaker, Deputy Speaker, Prime Minister, Deputy Prime Minister, a cabinet of ministers, and up to ten parliamentary secretaries. Further, provision is made for an Attorney-General, a Secretary to the Cabinet, a Commissioner of Police, a Director of Public Prosecutions, and a Leader of the Opposition.

General elections take place every five years, based on universal adult suffrage for citizens over the age of 18. Voting rights guarantee the protection of the fundamental rights and freedom of the individual: freedom of conscience, freedom of association, movement and opinion, freedom of expression, freedom of creed and religious belief, and the right to own private property.

The National Assembly appoints the President for a five-year term, based on a motion made by the Prime Minister and supported by the vote of the majority of all the members of the

Assembly. The presidency is a non-executive role, as political power lies with the Prime Minister and the Cabinet.

Legislature: The single-chamber National Assembly comprises 70 members, 62 of whom are elected (60 equally divided among the three-member constituencies on the island of Mauritius (20 each) plus two from the single constituency of Rodrigues). Up to eight additional seats are allocated to the ‘best losers’, to ensure there is full representation of ethnically diverse groups.

The President is the Head of State and Commander-in-chief, while the Prime Minister has full executive powers and is the Head of Government. Figure 5.2 outlines the structure of Government. The National Assembly makes or reviews all legislation and requires three-quarters of its majority to pass legislation.

Judiciary: Section 76 of the Constitution stipulates there shall be a Supreme Court for Mauritius and that it has unlimited jurisdiction to hear and determine any civil or criminal proceedings under any law. The Supreme Court is headed by the Chief Justice, and has several subordinate Courts under its jurisdiction, which normally refer cases of appeal to the Supreme Court. The Judiciary staff are appointed by the Judicial and Legal Services Commission.

The Executive: The Civil Service is the administrative arm of the Government and comprises Ministries/Departments with specific functions and portfolios. The main functions of the Civil Service, among others, are to assist the government in the formulation of public policy, to ensure

policy is carried out efficiently and effectively and that, more importantly provides quality services to the public. Generally, the Civil Service has a hierarchical structure, with well-defined lines of reporting and responsibilities (PRB2016).

Presently, the Civil Service comprises 25 Ministries and 47 Departments, which are responsible for the efficient and effective implementation of the Government's policies. The computerisation of the Civil Service is at Appendix 5.1. It is headed by the Secretary to the Cabinet and Head of the Civil Service, who is also the chief adviser to the Prime Minister on the Civil Service and other related matters. Their primary role is to ensure the Civil Service serves the best interests of the citizens and other stakeholders and delivers its various services in a trustworthy, efficient, and cost effective manner. The Secretary to the Cabinet and the Head of the Civil Service are assisted by the permanent Executive, which consists of around 1300 grades, belonging to the administrative, professional, technical cadres and General Services grades⁷.

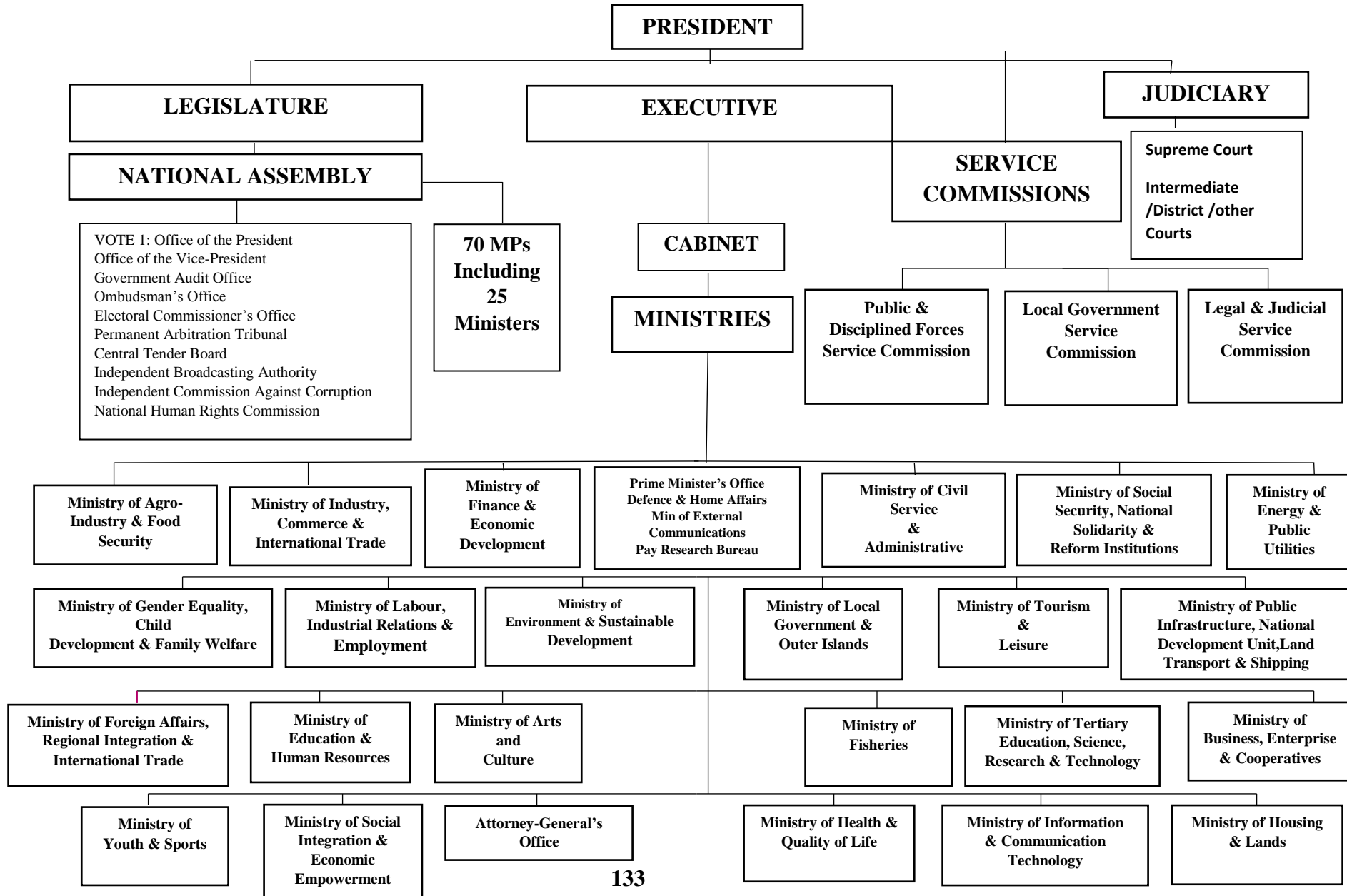
A Minister and a Permanent Secretary or a Senior Chief Executive in the larger Ministries, head each Ministry. Public officers are recruited centrally by the Public Service Commission, except for Police Department Officers, who are recruited by the Police Service Commission, and Officers of the Judiciary, who are recruited by the Legal and Judicial Service Commissions. Some Ministries have one or more Departments that fall under their aegis in line with their

⁷ Volume (Volume 2 – Part I), PRB Report 2013 PAY RESEARCH BUREAU>PART I - Civil Service PART I - Civil Service

portfolios. These Departments report to the Ministries on policies, and are responsible for their own day-to-day administration in accordance with the established policies of Government.

All the permanent Executives report to the Secretary to the Cabinet, and the Head of the Civil Service. All political heads report to the Prime Minister and the Cabinet, and ultimately to the National Assembly. Those Institutions such as the President's Office fall under the Vote One item of the Recurrent Budget, one of which is reflected in the Recurrent Budget report directly to Parliament.

FIGURE 5.2: ORGANISATION CHART OF THE GOVERNMENT OF MAURITIUS (2014)



In addition to the core Civil Service, the Public Sector also comprises the Local Authorities, which are established and governed under the provisions of the Local Government Act No. 36 2011. They fall under the aegis of the Ministry of Local Government, which ensure that services in respect of cleanliness and sanitation in the country are delivered through sound and effective infrastructure and environmental policies and practices.⁸ The Local Authorities comprise five Municipal Councils, seven District Councils, and 124 Village Councils, and all their activities are coordinated under the responsibility of the Ministry of Local Government.

In addition to the Local Authorities, the Public Sector also comprise Parastatal Bodies (PSB), set up by specific Acts of Parliament. They operate as autonomous bodies under the umbrella of a ministry and they are seen as the Executive arm of government to support and promote government vision and to implement its national policy. Each PSB is managed by a Board of Directors, appointed by the Government, which sets the policies and directions of its operations. The parent Ministry is represented on the Board by a Desk Officer who is the effective link between the Ministry and the organisation and whose role is to ensure proper application/implementation of Government's policy for the economic, social and technical development of the Country⁹. Figure 5.3 gives a summary of the structure of the public sector.

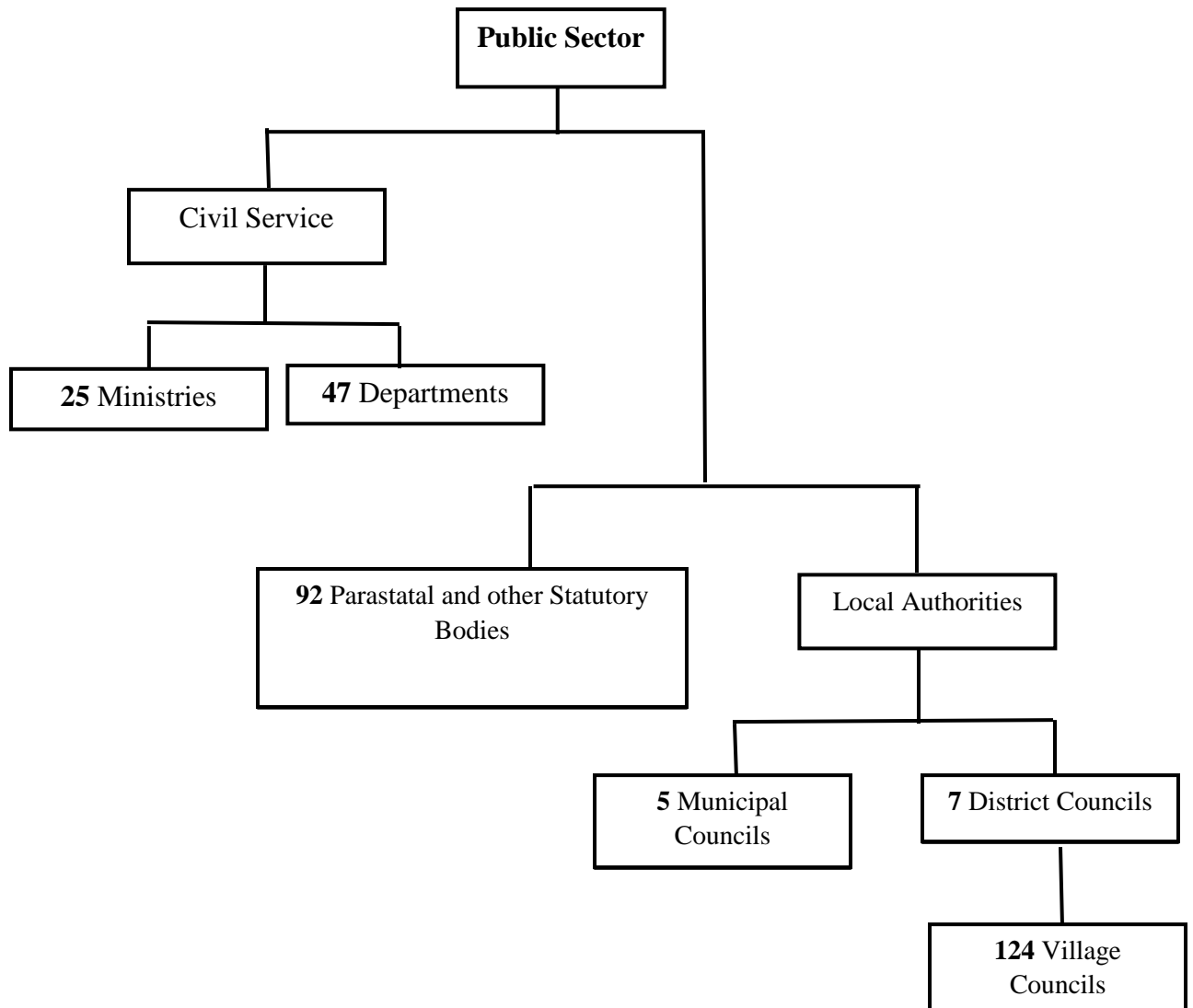
The Civil Service is the chief executive arm of the Government which implements and monitors its programs. The Prime Minister's Office, the Ministry of Finance and Economic Development,

⁸ <http://prb.pmo.govmu.org/English/PRB%20Reports/report2016/Pages/parastatal.aspx>

⁹ <http://prb.pmo.govmu.org/English/PRB%20Reports/report2016/Pages/parastatal.aspx>

and the Ministry of Civil Service and Administrative Reforms are the central ministries, governing prime ministerial issues, finance and conditions of service respectively. Other ministries then develop sectoral policies in line with government programmes.

Figure 5.3: Structure of the Public Sector



Source: Pay Research Bureau Report, 2013

5.8 Mauritius on the world map

Despite being a Small Developing Island State, experiencing adverse natural endowments and a high vulnerability to external shocks, Mauritius has been recognised in wide ranging fora for its sustained record of accomplishments in democratic and good governance, and its strong economic performance, which is based on sound institutions and macroeconomic policies. Mauritius can be considered a key success story in the context of the African continent (African Economic Outlook, 2003, p.3). Some of the international benchmarks are reproduced in Table 5.3, which shows Mauritius ranked first in many categories of Africa rank.

Table 5.3 - International Benchmarks on Mauritius

No	Index	Global Rank	Africa Rank
1	World Bank Doing Business 2014	20 out of 189 countries	1st out of 47 countries
2	Global Competitiveness Index 2014–2015	39 out of 144 countries	1st
3	Corruption Perceptions Index 2013 (Transparency International)	52 out of 175 countries	5th
4	International Property Rights Index 2013	73 out of 130 countries	8 out of 23 countries
5	Mo Ibrahim Index of African Governance 2014		1st out of 52 countries
6	Press Freedom Index 2014 (Reporters without Borders)	70 out of 180 countries	11th
7	The A.T. Kearney Global Services Location Index, 2011	36 out of 50 countries	4th after Egypt, Tunisia and Ghana
8	2014 Index of Economic Freedom	8 out of 178 countries	1st out of 46 in the Sub-Saharan African Region

9	Human Development Index 2014	63 out of 187 countries	2nd after Libya
10	Democracy Index 2012	Full Democracy	1st
11	Economist Intelligence Unit	18 out of 167 countries	1st
12	Knowledge Economy Index 2012- World Bank	62 out of 145 countries	1st
13	Global Enabling Trade Report 2014 – World Economic Forum	29 out of 138 countries	1st
14	Environmental Performance Index 2014	56 out 178 countries	1st
15	Mercer’s 2014 Quality of Living Survey	82	1st
16	Fraser Institute Economic Freedom 2014	5 out of 152 countries	1st
17	Outsourcing Readiness Index (Africa) 2009	53	2nd out of 15
18	E-government Development Index 2012	93 out of 192 countries	2nd
19	Global Information Technology Report 2014	48 out of 148 countries	1st
20	ITU –United Nations Agency for Information and communications - ITU’s Digital Access Index 2012	74 out of 155 countries	2nd
21	Forbes Survey of Best Countries for Business 2013	29 out of 145 countries	1st
22	The Travel and Tourism Competitiveness 2013	58 out of 140 countries	2nd
23	Social Progress Index 2014	34 out of 132 countries	

Source: Board of Investment (2014) <http://www.investmauritius.com/>

The classification of Mauritius reflects high levels of achievement in many disciplines, covering the economy, governance, democracy, trade, Information Technology and human development.

Furthermore, Frankel (2010) conducted a comparative study of countries in the sub-Saharan region comparing GDP per capita, the United Nations Human Development Ranking, and World Governance Indicators, and the Rule of Law Index Ranking among 48 countries. Mauritius still ranked in first place in the Index of African Governance Ranking as indicated at Table 5.4 reproduced from Frankel (2010 p.3).

Table 5.4: Sub-Saharan Countries Ranked by Governance, with other indicators

Table 1: Sub-Saharan Countries Ranked by Governance, with other indicators

Index of African Governance Ranking (2007)	Country	GDP per capita, PPP in constant 2005 Internatl. \$ (2008)	UN Human Development Ranking (2007)	World Governance Indicators, Rule of Law Index Ranking (2008)
1	Mauritius	11412	2	1
2	Seychelles	19758	1	5
3	Cape Verde	2957	5	3
4	Botswana	12537	6	2
5	Ghana	1351	18	7
6	Namibia	5909	7	4
7	South Africa	9343	8	6
8	Sao Tome & Principe	1615	9	18
9	Gabon	13461	3	24
10	Benin	1361	27	22
11	Malawi	744	26	10
12	Gambia	1259	33	8
13	Senegal	1656	31	12
14	Madagascar	974	14	15
15	Burkina Faso	1072	41	14
16	Tanzania	1201	17	9
17	Mauritania	1810 ¹	20	30
18	Lesotho	1444	23	11
19	Zambia	1253	29	16
20	Comoros	1081	11	31
21	Rwanda	949	32	17
22	Kenya	1432	15	28
23	Uganda	1077	22	19
24	Niger	631	46	27
25	Mali	1043	43	13
26	Mozambique	774	37	25
27	Djibouti	1975	21	21
28	Cameroon	2027	19	29
29	Togo	767	25	26
30	Sierra Leone	723	45	32
31	Guinea-Bissau	496	38	40
32	Ethiopia	802	36	23
33	Nigeria	1939	24	34
34	Burundi	354	39	33
35	Liberia	358	34	36
36	Equatorial Guinea	31309	4	39
37	Swaziland	4551	12	20
38	Congo (Brazzaville)	3647	10	35
39	Guinea	975	35	45
40	Zimbabwe	185 ²	N/A	47
41	Angola	5375	13	38
42	Eritrea	592	30	37
43	C.A.R.	685	44	41
44	Cote d'Ivoire	1526	28	43
45	Congo (DR)	290	42	46
46	Chad	1234	40	44
47	Sudan	1990	16	42
48	Somalia		N/A	48

Notes: Ranking is among African countries excluding North Africa. ¹Data from 2007 ²Data from 2005

Source: Frankel (2010, p.3)

These comparisons reveal that Mauritius has been successful according to a variety of different dimensions. This leads to the question: what factors inform success? These factors are crucial and of direct relevance to the study; as they can trigger the government to adopt favourable policies.

5.9 Success of Mauritius

Firstly, in terms of its economy, since its independence in 1968, Mauritius guaranteed a certain export volume of sugar to the European Union. Moreover, these quotas were at a guaranteed price, which was above the market price, by about 90 per cent on average (Subramanian and Roy 2001). Under the auspices of the World Trade Organisation (WTO), developing countries were generally granted favourable treatment, until the Uruguay Round, in terms of export subsidies. The Mauritian regime for export processing zones, reflected particularly the favourable tax treatment of firms in Export Processing Zones; these could not have flourished had the prohibition on export subsidies for developed countries also been applied to developing countries.

The African Centre for Economic Transformation (ACET) 2014 Report ranks Mauritius first in terms of overall economic transformation, when compared to 20 other countries in Africa,¹⁰ and based on such factors like the diversification of production and exports, export competitiveness

¹⁰<http://mof.gov.mu/English//DOCUMENTS/MAURITIUS%20TOPS%20AFRICAN%20INDEX%20ON%20ECONOMIC%20TRANSFORMATION%2004%20FEB%202014.PDF>

and gains, productivity increases, technology upgrading, and human economic well-being improvements, particularly expanding formal productive employment.

Frankel (2010) and Brautigam (2009) conceded that Mauritius was a success, due to its openness to other countries.

Mauritius in fact, adopted a distinctive approach to openness, and did not have an open trade regime in any conventional sense. On the contrary, its import regime was highly restrictive for much of the 1970s, 1980s, and 1990s. The distinctiveness concerned how Mauritius prevented an import tax from becoming an export and trade tax. This has been achieved through a mixture of segmentation of import competing and export sectors, and heavy intervention to promote the latter, and initially though more liberal labour market policies, but also through the tax system, and a competitive exchange rate, part of the anti-export bias was offset. The institutional distinctiveness, which led to segmentation, was a creation of the Export Processing Zone (EPZ). These were the heterodox aspects of Mauritius' openness strategy.

However, the preferential access provided by Mauritius' trading partners, in sugar and textiles and clothing, and the resulting implicit export subsidisation allowed the anti-export bias to be offset fully. Thus, while there were shades of East Asian-style (particularly Korea and Taiwan) interventionism in Mauritius' trade and development strategy, a substantial role was also played by trading partners (to a much greater extent than in the case of East Asia) when boosting trade performance. (Frankel 2010)

Institutions were instrumental in the success of Mauritius. The role of efficient and properly functioning institutions as a precondition to investment, entrepreneurship, and innovation and hence long-run growth were increasingly emphasised in the growth literature. Institutions arguably confer two types of benefits. First they enhance long-run growth (Acemoglu, Johnson & Robinson 2000; Rodrik, Subramanian & Trebbi 2004), and second, they impart resilience to an economy, supporting its adjustment to exogenous shocks (Rodrik, 1999b).

The high quality of its institutions might be important for explaining Mauritian economic performance. Mauritius ranks well above the average African country with respect to all indices of institutional quality; political as well as economic. Gulhati and Nallari (1990) argue that Mauritius' success in overcoming its macroeconomic imbalances in the early 1980s is a direct consequence of its effective domestic institutions. Macroeconomic adjustment was implemented by three different governments of apparently divergent ideological persuasions. This presupposed consultation and a recognition of the need to evolve a national consensus, in favour of adjustment.

The success of the Export Processing Zones (EPZs) in Mauritius illustrates the significance of the role of institutions their compared with the remainder of Africa. EPZs have failed in most countries because institutions and governance have been unable to manage the rent seeking, corruption, and to manage the high degree of selective interventionism as embodied in the EPZs.

The success of the sugar sector in Mauritius also highlights the role of institutions in terms of the country's economic performance. Sugar was the island's prime agricultural product, and like most other African countries, dependence on its primary product has been high. Its initial inheritance of human capital and associated demographic characteristics were favourable, although its higher level of initial income, commodity dependence, and unfavourable geography have impeded growth.

Nevertheless, the impact of strong institutions has been much broader and deeper (Subramanian and Roy 2001; Frankel 2010). It has ensured a domestic political system that is inclusive and able to provide a basis for managing social conflict effectively.

In addition, Mauritius is a Welfare State, able to provide social welfare policies, which now include: free education; free transport to students; support for the elderly, including pensions; free transport and medical assistance for people suffering from disabilities and vulnerable groups; and, free health services.

Another factor, which accounts for the success of Mauritius is the quality of the educated elite, and their leadership acumen. Reflecting on the success of Mauritius, Brautigam (2009) stated:

“...[H]ow elites in one successful country were able to build a developmental coalition that helped to lock in a credible commitment to prosperity, both for the country's economic stakeholders, and for the mass of small planters and workers who also gained from employment intensive, industrial investment, and from more secure access to protected markets for Mauritian sugar” (p. 35).

Consensus building encourages the inclusion of strong coalitions to benefit the country. The formation of political coalitions, and government–business coalitions with the private sector, coupled with the strengths of their institutions are reflected in policies, including the enforcement of constitution relating to property rights, and the parliamentary structure with the inclusion of a best loser system, and cabinet power sharing. Through the Parliamentary system and the Cabinet, the Civil Service has been the main pillar responsible for implementing the decisions taken by Government. It has been instrumental in creating an environment that is conducive to development, playing the role of both regulator and facilitator. Furthermore, a culture of transparency and participatory politics has ensured early warning signals and feedback mechanisms were in place, permitting emerging economic problems to be addressed swiftly.

5.10 Context for Impact Evaluation

The achievements of Mauritius reflect a number of influential factors, which have led the country to its present stage of development, rising from an initially poor country to an upper Middle Income country. The literature review in chapters 2 and 3 provides evidence of the factors that influence policy making and impact evaluation. All these factors reinforce the importance of context and new initiatives that respond to a country’s geographical, historical, economic, cultural, institutional, and legal dispositions, coupled with the disposition of political and bureaucrats.

Notably, similar factors affect the policy making processes in Mauritius, although the methods of evaluation and impact evaluation are not documented clearly in the literature. As highlighted by the literature review, no single strategy has uniformly proven successful in the institutionalisation of impact evaluation. Countries that have made progress in this area have built on existing evaluative experience, political and administrative traditions, and the interests and capacity of individual ministries, national evaluation champions, or donor agencies. The majority of countries have then responded in an ad hoc manner as opportunities have presented themselves.

5.11 Conclusion

The chapter provided an overview of how Mauritius, after overcoming the scourge of slavery emerged as a successful country following its attainment of Independence. The geographical, historical, and economic and social factors, that influenced Mauritius, have also been analysed. Such analysis can therefore provide insight to meet the stated research objectives of this study.

Institutionalisation of impact evaluation requires multiple factors to ensure success. The factors highlighted in Chapters 2 and 3 have been based principally on western literature, and whether these same dimensions apply to a Small Island Development State is the objective of this study. The next chapter describes the process of policy making in the Mauritius Civil Service and the different factors imparting on the policy-life cycle.

CHAPTER SIX - ANALYSIS OF THE POLICY-MAKING PROCESS IN THE MAURITIAN CIVIL SERVICE

6.1 Introduction

The previous chapter provided an overview of Mauritius and structure of the Civil Service of Mauritius, which is the object of the case study in this research. This chapter will analyse the policy-making process by looking at the responses that emerged during the data collection and analysis stages. This chapter is important, as it provides substance to the aims and objectives of the research, which are to investigate how policies are made and to identify the factors that influence the policy-making process. In addition, this chapter will shed light on the part played by evaluation, and on the impact that evaluation has in practice on policy-making in the Mauritian Civil Service.

Chapter 3 has discussed a series of models, frameworks, and political science approaches and theories that explain how policies are made and the factors, both internal and external, that influence the policy-making process during the various stages of the policy cycle.

This chapter uses Sabatier's Advocacy Coalition Framework (see Sabatier and Pelkey (1987) and Sabatier and Jenkins-Smith (1993, 1994, 1999, and 2011)) to contextualize the policy environment of the Mauritian Civil Service. This framework, which was developed to study complex public policy processes involving multiple actors, will be used alongside Rist's stagist approach in order to identify the evaluation requirements at different levels of the policy cycle.

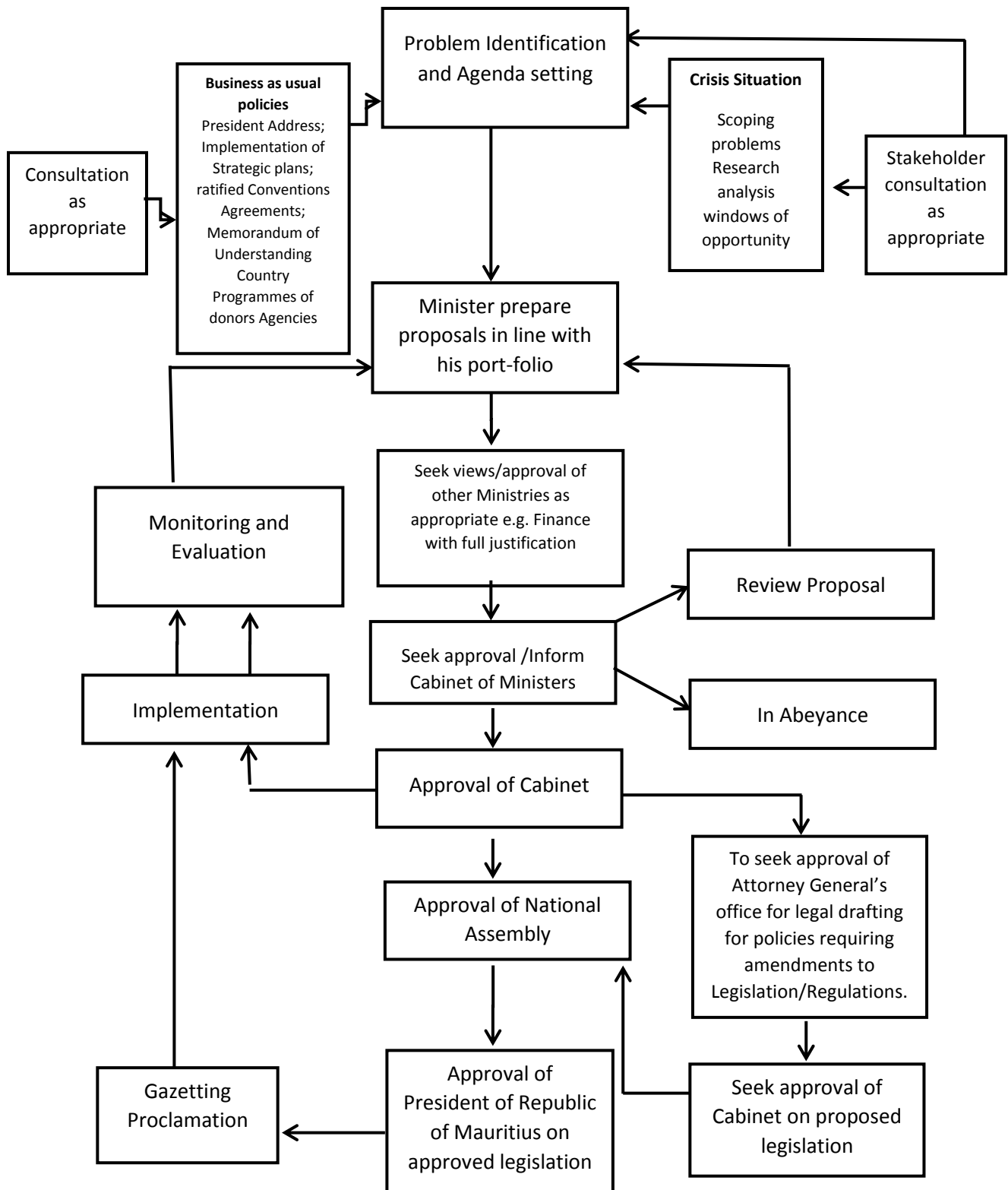
The chapter has been divided into five sections. After the introduction, Section 6.2 will analyse Rist's three-stagist model of policy formulation, implementation, and accountability from the perspective of evaluation and information requirements. This analysis will be based on interviews carried out with various stakeholders. Section 6.3 will then analyse, from both an internal and external perspective, the factors that influence the policy-making process. This section will focus on the various coalitions that influence policy in Mauritius, and will use the Advocacy Coalition Framework. Section 6.4 illustrates how the Advocacy Coalition Framework has been used for the introduction of legislation in the healthcare sector regarding the termination of pregnancy. Finally, Section 6.5 will provide a summary of the chapter.

6.2 Policy-Making Process in the Mauritian Civil Service

The policy-making process is very complex: whenever new or existing policies are made, a whole host of institutions, policy elites, politicians and other stakeholders become involved.

Figure 6.1 provides a brief overview of the policy-making process in the Mauritian Civil Service.

Figure 6.1: Process of Policy-Making in the Mauritian Civil Service



6.2.1 Policy Formulation

As a general rule, policies are formulated in accordance with the electoral manifestos of political parties. Prior to a general election (in principle, these are held every five years), political parties must formulate their five-year programme, which is based on their vision and aspirations, and must then try to convince the population about their plans for a better future. After the election, one of the political parties comes to power, and the main issues that were highlighted in its electoral manifesto are later encapsulated in a “Presidential Address”, which sets out the broad policies of the government in line with the promises made to the electorate.

Each Ministry, based on its portfolio and mandate, and with the assistance of the central Ministry of Finance & Economic Development, develops its own sectoral strategic plan. This plan must follow the overall directives set by the government for the development of programmes, policies, and projects. These are then planned, and financial assessments are carried out as appropriate. There are subsequently reflected in the budget, which sets out the forecast expenditure, both recurrent and capital, of the entire government programme for the short, medium and long term.

One interviewee argues that:

“...Policies emanate from the government programme, which has to be decided by the political leaders, or it may emanate from the electoral manifesto of the party that has come into power, or it may arise from matters that crop up during the course of the work, either at the beginning or when decisions need to be made.

It emanates from the Budget Speech, it emanates during the course of our functions. One example of this is the recent disaster that we all experienced; this was not on the agenda but, when such events occur during the course of the year, the need for policy decisions arises.

Of course, not all policies are accepted. As policy makers, we have to provide different scenarios and different alternatives, and the best courses of action are chosen. Consultations are held depending on the issue, we need to consult the relevant ministries. This depends on whether or not the policy would require financial clearance or any other sort of consultation, for example with the public. All of these factors must be taken on board” (2PMOPS).

In addition to the new programmes, policies, and projects that are mentioned in the presidential address, the permanent executive, which is represented by a permanent workforce of public officers, ensures the continued implementation of other policies, programmes, and projects that have already been planned and agreed in the budget estimates of previous years. The Permanent Executive also ensures that legal obligations with local, regional, and international stakeholders are met. Furthermore, other policies do emerge in order to take advantage of “windows of opportunity”, or to respond to a variety of crises, such as those caused by pressure groups, and trade union movements, as well as from the international community.

A former minister sums up how policies come to be included in the agenda. He states that:

“...When there is a problem; these could vary in terms of complexity and in terms of their implications, and could include building a hospital or addressing the issue of road decongestion. It is always a combination of reactive and proactive policies. Proactive, in the sense that they are based on a long-term plan, whether we call it a vision, a road map, or a blue print, that tries to look at the future; it is about what is required to achieve our goals and objectives and where we want to take the country. Many countries do that. They set the objectives and then work on what needs to be done. For example, they set objective for moving from a low income country to a developing one. We also need to decide what needs to be done in terms of policy formulation to reach our objectives, But we also need to react to crisis situations and take immediate action” (28EXMOFED, 2013).

This statement reflects the nature of public policy, which can, at times, be unpredictable. In addition, it describes the proactive approach of making policies that are in line with the Ministry's vision; this has also been remarked on by the accounting officer in charge of the Ministry.

“...Every Ministry has its own mission and vision, and seeks to achieve these objectives, which are set out in an action plan. Policies are discussed with the minister. Cabinet approval has to be obtained. Once a policy is approved, it needs to be enacted – this involves drafting laws and regulations and implementing policies that have been approved” (11 MCSA 2013).

Furthermore, leading experts on policy from both within and outside the government constitute a critical mass of expertise. These experts regularly debate critical issues at national and international levels and also advise the government on how it can take maximum advantage of windows of opportunity. The Public Service ensures the permanency of the Public Service and maintains the continuity of commitments taken at government level with local and other international agencies. These could include local and international agreements, loans that have been taken out with other countries under various types of agreement with donor agencies, such as the World Bank, the ratification of conventions with international agencies, such as the Convention on the Rights of the Child, or the commitment taken under the Millennium Development Goals to halve poverty by 2015. These obligations, which have financial implications, are normally reflected in the budget over a short or medium term, and it is the responsibility of the Ministry concerned to ensure the implementation and follow-up of such measures.

In a crisis situation, the stakes are so high that immediate attention is required. Such situations include riots, social unrest, and emergency responses to natural disasters. Policy makers decide that a crisis situation exists when there is a consensus among them that the crisis situation is real and is of such a threatening nature that failure to act would lead to problems. Kingdon's (1984) "policy windows" can be described as either as 'politics as usual' or 'crisis situation', depending on the nature of the problem.

In such situations, the decision-making process is quite distinct from the process followed in non-crisis situations, in terms of the pressure for action, the stakes involved in addressing the problem, the level of decision-makers involved in the process, the degree of change under consideration, and the timing of the implementation of the policy. Kingdon (1984) referred to this type of situation as a 'problem stream', a term that reflects the concerns of citizens, groups, and the media, who seek solutions to social problems of genuine importance. For instance, critical incidents may move issues up the agenda; such incidents could include a case of medical negligence in a public hospital, a scandal, cases of corruption, or the death of people on strike. Critical incidents of this nature also took place for natural disasters such as flash floods, for which Mauritius was not prepared. Under such crisis situation, the prerogatives of immediate and urgent action lies with the Prime Minister and his colleagues Ministers backed by Permanent Executive.

Other issues attract the attention of the government, either formally, through the press, or otherwise, but not all issues reach the agenda setting stage.

“...Not all policies are accepted, definitely. As policy makers, we have to provide different scenarios for different activities, and the best course of action is chosen” (PSPMO2 2013).

How are policies processed? A minister is the political head of a Ministry, and he/she is assisted by a team of technical, administrative, and support staff. It is the responsibility of the minister to seek the approval of his/her colleagues in the cabinet for programmes that fall under the portfolio of that Ministry. For example, a healthcare issue will be addressed by the Ministry of Health, which will carry out an in-depth analysis of the issue, and will use cost-benefit analysis and other analytical tools to formulate proposals. An Accounting Officer in charge of a Ministry describes the process that takes place in a particular sector:

“...We start with the government programme. As administrators, we begin the ground work. If the government programme mentions a plan, the policy issues are studied, and the workings of the Ministry are supplemented by reports/studies carried out by consultants. For example, a report is being updated by the Japanese Institute Corporation Agency (JICA) and a master plan for coastal management for Mauritius, Rodrigues, and other islands is being reviewed. A report is then submitted to Cabinet, and short-, medium-, and long-term actions are taken” (16 ENV 2013).

In certain cases, rapid assessments are performed to assess the feasibility of the programme. In other cases, donor agencies have already made a project proposal that has been based on a needs assessment, and which takes into consideration all of the implications relating to resources and the impact of the policies. However, as Mauritius is a welfare state that already provides free healthcare, free education, and social benefits, some projects may be considered collectively as being for the public good, and the welfare of targeted groups becomes the overriding factor that is considered when approving the projects.

In many instances, the approval of the Ministry of Finance is sought if funds are not earmarked, and the views of other ministries are sought before submissions are made by the ministers concerned in cabinet. Once all finances, establishment requirements, and legal clearances have been sought and obtained, the proposals are submitted to the Cabinet of Ministers, which is headed by the prime minister. The cabinet ensures the collective responsibility of the government for its overall programme. The proposal may be agreed, deferred, or rejected. If deferred, further information must be provided for the proposal, or amendments made, before the minister reviews the proposal for its subsequent submission. If approved, the relevant minister would be responsible for the implementation of the programme.

However, in cases where amendments or new legislations are required, these must be approved by the cabinet before being debated in the National Assembly. The Constitution of Mauritius allows the parliament of Mauritius to make and amend laws with a majority of three-quarters of the members of parliament. The bills are debated, and when the final version of a bill is approved, the President of the Republic of Mauritius gives it his assent. The bill is then gazetted before it becomes an Act and is implemented by the Ministry that piloted the bill.

6.2.2 Policy Implementation

Once policy decisions have been approved, it is the responsibility of the permanent executive to implement the decisions. However, as has been mentioned in Chapter 3, several factors can affect the success of the permanent executive. From an internal perspective, one of these factors

is resources, particularly those relating to the organizational capacity of the state (Linquisit, 1992). Implementation takes place through a number of policy instruments, which take into account other factors that have a direct or indirect impact on the decisions of bureaucrats and policy elites, and considers the environment in which they operate. The people who will implement a decision must ensure that all the necessary resources for implementation are in place.

6.2.3 Policy Accountability Stage

Once policies, programmes, and projects are implemented, a team is responsible for following them up and ensuring that the funds allocated for the project are being used as planned, and that adequate resources are also being provided.

In many cases, collaboration with other ministries is sought in order to benefit from expertise that is not available in the Ministry concerned. Ministers are accountable to parliament for the overall performance of their ministries but in terms of financial resources, the permanent executive, which is represented by a Permanent Secretary, or a Senior Chief Executive in large ministries, assumes the role of Accounting Officer.

While the Accounting Officer oversees the implementation and monitoring of projects, the Director of Audit has an oversight function and assesses organizations independently.

6.3 Application of the Advocacy Coalition Framework to the Policy-Making Process

This section analyses the factors influencing policy-making in Mauritian Civil Service from the perspective of Sabatier's Advocacy Coalition Framework, which has been discussed in Chapter Two. Figure 2.1 illustrates how different coalitions conflict or mediate to bring issues to the attention of policy-makers. Policy making is primarily influenced by two main factors: relatively stable indigenous parameters, and dynamic exogenous factors outside the policy subsystem consisting of "those actors from a variety of public and private organizations who are actively concerned with a policy problem political issue" (Sabatier 1999, p. 119).

6.3.1 Relatively Stable Parameters

Relatively stable parameters, which may be either internal or external to the policy subsystems, comprise the following elements, which will be discussed in this section: the basic attributes of the problem, the basic distribution of natural resources, fundamental cultural values, social structures, and the basic legal structure of a political system. Sabatier argues that such parameters are relatively stable and do not change over a span of time of at least a decade.

Basic attributes of the problems: Sabatier (1993) argues that public choice theorists have shown how various characteristics of goods, such as excludability, affect policy options. Hence, the supply of technical information plays a crucial role in evaluating the magnitude and various facets of a problem, the causes of the problem, and the probable impact of various solutions. It may take a decade or more to understand the implications of policy changes.

For policy makers in Mauritius, problems that appear on the agenda are mainly solved using different approaches. The chosen approach depends on the nature of the problem and can include adopting the rationalist or incremental models of policy-making under the traditional goals of ‘three Es’: economy, efficiency and effectiveness.

A minister describes the process that is followed when there is a problem:

“...When there is a problem, an assessment is made by the technicians. They also take into account what is happening in the world. A case in point is the energy crisis, which arose due to the geopolitical situation in the world. Hence, there is a need to diversify and adopt an energy mix, and to make use of a valuable source of energy, namely the bagasse, which is a residue from sugar cane” (26 MINENER 2013).

Some problems take more than a decade to resolve fully. A case in point is the problem of reducing congestion in the capital city of Mauritius. A holistic approach to reducing traffic congestion in the city at peak times in the morning and afternoon needed to be taken. Several initiatives have been adopted, such as the delocalization of several government services to other regions, the introduction of parking fees in several critical areas, the creation of parking spaces outside the city, and the introduction of shuttle services to transport commuters working in the city. Additionally, the introduction of a light rail transit system has been considered in order to provide an alternative mode of transport and to support a more efficient inland transportation service. A project of this scale has necessitated expertise and the sharing of information from many sources, both locally and abroad, among policy-makers, researchers, private institutions, international agencies, and international; lending institutions. However, the problem of traffic congestion is still acute.

Basic distribution of natural resources: The present and past distribution of natural resources has a significant effect on a society's overall wealth and the viability of different economic sectors. Unlike other African countries, Mauritius does not have any natural resources within the country. In 1968, its economy was considered to be highly dependent on a single crop namely sugar that suffers from high volatility. However, effective leadership and a coalition framework between the government and the private sector, as well as assistance from international organizations, resulted in timely decisions being taken in the best interests of the country. These decisions resulted in Mauritius being granted preferential trade agreements. Timely diversification into an export processing zone has enabled the grant to support free education, which helped Mauritius to create an educated workforce and population. Although Mauritius does not have any natural resources, its human capital is the country's most important resource.

Fundamental cultural values and social structure: Mauritius is a multi-cultural and multi-ethnic society. It has established deep-seated traditions, customs, and values, which are difficult to change. Policy makers must assume that it will normally take several decades for significant changes in the various social groups to happen. Since the country gained independence in 1968, all ethnic groups have lived together as a nation, in order to bring about peace and harmony and to strive for national unity.

Since achieving independence, the government of Mauritius has adopted strategies to ensure that all ethnic groups have an equal chance of being represented in parliament. For example, the "best loser" system has been adopted. In accordance with the Constitution of Mauritius,

representatives of different ethnic groups that do not win in the first past the post system used for general elections are appointed to represent their ethnicity in Parliament to ensure fair representation.

Further, the multi-ethnic nature of the Mauritian population is a very important factor that is taken into consideration during the policy-making process. The government has always ensured that harmony, social justice, and equity are maintained. Since Mauritius has a multi-cultural and multi-ethnic population, the social structure and the fundamental cultural values are so embedded within the system that it is very rare that changes happen to established principles regarding acquired rights and the allocation of resources.

The fact that Mauritius is a welfare state means that the population as a whole benefits from free education, free healthcare, and free social services and social benefits. Each community continues to sustain their religious beliefs, and religious and cultural events have almost become national events that are celebrated by the entire nation. One such event is Diwali, the Hindu celebration of lights. The provision of the free services mentioned has become so entrenched in Mauritius, and is so politically sensitive that successive governments have not been able to review their strategy, even when under pressure from external donor agencies and international organizations to do so.

Basic legal structure: The legal structure of Mauritius is rooted in the post-independence history of the country (Brautigam, 2009). The legal structure does not only include the Constitution of

Mauritius, but also a multitude of institutions and other policy instruments that are required for the effective management of the country. The Constitution of Mauritius was adopted in 1968, and became the supreme law of the land. It stipulates the fundamental principles of rule of law, human and property rights, freedom of expression, economic freedom, and minority rights.

Furthermore, the separation of powers guarantees that the legislature, the judiciary, and the executive are independent of one another. The parliamentary system is based on the Westminster system of parliamentary democracy, and amendments to the Constitution are rare and are only made when, after much public debate, they are deemed to be in the national interest. Moreover, amendments require the approval of three quarters of the seventy members of parliament. Whenever changes to the constitution take place, there is a great deal of debate on the subject, and a high level of media coverage.

The constitution has also made provision for the public service to be the executive arm of the government. Initially, the Civil Service helped the government to assume the leading role in matters relating to the development of the country, but has now shifted to the role of facilitator, which involves providing the basic infrastructure and creating the right enabling environment for the successful operation of all stakeholders.

The role of the Civil Service as a legal institution cannot be ignored when considering the progress of the country, as has been highlighted by a Senior Chief Executive:

“...Several factors contribute to the progress of Mauritius. Firstly, there has been a democratic system since independence in 1968, and Mauritius was one

of the rare countries that knew what it wanted. Secondly, we had a strong private sector. In spite of insecurity, things went on and were restored. Thirdly, a stable government that paved the way for progress was in place. Since independence, we have not depended solely on a mono-crop economy; we needed to diversify into manufacture, tourism, and services in order to develop the country. Fourthly, the role of the Civil Service is critical, and it is vital for a new nation to establish the right policies for the development of the country followed closely by the private sector” (11MCSA2013).

6.3.2 External (Systems) Events

In addition to the stable parameters, the second set of factors exogenous to the subsystem is more likely to change over the course of a decade, and is critical to major policy change. These factors include: (1) major socio-economic changes, (2) changes to the systemic governing coalition, and (3) the impact of policies from other sub-systems. Changes to the economy and technology are critical not only to the government, but also to coalitions, which can shake the foundation of commonly established core beliefs and can even lead to members defecting to other coalitions that share their revised beliefs.

Changes in socio-economic conditions: The global economy and information technologies are having a profound effect on various sectors of the domestic economies of individual nations. Mauritius is no exception, as it has, on several occasions, introduced measures to mitigate the impact of external shocks, such as an increase in oil prices. When faced with labour shortage after independence and after the abolition of slavery, Mauritius imported indentured labourers to work in the fields. After the establishment of the Export Processing Zone, there was a shift from a labour-intensive economy to the adoption of capital intensive equipment for the manufacturing

and agricultural sectors. Furthermore, in response to loss of sugar preferences in 2004, and the erosion in trade agreements, the government of Mauritius adopted a multi-pronged strategy in 2006. This strategy aimed, through the promulgation of a Business Facilitation Act, to eliminate obstacles to investment and to introduce incentives that would attract investors. Such dramatic shifts in the international and domestic economy had significant implications for a particular policy coalition group governing the private sector; this group had to use all their expertise in order to persuade the government to prevent job losses by changing its policies.

However, the external environment also provided windows of opportunity for using information technology to facilitate the diversification of the economy into the manufacturing and service sectors. The proliferation of information technology has significantly lowered the cost of transmitting information and ideas around the world, and has enabled Mauritius to become a regional centre and a springboard for Africa.

Changes in systemic governing coalitions: In the case of Mauritius, a change of government is always accompanied by a new electoral manifesto, with a new vision and a new team of political leaders that have new initiatives for tackling specific problems in the country. Each new government brings with it a different ideological perspective towards a broad range of issues, and attaches different degrees of importance to specific issues, such as unemployment, the alleviation of poverty, the protection of the elderly, and the reduction of allegedly corrupt practices.

An analysis of the mapping of coalitions in Mauritius shows that at least five major coalitions exist, namely government, the private sector, international organizations, donor agencies, policy entrepreneurs, and Civil Service.

The success of Mauritius is based on an

“...inclusive process and the inclusive process involves non-governmental bodies or civil societies, trade unionists, and the private and public sectors”
(21 MINFORAFF, 2013).

Several advocacy coalitions have been formed, and these can influence the country in a number of ways. Since Mauritius gained independence in 1968, a series of coalitions have been formed at both the policy core and subsystems levels. At that point, the building of coalitions was necessary for reaching a consensus and encouraging the inclusion of the different groups. This would ensure that no group felt excluded, and that no single elite group was in a position to dominate others. One of the advantages of this strategy was the fact that it led to moderation in policy-making. To date, the deep core coalitions are still coalitions of political parties, which depend on the nature of the political coalition, and on the specific context.

An example of such a coalition is the one that was formed in 1969, when the government formed a coalition with the opposition and postponed the scheduled general election, which was due to take place at the critical juncture of independence, in order to promote national unity (Brautigam and Diolle, 2009). Nevertheless, the homogeneity of coalitions can sometimes be undermined, as members often defect for a number of reasons relating to changes to the core beliefs of other members, or the fact that the defecting member has shifted his/her own allegiance after

reassessing his/her own beliefs. Defection can also happen for reasons of self-interest, and because members are attracted to the aims of opposing political parties.

A variety of actors, both inside and outside a predictable core, interact in different ways to influence the adoption of policies. The main actor is the government or state, which is “*sovereign*” according to the definition provided by Jenkins-Smith and Sabatier (1994), and ultimately determines the policies to be implemented. In this respect, the World Development Report (1997) establishes that the primary responsibility of a state is to tackle the five fundamental tasks that lie at the core of every government. These tasks are:

- Establishing a foundation of law;
- Maintaining a non-distortionary policy environment, including macroeconomic stability;
- Investing in basic social services and infrastructure;
- Protecting the vulnerable; and
- Protecting the environment (WDR97 P 4).

Since the country gained independence, successive governments in Mauritius have been able to establish these fundamental requirements. However, the expansion of the service sector has meant that the government is increasingly acting as a facilitator, by putting in place the appropriate institutional foundations and providing a framework that enables markets to operate.

In addition to the core political coalition, the second group of coalitions refers to the sub- system levels that exist between the Government of Mauritius and the private sector. These coalitions are grouped under the umbrella of the joint Economic Council (JEC), which acts as a unifying force for all ethnic groups and can negotiate and speak with a single voice. The JEC is still a powerful force as a policy subsystem that worked with the government after independence on national issues, in order to advance the cause for prosperity and ensure access to protected markets for Mauritian sugar. This coalition has stood the test of time and is highly stable, as both the government and the private sector share common concerns with regard to the economic development of the country. This coalition has been institutionalized through regular meetings, consultation at budget times, and many other fora in joint partnership. In addition, it has been involved in strategic negotiations with foreign partners. A former minister recalls the strategic contribution of the private sector:

“...In policy-making, the Public Service has played a very important role in designing policies that are in line with government policies, in terms of social programmes, but the role of the private sector should also be commended, as well in terms of infrastructure and institutions. A combination of both private and public organizations has played a key role and we have been able to address the challenges of development” (28EXMOFED, 2013).

The third type of coalition involves using international organizations and donor agencies for the technical assistance and expertise that is required for the development of the country’s strategic framework and to assist in the development of the country. These organizations and agencies

“...bring evidence to the table from countries that are facing the same challenges; they support development in various regions, bring evidence to the table, ensure that we are on track, and ensure that we stick to the time table” (28EXMOFED2013).

The World Bank, the United Nations Development Programme, the International Monetary Fund, the World Health Organization, the French Agency (Agence Française De Development), and the European Union have all set up offices in Mauritius and, through their Country Strategic Frameworks, are all contributing towards the development of Mauritius. These frameworks set out the projects that these institutions propose to offer to Mauritius, either through funding, technical expertise, or a combination of the two.

One way of understanding coalitions is to look for the incentives and opportunities that structure the choices made by a nation's political leaders. The use of foreign aid conditionality has helped to create incentives and opportunities for the advancement of the country.

The fourth type of actors which influences government activities is the media: these constitute a powerful force that both sides with the government on certain issues and can also oppose government decisions to the extent that such decisions have had to be either postponed or withdrawn. The media and the journalists promote high level debates and use declared government policies and intentions to provide a forum in which they act as "policy brokers" by mediating between the different groups and by giving the public a better understanding and appreciation of business and the state of the economy.

The power of the media is reinforced by members of the public that try to get the attention of policy-makers in the hope that they will move their requests higher up the agenda of the policy process. Several situations have occurred in which the government has reached a decision, but

has had to review that decision due to pressure exerted by users of specific services. This pressure can take the form of hunger strikes, press coverage, demonstrations, or broadcasts on private radios and appeal to international organisations. One such instance was when the decision was made to make it compulsory for motorcyclists to wear high visibility jackets in order to make them more visible to prevent road accidents. The extremely negative public response to this decision meant that the government had to review the policy in order to give users enough time to buy the jackets, and also had to specify that it was only necessary to wear the jackets at night.

The fifth type of actor is what Kingdon (1995) refers to as “policy entrepreneurs”; these can be senior government officials, advisers, or prominent researchers, either local or foreign, who provide expertise on policy issues in various fields. Almost all ministries recruit contractual advisers to provide expertise in specific fields, such as education, healthcare, security, social services, information technology, or the environment. These advisers constitute a powerful persuasive force to influence policy-making.

6.4 Policy Decision and the Impacts of other Subsystems

A policy subsystem is a set of actors who are involved in dealing with a policy problem. However, there are also a number of latent potential actors, who would become active if they were given the appropriate information. Subsystems are only partially autonomous, as decisions and impacts from other policy sectors are one of the principal dynamic elements affecting

specific subsystems. Decisions taken by the government can have both intended and unintended consequences, and those consequences can affect specific coalitions or policy networks.

A case in point is the strategies that were adopted for the enforcement of the Framework Convention on Tobacco Control – an international treaty on health that was ratified by over 150 countries, including Mauritius, and had the aim of reducing tobacco use. The Ministry of Health & Quality of Life introduced a wide array of legal, fiscal, and advocacy measures in order to reduce smoking among Mauritians, as well as introducing legislation banning smoking in public places. There was an aggressive awareness campaign that focused on diseases caused by tobacco use. Such policies, despite reducing the number of tobacco users, had several unintended consequences for the tobacco industry, tobacco growers, and other people that have ancillary support roles in the marketing and sale of tobacco. People in the tobacco industry became unemployed, and there was a reduction in the income generated by the sale of cigarettes. Ultimately, this led to a reduction in government revenue. The trade unions representing the tobacco growers had to make their voice heard in order to find alternative employment.

The two sets of relatively stable parameters and the external (systems) events that form part of the Advocacy Coalition Framework do affect the constraints and resources facing subsystems' actors. Section 6.5 is an illustration on how the Advocacy Coalition Framework is applied in the domain of health policy, with a specific focus on the introduction of legislation that legalizes the termination of pregnancy (abortion) in four specific circumstances.

6.5 Application of the Advocacy Coalition Framework to the Introduction of Legislation to Terminate Pregnancy

According to health statistics for the past ten years, 18,691 women have been treated for complications following abortions, including induced abortions. Although some women have the means to travel abroad in order to obtain an abortion, poor women have neither the financial means nor the proper medical guidance. Thus, they often have recourse to back street abortions that take place under abominable conditions.

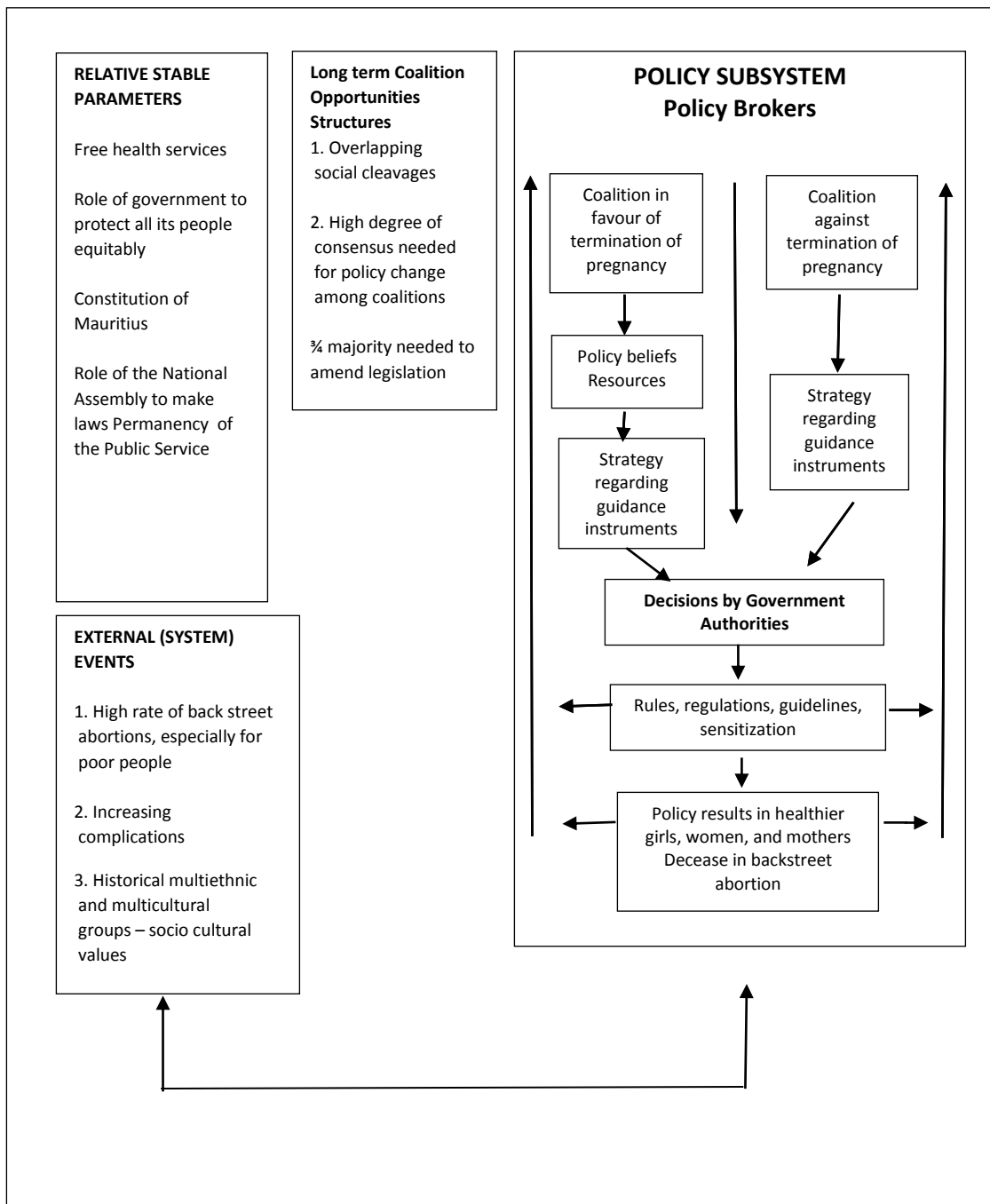
For this reason, the government decided to legalize the termination of pregnancy under four specific conditions. This proposal gave rise to a multitude of protests, from both new and established coalitions, in a common attempt to thwart this initiative. The responsibility for the enforcement of the legislation was primarily in the hands of the state, as represented by the Attorney General's Office in collaboration with other ministries, but the Ministry of Health & Quality of Life bore particular responsibility for this matter.

The Advocacy Coalition Framework assumes that policy participants seek alliances with people who hold similar core beliefs among various stakeholders from multiple levels of government. Such advocacy coalitions provide a useful basis for aggregating the behaviour of organizations and individuals involved in a policy subsystem. The following table lists the adversary coalitions that were against the proposal:

Table 6.1: Coalitions for and against the Proposed Policy for Termination of Pregnancy

For	Against
Researchers and Academics	Catholic Church
Government	Government Teachers' Union
Government officers	Mauritius Sanantan Dharma Temples Federation
Political parties	Society Ram Sena
Civil society	Assistance to Pregnant Women (Mouvement D'aide à la Maternité)
Some doctors	Political Parties
Media	Civil Society
Ministers	Some doctors
	The media
	Ministers

Figure 6.2: Application of the Advocacy Coalition Framework for the Introduction of Legislation permitting the Termination of Pregnancy



Source: Empirical Research

From Figure 6.2, it can be seen that, within several categories of coalition, many were for the proposal, whereas others in the same category were not.

The media acted as policy brokers by broadcasting and publishing various interventions, debates, and academic articles in the press and on television and private radio channels. Finally, after much debate, the Termination of Pregnancy Bill was voted, and was passed by the National Assembly. This allowed for the termination of pregnancy in four specific circumstances: when a continued pregnancy is likely to endanger the life of the mother, when it would put her health at risk, when the foetus is affected by malformations or abnormalities, and, finally, when the pregnancy resulted from a rape.

Contrary to normal instructions for party votes, members of the National Assembly were, on this occasion, allowed to vote according to their own personal, religious, and other convictions. Of the 70 members of the Assembly, 50 voted in favour of the legislation, and 14 voted against it. There were four abstentions and two absentees.

These decisions were taken against a background of stable parameters and, in this case, the Constitution of Mauritius, the permanency of the Public Service and the National Assembly. Moreover, the responsibility of the state to provide free healthcare services established the foundation on which this decision was made. With respect to external factors, comparisons were made with other countries in order to assess the laws regarding abortion in other countries and the resulting benefits for both women, and ultimately, for the wider society. This example

demonstrates that many subsystems can have a common core with regard to divisive issues, such as national interest or deeply rooted religious convictions.

This is only one example. Hence, when making any policy decision, be it in the field of the environment, education, social services, infrastructure, and especially crises and matters of a sensitive nature, the state must reconcile the decision with the aims, aspirations, actions, and reactions of many different types of coalition before reaching a final decision.

6.6 Conclusion

This chapter provides an understanding of how policies are made and describes the various stages of the decision-making process. This confirms the hierarchical architecture of the Westminster model of decision-making. Secondly, the policy process has highlighted that there are many entry points where the evaluation of information is required at each level of the policy process, thus confirming the need for different types of evaluation at different levels of the policy cycle. The use of the Advocacy Coalition Framework has made it possible to analyse policies from both internal and external perspectives, thereby enabling evidence-based decision making. Furthermore, the application of the Advocacy Coalition Framework has revealed the increasing role of coalition members, especially in the context of good governance, where there is more interplay among different stakeholders who are working for the benefit of the population.

CHAPTER SEVEN - STATE OF EVALUATION IN THE MAURITIAN CIVIL SERVICE

7.1 Introduction

This chapter examines the state of evaluation in the Mauritian Civil Service in relation to existing empirical research, including: (1) latent and actual demand; (2) the conditions under which demand is generated; and (3) potential sources of supply.

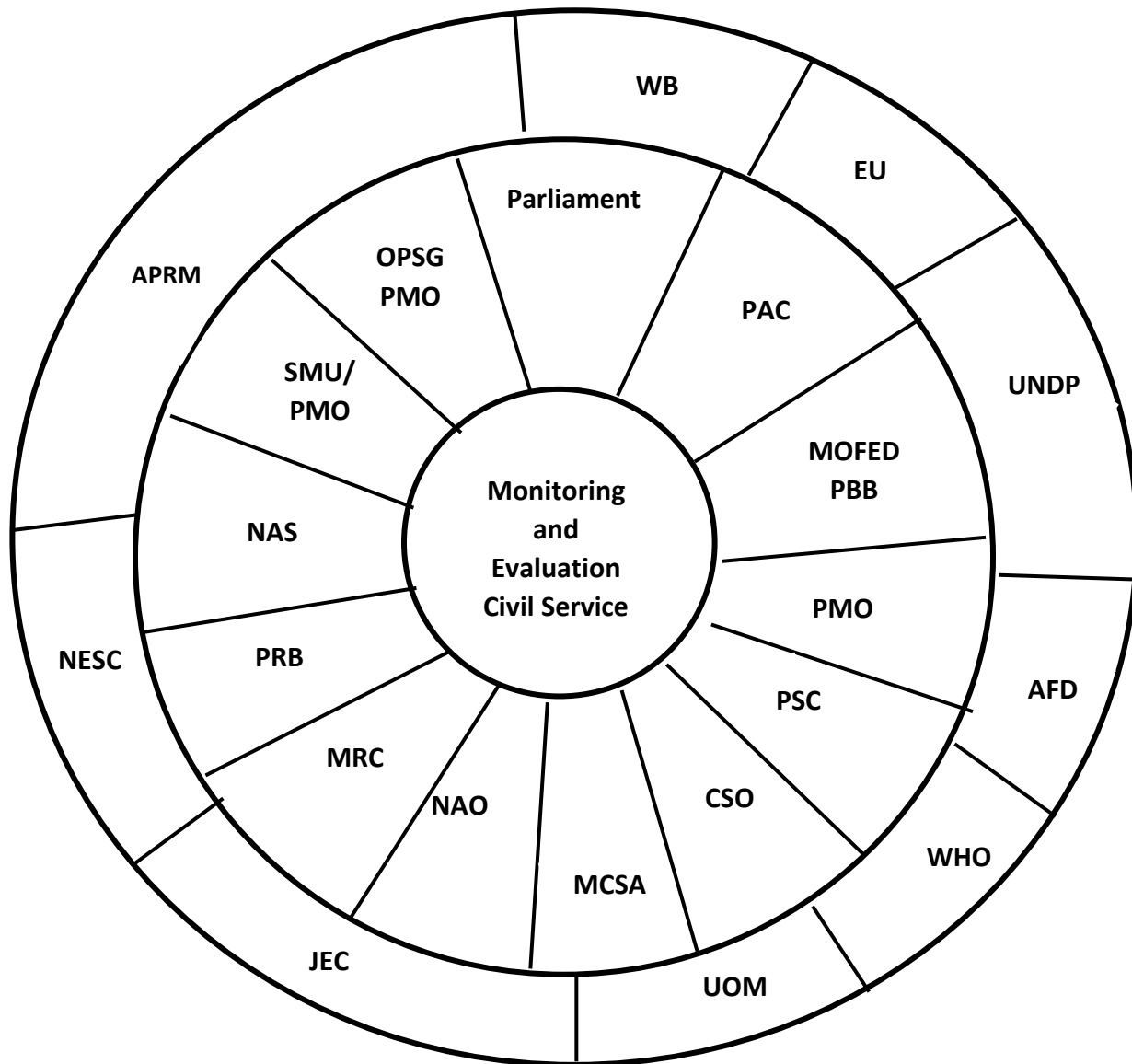
This chapter focuses firstly, on the institutional frameworks of Monitoring and Evaluation (M&E) mechanisms, establishing the relationship between the roles and responsibilities of various institutions involved in M&E, and demonstrating the ways performance information is shared for decision-making. Secondly, the analysis focuses on Programme Based Budgeting (PBB), which forms the primary instrument of monitoring in the Mauritian Civil Service. A mapping of the process is undertaken to determine the various entry points of performance information, along with the types of evaluation undertaken (or required) in the budgeting process. Such evaluation systems demonstrate the forms of evaluation undertaken, and how evaluation results are factored into the decision-making process, resulting in improved performance and a more judicious allocation of scarce resources. This also reveals whether the Civil Service employs impact evaluation, along with prevailing conditions. Thirdly, there is an analysis of evaluation in relation to the interaction of demand and supply, in order to establish

the conditions facilitating (or constraining) the institutionalization of evaluation in public services in Mauritius. Finally, there is the conclusion.

7.2 Mapping the Existing System of Evaluation in the Civil Service

In the light of the empirical findings, the mapping exercise reflects all those institutions within the legal framework employing performance information within government, through the establishment of M&E mechanisms. A series of mechanisms thus exists within government to ensure value for money for the timely (and effective) implementation of programmes within a set timeframe and allocated resources. It should be noted that, during the empirical research, many of the officers interviewed used the terms ‘monitoring’ and ‘evaluation’ in an interchangeable manner, i.e. interpreting evaluation as a continuous monitoring exercise to ensure that resources are allocated and there is adherence to the timeframe for policies, programmes and projects. However, it is noted that those interviewees who made the distinction had been exposed to evaluation concepts, and have been carrying out evaluation, impact evaluation namely the different development partners interviewed, i.e. the World Bank (WB); *Agence Francaise De Developpement* (AFD); World Health Organization (WHO); European Union (EU); and the United Nations Development Programme (UNDP).

Figure 7.1 – State of Monitoring & Evaluation in Mauritian Civil Service



Source: Drawn up the by researcher, based on empirical evidence

Key:	Inner Circle	Outer Circle
	MOFED : Ministry of Finance and Economic Development	UNDP : United Nations Development Programme
	PBB : Programme-Based Budgeting	AFD : Agence Française De Développement
	PMO : Prime Minister's Office	WHO : World Health Organization
	PSC : Public Service Commission	UOM : University of Mauritius
	CSO : Central Statistics Office	APRM : African Peer Review Mechanism
	MCSA : Ministry Civil Service and Administrative Reforms	NESC : National Economic and Social Council
	NAO : National Audit Office	MRC : Mauritius Research Council
	PRB : Pay Research Bureau	WB : World Bank
	NAS : National Aids Secretariat	EU : European Union
	SMU : Strategic Management Unit	JEC : Joint Economic Council
	OPSG : Office of Public Sector Governance	
	PAC : Public Accounts Committee	

Parliamentary Oversight

In line with the Constitution of Mauritius, Parliament scrutinizes government's budget, Bills, and reports of the Director of Audit and the Public Accounts Committee, along with and other public sector policies. These are further supplemented by parliamentary debate through parliamentary questions and private notice questions put by the parliamentary opposition. The overall objective of such scrutiny is to ensure transparency, equity, accountability and the effective use of resources within a framework of good governance. Parliamentary scrutiny ensures that government accounts for its decisions and actions, while monitoring the effectiveness and efficiencies of associated public service delivery.

Public Accounts Committee (PAC)

Following the Westminster model, the government has set up various PAC committees, who have a wide range of oversight responsibilities. PAC evolved from the need for a committee to oversee government's financial operations, and forms one of the most important institutions ensuring legislative accountability. It was set up by parliament under the standing orders and rules of the Mauritius National Assembly (17PAC2013). PAC is chaired by a member of the opposition and nine honourable members, and is empowered to summon accounting officers of ministries to give evidence on issues raised by the Director of Audit. These actions form an additional means of bringing public expenditure under parliamentary control. As in many developing countries, PAC examines audited accounts, which are subsequently included in the reports of the Director of Audit. It is required to establish whether disbursements of public funds

comply with regulations, and to subject to scrutiny any cases of negative expenditure and financial irregularities (19PAC2013).

This form of auditing takes place annually, primarily once projects have been completed (or are already underway) and funds have been disbursed. Remedial plans are devised, but little has been undertaken to evaluate whether the policies and projects have achieved their targets, due to the lack of a coordinated mechanism to prevent recurrence of misuse (or abuse) of funds and undue delays in projects (6AUDIT2013). During the interviews, an honourable member of PAC stated that PAC examined the reports of the Director of Audit between 2010 and 2011, and was required to establish whether (in line with the standing orders) the following had been subjected to scrutiny:

“...The monies shown in the accounts as having been disbursed were legally available for and applicable to the services, or purpose, to which they have been applied or charged; the expenditure conformed to the authority which governed it; every re-appropriation has been made in accordance with the provisions under appropriate regulations and cases involving negative expenditure, and financial irregularities (wherever they have occurred in the financial year under study) are addressed” (PAC Report, 2013, p. 34).

The interviewee further stated that PAC summons accounting officers in charge of those ministries subject to critical reports by the Director of Audit (DOE) to further explain any aspect of the following: (1) implementation of projects; (2) improper procedures concerning recording in stores; (3) non-compliance with procurement procedures; (4) delays in work; and (5) the award of contracts. The interviewee identified a lack of any subsequent follow up procedures, and that PAC is required to ensure that every single rupee is spent in a judicious manner (17PAC2013). In its 2013 report, the chairman acknowledged PAC’s limited responsibility in

the examination of audited accounts of an ex-post nature, noting that hearings are held in private, and the House does not debate the reports, while the relevant ministries fail to respond effectively to PAC's recommendations. The chairman thus recommended widening PAC's mandate, enabling it not only examine expenditure, but also to monitor the delivery of services against service targets, and to impose sanctions against officers in case of *prima facie* evidence of malpractice or gross negligence (PAC Report, 2013). The honourable member of PAC argued that:

“...We come in only when the money has been wasted. PAC is a post mortem exercise as per standing orders. Unfortunately, this is what the PAC has again and again raised. Unfortunately, we only come in after the money has been wasted. We do not have executive powers to go and follow up” (17PAC2013).

National Audit Office (NAO)

The mandate of the Director of Audit (DOA) is based on the constitution of the Republic of Mauritius. Section 110 of the constitution provides for the appointment, extent of authority, and independence of DOA, along with the submission of audit reports. The constitution stipulates that DOA should establish:

“...That all reasonable precautions have been, and are, taken to safeguard the collection of public money; that all laws, directions or instructions relating to public money have been, and are, duly observed; that all money appropriated or otherwise disbursed is applied to the purpose for which parliament intended to provide, and that the expenditure conforms to the authority which governs it; that adequate directions or instructions exist for the guidance of public officers entrusted with duties and functions connected with finance or storekeeping, and that such directions or instructions have been and are duly observed; and that satisfactory

management measures have been and are taken to ensure that resources are procured economically and utilised efficiently and effectively”.¹¹

Thus, the role and responsibilities of DOA are to undertake an audit conform to the terms of the constitution of Mauritius, with DOA’s mandate including responsibility for the reporting of the reasonableness and fairness of the accounts, in order to reassure citizens that the resources approved by their representatives have been utilised for the purposes for which they were intended. In 2013, DOA initiated the employment of value for money audits to inform the executive about the economy, along with the efficiency and effectiveness of project delivery. The constitution establishes the independence of DOA, who reports directly to the National Assembly.

Auditing thus checks for compliance against agreed areas of performance, in order to assess managerial accountability and test for conformity compliance and correctness. A deputy DOA confirmed that:

“...Every year, we check all the accounts of government. We have to examine all books, the records, and accounting records, and see whether the expenditure has been spent according to the wishes of the Parliament. We audit ministries, para-statal bodies; we need to see whether the accounts, the financial statements that they present are really fair. We ensure that there is no wastage” (19NAO, 2013).

¹¹DOA report on the accounts of the Republic of Mauritius for the year ended 31 December, 2012

Prime Minister's Office (PMO)

Three units operate independently under the Prime Minister's Office (PMO), focussing on monitoring and evaluation, with some oversight functions of monitoring and evaluation of specific activities through the following:

Office of Public Sector Governance (OPSG): OPSG operates under the aegis of PMO, providing services related to public sector reform, management consultancy and corporate governance to ministries, departments, para-statal bodies, local authorities and other organizations within the public sector. OPSG focuses on the introduction and implementation of sound governance practices in public sector organizations, including ministries, departments, state-owned enterprises and local authorities (14 PMO2013). OPSG was formed in 2010, following a reorganization of the Management Audit Bureau, which undertook organizational and financial reviews, consultancy assignments, investigations and other reform assignments for the public sector. OPSG has taken over this role, but with a more proactive mandate to initiate its own assignments, based on its mission to inculcate, advocate and provide good governance and good corporate practices within the public sector.

In accordance with its new mandate, OPSG provides the following services to public sector organizations:

- *Code of Corporate Governance:* Promoting and monitoring the implementation of the Code of Corporate Governance and undertaking sensitization activities for good governance;
- *Audit Monitoring:* Monitoring and reporting on the effectiveness of the implementation of the recommendations of: (1) the National Audit Office; (2) the Public Accounts Committee; and (3) the Internal Control Unit;
- *Audit Committees:* Establishing, reviewing and monitoring the effectiveness of Audit Committees;
- *Physical Asset Management:* Developing a framework for a standardized electronic physical asset management system;
- *Investigations:* Undertaking specialized inquiries into reported cases of mismanagement;
- *Reforms:* Promoting and assisting the Ministry of Civil Service and Administrative Reforms in the reform of public sector organizations, to ensure their services are responsive to public requirements; and
- *Programme Evaluation:* Undertaking programme evaluation to ensure the adoption of cost effective methods for the delivery of a quality service to the public¹².

¹²<http://opsg.gov.mu/English/opsgservices/Pages/default.aspx>

A Permanent Secretary noted that:

“...The assignment effected by OPSG is done according to a specific framework and methodology, namely going through data gathering and analysis of information; doing a preliminary diagnosis; deciding the time and resources required to carry out the whole exercise; deciding on the data to be collected; preparing the project schedule; and analysing all options and making recommendations. Implementation and follow up are done at the level of the organization concerned. In principle, no evaluation to assess the effectiveness of a project is carried out, except where there is a specific request, as has been the case to assess the status of corporate governance for thirty-two state-owned enterprises” (14PMO2013).

Strategic Management Unit

The Strategic Management Unit was set up in 2011 under the aegis of the Prime Minister’s Office, to monitor inter-alia the implementation of key projects within the government programme which reflects the government’s vision for a period of five years. In addition, when the same government remains in power, it can be renewed, i.e. the current government reviewed its initial government programme for 2010-2015 in 2012-2015, in order to reinforce its commitment to furthering the nation’s development.

The Strategic Management Unit has (in view of the delay of line ministries to implement projects and programmes announced in the government programme) been given the responsibility to monitor a number of critical projects out of the 350 programmes in the 2010-2015 programme. The unit identifies bottlenecks, which are then referred to at the High Level Project Committee, an emanation of the cabinet office, chaired by the Secretary to the Cabinet and Head of the Civil

Service, and comprises top level officials, including the Financial Secretary. Once the issues are resolved, the relevant Ministry ensures both implementation and follow-up.

Pay Research Bureau (PRB)

PRB was set up in 1977 as an independent organization under the aegis of the Prime Minister's Office, and it became operational in March 1978. Its main function is to undertake a continuous review of the pay and grading structures and conditions of service in the public sector secondary schools, and Local Authorities. Reports are published every five years. Past reports were published in 1987, 1993, 1998, 2003 and 2008.¹³

The Deputy Director noted that:

“...PRB ensures that every organization has the right set up, with the adequate number and levels of persons, and that the public sector is provided with ways and means to recruit people with the right competencies and qualifications. Through surveys, consultations with federations, trade unions, and management, as well as with central ministries such as MOFED, PMO and MCSA, PRB comes up with recommendations” (31PRB2013).

Thus, the recommendations of PRB 2013 focused (as have all reviews) primarily on the review of salaries in relation to the erosion of purchasing power. The 2008 Report on Pay Review and Conditions of Service focuses on human resource practices within the public sector that promote harmonious relationships and respond to changes including economic, financial and environmental factors. Furthermore, the emerging challenges facing the public sector have led to

¹³http://prb.pmo.gov.mu/English/Documents/Home/Rep_09%20.pdf

the reinforcement of a number of existing initiatives, along with a number of recommendations. These initiatives relate to public sector management reforms and a review of organizational structures, i.e. recommendations concerning (1) performance management systems with performance related incentives schemes, training and development; and (2) e-government initiatives to deliver services electronically.

These recommendations regularly review governmental performance, in order to establish greater productivity and effectiveness among the workforce, while the reviews ensure that the public service (as the executive arm of government) responds to new, and emerging, challenges.

National Aids Secretariat (NAS)

Mauritius is one of the 189 member states to adopt the Declaration of Commitment on HIV/AIDS at the close of the United Nations General Assembly Special Session (UNGASS) in June 2001. Following the receipt of a grant from the EU (amounting to MUR 7.89 million from the Global Fund to fight AIDS, Tuberculosis and Malaria), a national AIDS secretariat was set up under the aegis of PMO to coordinate and monitor the response to HIV/AIDS in Mauritius. The secretariat is legally responsible to the Global Fund for the results of the programme, along with financial accountability, and must ensure that effective arrangements are put in place for the following:

- (i) Disbursement of funds to all implementing entities (i.e. sub-recipients);
- (ii) Procurement and supply management; and
- (iii) Monitoring and evaluation, including reporting on programmatic results and financial accountability to the Global Fund.

An evaluation undertaken in 2011 by external consultants, assisted by staff from NAS, assessed the methadone substitution therapy and needle exchange programmes set up in Mauritius, in order to identify gaps, challenges, and opportunities, and to establish priorities for the development of a comprehensive strategy (PMO, 2011).

Ministry of Finance & Economic Development (MOFED)

MOFED is the Ministry responsible for the financial soundness of the government's economic policy, and for the prioritization of revenue and expenditure, and formulates development policies for the economic management of government affairs. It is made up of seven departments: (1) Treasury; (2) Registrar General; (3) Valuation Office; (4) Corporate and Business Registration; (5) Statistics Mauritius; (6) Procurement Policy Office; and (7) the Central Procurement Board.

Since 2006, MOFED has played a central crucial role in steering PBB reforms initiatives, and has been the main driver in developing and implementing reforms of aggregate fiscal discipline,

strategic prioritization, and efficient and effective service delivery (1MOFED2013). Regular monitoring of financial (and non-financial) indicators of PBB of line ministries is undertaken and coordinated by the Sector Ministry Support Teams (SMST), i.e. teams of technical analysts designated to assist line ministries in the preparation, submission and monitoring of PBB measures. Monitoring of the PBB budget is undertaken as follows:

- Quarterly monitoring of the PBB budget, as reflected in the approved budget in terms of funds allocated for each programme, which may comprise several sub programmes;
- Monitoring of non-financial indicators relating to service standards and quality of service;
- Monitoring of investment and capital projects for the construction of new buildings, hospitals, roads, power plants, water reservoirs and other infrastructure items, in line with established legislation, procedures manual and formalized committees; and
- Monitoring of investment projects (e.g. road infrastructure, construction of hospitals and schools) in relation to allocated funds within the PBB budget. The technical aspects of projects are monitored by the Project Plan Committee, chaired by the Ministry of Public Infrastructure and comprising several members including MOFED.

MOFED ensures the processing and recording of the financial transactions of government, in line with legislation relation to the management of public finances, along with the preparation of annual financial statements and other financial reports. Such processing is undertaken through a

computerized accounting system, known as the Treasury Accounting System (TAS), and which includes a Chart of Accounts (COA) to capture financial data. With the support of the Internal Control Cadre, MOFED also ensures adherence to the organization's rules, procedures, control systems and risk mitigating measures set up by management in line ministries. The overall objective is to improve governance within the organization with respect to: (1) organizational efficiency and effectiveness; (2) reporting processes; and (3) adherence to ethical standards.

Improvements in the public sector initiative have included the setting up of an M&E unit at MOFED to establish linkages with PBB, including the piloting of a number of evaluations with the assistance of development partners, mainly the World Bank.

Central Statistics Office

Statistics Mauritius is the official national government organization responsible for the collection, compilation, analysis and dissemination of official statistical data relating to the economic and social activities of Mauritius, and falls under the aegis of MOFED. It releases publications on a regular basis, including: (1) economic and social indicators; (2) digests of statistics; (3) census and survey reports; and (4) Mauritius in Figures.¹⁴

Statistics are compiled based on best international practice in the collection and dissemination of statistics, leading to the International Monetary Fund (IMF) granting Mauritius the Special Data

¹⁴<http://statsmauritius.gov.mu/English/Pages/default.aspx>

Dissemination Standard in February 2012, enabling it to thus become the second country in Africa (i.e. following South Africa) to have such a system (15STAT20).

Public Service Commission (PSC)

The Public Service Commission (PSC) was established under the Public Service Commission Ordinance No. 23 of 1953, in response to Section 88 of the constitution, and came into operation on 11 May 1955. Section 89 of the constitution awards the commission powers to appoint individuals to hold (or act in) any offices within the public service, to exercise disciplinary control over those holding (or acting) in such offices, including removal from office. PSC thus undertakes the recruitment, appointment, promotion, discipline and approval of schemes of service of the officers of the public service. The Commission is also empowered (under well-defined conditions) to delegate certain powers to its commissioners or any public officer to act on its behalf. Large Ministries such as Health, Civil Service, Education and Agriculture have also been given delegated powers for appointment of certain minor grades.

Ministry of Civil Service and Administrative Reforms (MCSA)

The Senior Chief Executive (11MCSA3) recalled that MCSA is a central Ministry, whose mandate is to promote a conducive work environment within the public service and to inspire and improve the morale of public officers, thus enabling them to provide timely and quality services to the public within a framework of ethics, good governance and accountability. MCSA

is responsible for the implementation of PRB reports concerning public service salaries and conditions of service, primarily through the following:

- Spearheading administrative reforms and introducing innovative strategies to improve systems and procedures for the timely delivery of quality services;
- Facilitating the continuous professional development and growth of human resources in the Civil Service;
- Supporting the creation of conditions and incentives to inspire and improve the morale of public officers, as well as promoting harmonious relationships with trade union associations; and
- Promoting the accountability of officers through the introduction of a system of performance management.

For the modernization of the public service, MCSA spearheaded the implementation of a new PMS in 2006, in order to inculcate a performance-oriented culture, in line with its aim to develop a professional Civil Service committed to excellence. PMS undertakes a normal process of management, and includes all members of the organization as partners, in order to improve results and service delivery. Within ministries and departments, the primary aim of PMS is to enhance performance at all levels by focusing on key areas of activities/services to be delivered, which are identified by means of strategic planning processes. It seeks to establish clear links between organizational development, the delivery of quality services, and the development of employees at work.

Although PMS is currently being implemented in all the ministries and departments, feedback from interviewees identified that the reporting system has not been fully implemented. In addition, this system has not yet been linked to rewards, and training opportunities have not yet been clearly defined through assessments on a one to one basis. Factors leading to the ineffectiveness of the system include: the lack of responsibility of line managers in the timely discussions of appraisers and appraisee and the completion of reports and follow-up; the linkage of PMS to strategic plans of ministries. Furthermore, the system has not yet been aligned with performance-based budgeting and the overall objectives of government. In accordance with their mandates, all ministries use the government programme as their basic strategic document to formulate and implement policies, projects and programmes, which are subsequently reflected in their annual budgets. A number of ministries have formulated strategic plans, but the development of strategic plans (and their implementation) has not yet been finalized for all of the Civil Service. This has led to the lack of alignment of the performance management system with the strategic plans, including linkages with the programme-based budget to improve operational effectiveness. Thus, there currently remains a lack of any effective link between performance, deliverables and service delivery standards to assess individual performance. An interviewee argued that:

“...We should be very careful about linking M&E to PMS, salary and career to evaluation. There needs to be additional concentration on learning benefits to be derived from evaluation. We are still in an early stage of PMS, and it is a very sensitive issue” (18WB, 2013).

Furthermore, there is currently a lack of support among unions representing the majority of public officers for the relating of PMS to rewards and sanctions (22FEDPS, 2013).

National Economic and Social Council (NESC)

The National Economic and Social Council¹⁵ (NESC), operates under the aegis of MOFED, and acts as a consultative body. It is comprised of members of government, the private sector, research institutions and civil society, and its aim is to foster consensus building through dialogue among social partners, to address the economic and social issues facing the country (29NESC2013). NESC undertakes studies on socio-economic issues of national importance, formulating its opinions and making recommendations to government concerning economic and social policies. Its overall objective is to ensure that policy options are created to address the many problems facing the country.

The University of Mauritius (UOM)

The University of Mauritius (UOM) was formally established by Act No 17 of 1971. In addition to its undergraduate, postgraduate and doctoral courses, it is a well-established institution with a credible track record in training and research. Originally founded in 1965, UOM is the oldest and largest university in the country in terms of both student enrolment and its curriculum. It has five faculties: (1) Agriculture; (2) Engineering; (3) Law and Management; (4) Science; and (5) Social Studies and Humanities. The programmes are internationally recognized, and include quality assurance mechanisms (i.e. a system of external examiners), and has links with renowned

¹⁵ http://www.nesc.mu/index.php?option=com_content&view=article&id=11&Itemid=138

universities on a global basis (5UOM2013). In line with its ambition to become a leading international university, UOM is actively involved in: (1) research and consultancy; (2) executive development programmes; and (3) international conferences with the Common Market for Eastern and Southern Africa (COMESA), ADB, WB, and UNCTAD.

The Mauritius Research Council

The Mauritius Research Council (MRC) was set up in May 1992 as an apex body to promote and co-ordinate national investment in research. In line with the MRC the objectives of MRC are to:

- Foster, promote and co-ordinate research and development in all spheres of scientific, technological, social and economic activities;
- Advise government on all matters relating to scientific and technological policies;
- Establish guidelines for, and initiate the formulation of, research and development policies on a national basis; and
- Encourage commercial utilisation of research and development results in the national interest¹⁶.

The Director of MRC confirmed that:

“...The role of the Council is to bring different parties together to address an issue of national interest, or look at an emerging sector which can create jobs and wealth for the country, through a consultative multi-stakeholder approach. Then other institutions do the research. So the

¹⁶http://www.mrc.org.mu/about_the_council/mrc_act

practical undertaking of the research is for the others to do. We simply set up the plan. We coordinate. However, not much funding is committed for research, as only 0.36% of the national GDP is available for national expenditure on research. For Mauritius, it has been like that for the last twenty years” (12MRC, 2013).

The Private Sector: the Joint Economic Council

The Joint Economic Council (JEC) was founded in 1970, and forms the coordinating body of the Mauritius private sector, grouping the country’s main business organizations. Mauritius has a long-standing tradition of dialogue between government and the private sector, allowing the private sector to voice its views on the development strategy of the country. Such dialogue takes place in a manner that is both structured and unstructured. The main objectives of JEC are to:

- Promote the interests of the private sector and free enterprise in Mauritius;
- Provide for joint consultation among the various organizations of the private sector;
- Liaise with government (and other bodies) on matters relating to the socio-economic development of Mauritius;
- Make representations in relation to legislative (or other) measures affecting the private sector; and
- Initiate and encourage activities aimed at furthering the development and interests of the private sector and increasing the country’s development.¹⁷

¹⁷<http://www.yelo.mu/company/14851/joint-economic-council-of-mauritius>

- It supports policy reforms, providing: country briefs; needs analysis; cost benefits analysis; ex ante impact analysis; and social impact analysis;
- It provides technical assistance, budget support and direct funding to non-state actors;
- It ensures that implementation and monitoring of projects are fully delegated to government, and undertaken by the respective ministries. However, funding is disbursed according to achievements of agreed performance indicators; and
- It ensures that independent teams of donor agencies in line with their monitoring mechanism carry out post-evaluation, and the results are communicated to the relevant ministries to aid in the review of policies.

The EU, recalled that EU has cooperated with the government of Mauritius since 1970. In accordance with the 2000 Cotonou Agreement (revised in Luxembourg in 2005), a country strategy paper and an indicative programme of community aid were signed in favour of the Republic of Mauritius (European Community Country Strategy Paper and National Indicative Programme 2008-2013, 2007).

The Director of JEC has expressed pride in the fact that the private sector has been an active partner in the policy making process of government since the country achieved independence in 1968:

“...We have structured meetings at very high level with the government in a regular and highly structured manner. For example, we exchange views and make proposals during budget estimate committees from the private sector perspectives on how best to address the challenges facing the

country. We sit on different committees and work together with government to monitor and improve the business environment, to facilitate business working in specific indicators for doing business in a competitive world environment. For recall, we took an active part in WTO negotiations to define trade tariffs. Another instance is our contribution regarding the 2008 financial crisis, and we helped to set up the Business Facilitation Act to attract more investment in the country” (13JEC, 2013).

Development Partners

Following independence in 1968, Mauritius has benefited from a number of different forms of assistance from development partners (e.g. WB; EU; AFD; UNDP and WHO) and other friendly countries, either through funding, or the provision of technical expertise, budget support and direct funding to non-state actors. The development partners surveyed during the interviews were unanimous in respect of the following benefits of such assistance:

- It supports the decision-making process, considering areas of priorities through policy reforms, identifying constraints and submitting proposals. However, the final decision rests with the government of Mauritius;
- It supports policy reforms, providing: country briefs; needs analysis; cost benefits analysis; ex ante impact analysis; and social impact analysis;
- It provides technical assistance, budget support and direct funding to non-state actors;
- It ensures that state that implementation and monitoring of projects are fully delegated to government, and undertaken by the respective ministries. However,

funding is disbursed according to achievements of agreed performance indicators;
and

- It ensures that independent teams of donor agencies in line with their monitoring mechanism carry out post-evaluation, and the results are communicated to the relevant ministries to aid the review of policies.

The EU recalled the EU has cooperated with the government of Mauritius since 1970. In accordance with the 2000 Cotonou Agreement (revised in Luxembourg in 2005), a country strategy paper and an indicative programme of community aid were signed in favour of the Republic of Mauritius (European Community Country Strategy Paper and National Indicative Programme 2008-2013, 2007).

An interviewee from the EU argued that:

“...The EU provides assistance based on priorities of government for a period normally between five and six years in three sectors, namely projects, budget support and support to non-state actors or community based organizations. We decide on the priority sectors together with the Ministry of Finance and line ministries. For non-state actors, we do not go through government, but we have a project management unit which launches calls for proposals. There is a process of competition for the funds, which are given to the best project” (9EU, 2013).

The interviewee further confirmed that:

“...In order to ensure that there is no overlapping with other funding agencies, there is a donor matrix where each donor is featured by sectors, so we know exactly who is doing what, and in which sector. With regard to monitoring and evaluation, the monitoring of projects under budget support is done through the implementing agency, based on the agreed indicators, which are reflected in the PBB. It is only when these targets

have been met that further funds are disbursed. The EU is one of the most established leaders in terms of tools and methodologies for evaluation. Evaluation is part and parcel of all EU funded programmes, and it has external evaluation (also called result oriented monitoring), which can take place six months after completion, when the project has ended, or five years following the ending of the project” (9EU, 2013).

The principles of monitoring and evaluation of government-funded projects are generally identical for the other development partners. A World Bank economist, who has coordinated reforms in a number of different sectors in Mauritius, stated that the country strategy paper is prepared every five years, involving analysis that considers the issues faced by the country, and the most effective means of supporting priorities. WB provides assistance in terms of funding, expertise and partnership.

The interviewee (18WB2013) argued that when it comes to M&E, fiscal monitoring is fairly robust in Mauritius, with monitoring of projects undertaken by government. Independent monitoring is also undertaken by WB on a regular basis, through a dedicated mission, which considers a project’s: (1) preparation; (2) financial implementation; (3) use of resources; (4) timeline; (5) quality and (6) completion date. The WB interviewee (18WB2013) further stated that WB undertakes an evaluation six months following the completion of a project. However, after approximately five years cross-sectional evaluation is also undertaken on specific issues, e.g. transport. The interviewee viewed impact evaluation from a technical perspective, relating it to the statistical methods adopted to assess the impact of a policy, project or programme. He noted that:

“...It is difficult to implement because of randomized experimentation and the formation of control groups. However, ex-post evaluation should be done through regular monitoring at least every six months through mid-term reviews to assess the progress made” (18WB2013).

He expressed a comprehensive concern that there is a lack of expertise in developing countries to undertake impact assessment, and in particular when such assessment is made outside a laboratory setting as confirmed by (Bamberger, 2009).

The African Peer Review Mechanism (APRM)

Mauritius was (along with Ghana, Kenya and Rwanda) one of the first states to volunteer to take part in peer reviews. The country acceded to the APRM through the signature of the Memorandum of Understanding of APRM on 9 July 2003. APRM was launched in 2003 as part of the New Partnership for Africa’s Development (NEPAD), and is a self-monitoring tool voluntarily acceded to by Member States of the African Union (AU). Its objective is to foster the adoption of policies, standards and practices that result in political stability, high economic growth, sustainable development and accelerated regional and economic integration, through the sharing of experiences and the reinforcement of successful and best practice, including identifying deficiencies, and assessing the need for capacity building.

The requirements of the Country Review Exercise, in accord with the Memorandum of Understanding signed by Mauritius and APRM, led to broad consultations being held with: (1)

government officials; (2) political parties; (3) parliamentarians; and (4) representatives of civil society, i.e. mass media, academia, trade unions, business and professional bodies.

In 2010, the following countries also joined APRM namely: Algeria; Angola; Benin; Burkina Faso; Cameroon; Republic of Congo; Djibouti; Egypt; Ethiopia; Gabon; Kenya; Lesotho; Malawi; Mali; Mozambique; Nigeria; São Tomé and Príncipe; Senegal; Sierra Leone; South Africa; Sudan; Tanzania; Togo; Uganda and Zambia (APRM, 2010). The report acknowledges that, despite rapid improvement in the economy of Mauritius (leading to over forty years of average annual economic growth rate of over 5%), Mauritius still needs to overcome challenges in order to build a strong and emerging country.

In conclusion, the above sections have outlined issues of evaluation within the public service, in light of the empirical research, and the different institutions and stakeholders influencing M&E at national and international levels. As the budget forms the main monitoring instrument for the public service, the following section details the budgetary process and identifies a number of different monitoring mechanisms.

7.3 Monitoring and Evaluation through the Budgeting Process

In addition to the general mapping of state of monitoring and evaluation, it is pertinent to review the budget process as in many countries, including the United States, Chile, Australia and

Columbia, the budget is the main vehicle to use performance information as a key factor in budget decisions. The budget is thus the main instrument used to determine government priorities, taking into consideration: (1) economic and sectoral performance; (2) the macroeconomic programme; (3) expenditure allocation; and (4) policy initiatives of government based on national priorities.

This section analyses the budgeting system in Mauritius, in order to understand the extent to which monitoring and evaluation is undertaken, along with the budgeting process. This will establish how, when and why performance information (or evaluation) is being undertaken, along with the processes employed to inform budget decisions, including the resulting benefits.

Background

The Head Finance Cadre reported that the Mauritian government launched an economic reform programme between 2006 and 2007, which focused on increasing the competitiveness of the economy, in order to: (1) attract foreign direct investment; (2) empower the poor; and (3) strengthen fiscal management. Program-Based Budgeting (PBB) was introduced in Mauritius as an integrated approach to change the focus of the budgetary process from an input-based annual activity to a performance-based exercise. This aimed to use performance information to increase the efficiency and effectiveness of expenditure by systematically linking funding to results through the use of performance information (1MOFED2013).

The budgetary process is spread over approximately ten months, i.e. from May to December of each year. MOFED reviews the macro-economic framework, taking into consideration government expenditure commitments and the impact of major developments at a global level on Mauritius, in the economic and financial fields. MOFED subsequently prepares a fiscal policy priority document identifying broad national priorities. In addition, ceilings of expenditures are determined and approved by government, based on the performance of line ministries and government priorities. MOFED subsequently issues guidelines to ministries and departments, with clear instructions on PBB preparation to ensure smooth execution and monitoring of the PBB, in accordance with the PBB preparation calendar.

During the pre-budget consultation exercise, MOFED invites all stakeholders to submit their proposals for the current year, i.e. business and trade associations; professional bodies, trade unions; Non-Government Organisations (NGOs); civil society organizations and the general public. These proposals should be in accordance with three overriding (and interrelated) objectives aiming to provide an improved service to the population, thus ensuring their well-being and further improving their quality of life, i.e. (1) high income; (2) inclusiveness; and (3) sustainability¹⁸.

At the same time, each Ministry also prepares its budget proposals for the year. This includes: (1) an assessment of the progress achieved for its recurrent and capital projects (based on both financial and non-financial indicators); and (2) identifying the constraints and bottlenecks

¹⁸<http://mof.gov.mu/English//DOCUMENTS/2015PREBUDGETCONSULTATIONS.PDF>

encountered during the year. Financial indicators ascertain whether the funds allocated for the programme have been used for the purpose intended, and any shortage of (or unused) funds are documented. Non-financial indicators are assessed to assist in the preparation of the budget as well as constraints and challenges, these include each activity falling under specific programmes, as reflected in the previous PBB budget, e.g. outcome indicators and service standards.

New projects or programmes are added to those already in place in line with policy decisions, or as reflected in any existing ministerial strategic plans or government programme. Human resource proposals are finalized by line ministries, including those covering the filling of vacancies, and the review of existing posts and creation of new positions. These proposals (both financial and those related to human resources) are subsequently discussed with MOFED and Ministry of Civil Service and Administrative Reforms (MCSA) at the level of the Financial Estimates Committee and the Human Resource Estimates Committee. Policy dialogues take place between the minister of finance and ministers of line ministries to establish the policy direction of different sectors such as health, education and agriculture social services.

With regard to investment or capital projects, exceeding MUR 25 million, e.g. new infrastructure facilities these are processed in line with defined guidelines, as set out in the Investment Manual (Investment Project Process Manual, 2008). These projects are approved by the Project Plan Committee, chaired by the Ministry of Public Infrastructure, and include representatives from MOFED, MCSA, Procurement and line ministries, and are classified in the Public Sector Investment Programme (i.e. a document outlining the planning, financing and implementation of

public sector infrastructure investment decisions and policies). Five-year investment projects are funded through government budgetary resources for state-owned institutions; and loans and grants from development partners and Foreign Direct Investment (PSIP, 2014-2018). Government's approval is sought for these projects, followed by the document being submitted to the National Assembly, along with the financial budget estimates. Once the recurrent and capital budgets have been finalized and approved, draft estimates (together with the draft appropriation bill) are approved by cabinet, and subsequently submitted to the National Assembly.

The budget speech made at the National Assembly by the Minister of Finance and Economic Development is a critical policy document, reflecting the government's vision. Thus, the budget speech for the fiscal year 2014 focused on the vision of Mauritius to become a high-income nation, with proposals for the elimination of absolute poverty. The budget speech was based on the theme of 'Building a better Mauritius and creating the next wave of prosperity', along with the Maurice Ile Durable concept, and a democratized economy (Budget Speech, 2014).

The budget also reflects: (1) the existing economic outlook at the domestic, regional and global levels; (2) the financial positioning of revenues and expenditure; (3) the pressing concerns of government; (4) measures concerning the raising of revenue; (5) reviews of subsidiaries; and (6) taxation. A number of different themes have been articulated during previous years, in particular since the introduction of programme based budgeting in 2006. These have reflected government priorities, as follows:

- 2006 - 2007 Securing the transition from trade preferences to global competition.
- 2008 Building a Mauritius that is attractive, modern, inclusive, green, and open.
- 2009 Saving jobs, while protecting citizens, and preparing for recovery
- 2010 Shaping recovery, including consolidating social progress and sustaining the green economy.
- 2011 Rebalancing growth and consolidating social justice.
- 2012 Growth for the greater good.
- 2013 Rising to the challenges of a world in transition.
- 2014 Building a better Mauritius: creating the next wave of prosperity.

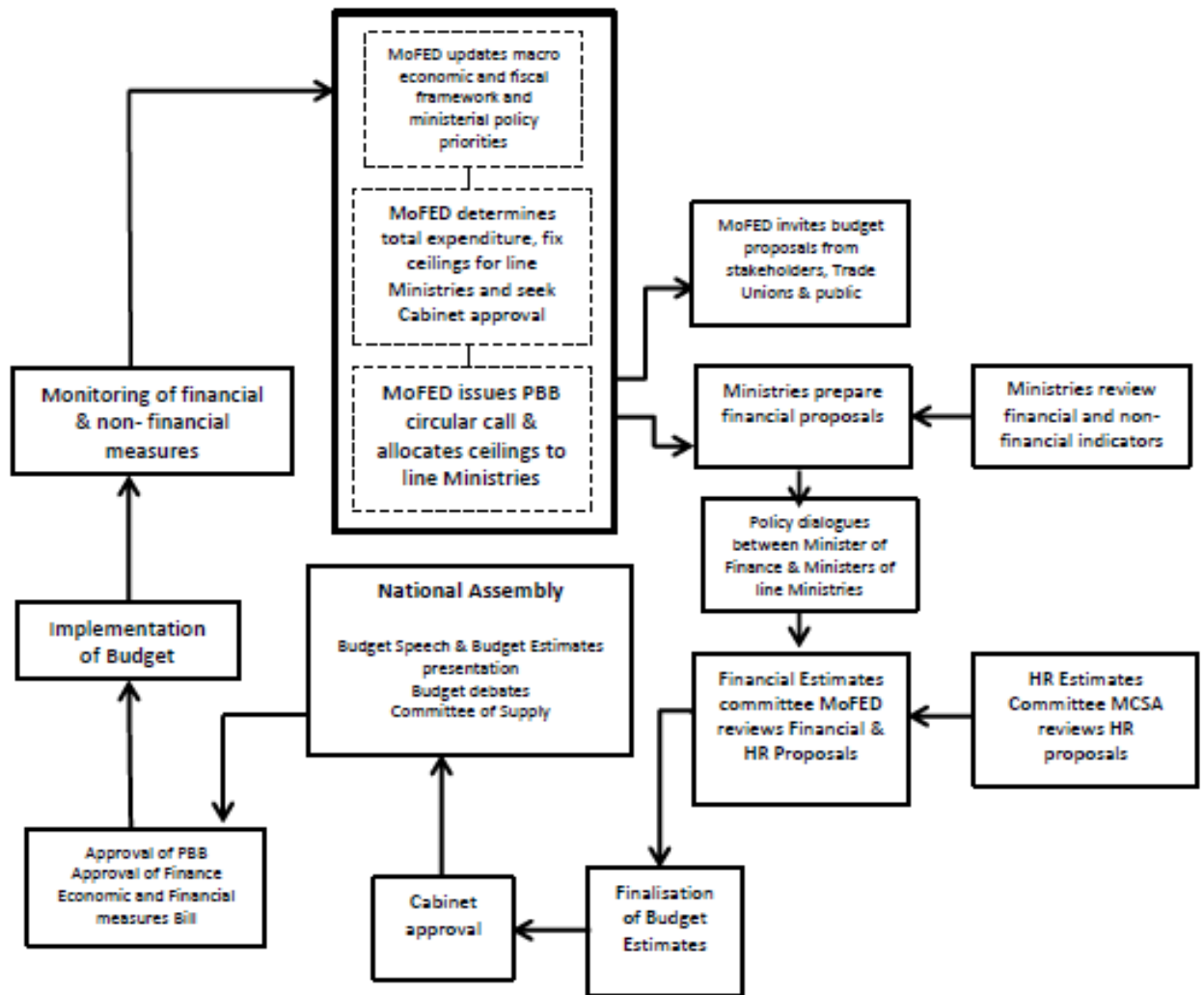
Debates concerning the proposals in a budget are held during meetings of the Committee of Supply, during which members of the National Assembly seek clarification concerning the performance of previous projects and critically review new proposals. Accounting officers of line ministries are also present to support their ministers, assisted by their technical and administrative staff to submit clarifications or any issues falling under their respective Ministries. The budget proposals are made through the finance miscellaneous bill which are approved by the National Assembly (i.e. with or without amendments).

Once the Appropriation Bill has been passed and enacted, a general warrant is issued to authorize expenditure, thus enabling the budget to be implemented by the respective ministries. The monitoring of different programmes is undertaken by MOFED, by means of regular reviews to

ensure that the projects, programs are being implemented as planned and budgeted. The process is mapped in **Figure 7.2**.

Mauritius Budget Process

Figure: 7.2



Key: MoFED Minister of Finance and Economic Development
 MCSA Minister of Civil Service and Administrative Reforms
 HR Human Resource

Source: created by the researcher, based on empirical research

7.4 Budget Implementation and Monitoring

Once the budget has been approved, and funds released, each line Ministry is responsible to implement the programs and projects in accordance with the funds provided, and to monitor same. The Sector Ministry Support Team (SMST) are designated officers from MOFED to act as liaison officers between MOFED and the line Ministry, thus maintaining a continuous dialogue to ensure that implementation is undertaken in line with the agreed implementation schedule. These arrangements ensure regular reporting and monitoring of PBB of line ministries, ensuring that accountability requirements are met through the monitoring of reports for both financial and non-financial indicators. At the same time, this ensures that services are delivered in accordance with the standards and performance indicators, and that the target set to reach outcomes are achieved. MOFED plays both a coordinating and a supervisory role. Financial reporting is undertaken with Excel software, through the treasury accounting system and non-financial reporting. Projects listed in the Public Sector Investment Programme (PSIP) are also monitored, in order to assess progress at different stages of implementation, along with annual cost evolution, and the likely impact on expenditure plans for subsequent years (3MOFED2013).

CABRI (2010) reported that Mauritius has made considerable progress in the implementation of PBB. MOFED has ensured an enabling environment for PBB, through appropriate changes to the legal and institutional framework. The budget has been restructured by means of a programmatic approach, and information concerning performance is included in budget documentation. One of the main aims of the introduction of PBB in Mauritius was to ensure the budget process became

more policy oriented, using PBB as a tool to allocate limited resources to services providing the greatest social benefit. Furthermore, the implementation of PBB has increased awareness concerning issues of performance, and the need to monitor the achievement of targets. The introduction of PBB, along with improved resource allocation, flexibility and ownership, has assisted ministries to set priorities, simplifying the process of ensuring resources are more effectively allocated to such priorities.

7.5 Evaluation of Budget

A former minister interviewed noted in relation to evaluation in Mauritius that:

“...We are far ahead than what we were some years ago, but there are a lot of deficiencies, but yet we are far except for South Africa where evaluation is working efficiently” (31SCMNEDC, 2014).

The PBB manual for 2010 (see Figure 7.3) illustrates the cycle of: (1) planning; (2) budgeting; (3) taking action or implementation; and (4) monitoring and evaluation. Line ministries undertake monitoring in a systematic manner, although evaluation undertaken by MOFED is still at an early stage (1MOFED2013). The PBB manual discusses the difficulty of introducing evaluation in Mauritius as part of the process cycle, as follows:

“...Preparing for any evaluation requires an investment of time and thought. The scope of a programme/sub-programme evaluation will, in most cases, be larger than that of an investment project (intervention) evaluation, which should be self-financed within the project document money” (PBB Manual, 2010, p. 30).

The manual (2010, p. 31) further highlights the difficulties in applying such an elaborate mechanism (i.e. evaluation of programmes and sub-programmes) in Mauritius during the early period of PBB implementation. Thus, programme/sub-programme evaluation should initially follow a simpler, and more selective, process, employing elaborate and scientific evaluation primarily for large, high-priority programmes. It was therefore recommended that the majority of programme/sub-programme evaluation should initially be limited to a simple desk review focussing on the following:

- (i) Whether the first priority of government is the outcome(s) of a programme/sub-programme;
- (ii) Whether the programme is designed a manner that will enable it to achieve its intended outcome(s); and
- (iii) Whether any available service standards reveal issues of programme/sub-programme efficiency and effectiveness.

Figure 7.3: Budget Cycle



Source: Manual for Programme-Based Budgeting (2011) Page 9 page 26

CABRI (2010) highlighted that strategic planning must ensure linkages between policy priorities and resource allocation, and recommended further in-depth budget analysis to inform resource allocation aligned to targeted outputs, as well as developing mechanisms to monitor and evaluate service delivery in relation to spending (CABRI, 2010). CABRI (2010) further advocated the implementation of mechanisms to monitor and evaluate programme performance, i.e. from both a financial and a non-financial perspective. The Finance Ministry is required to

make a decision concerning the frequency and timing of reports (which should integrate financial and non-financial performance information), taking into account the information systems available. Systems need to be developed by line ministries and the Finance Ministry for both in-year monitoring and end-of-year evaluation. The results of monitoring and evaluation should feed into the strategic planning process, including reviewing and revising policies, objectives, programmes and outputs (CABRI, 2010, p.23).

Tommasi and Hanoomanjee (2011) conceded that an outcome evaluation was undertaken to assess PBB and the sector strategies component under the UNDP Country Programme (2009-2012). This was implemented to support the Mauritian government's economic reform programme through the strategic budgeting project between April 2009 and December 2011. They acknowledged that the PBB preparation cycle does not necessarily reflect the policies implemented, and argued that there is a lack of national strategic plans giving a strategic framework for any missing plans (Tommasi and Hanoomanjee, 2011, p.6).

7.6 Analysis of Demand and Supply

In accordance with the second research question (i.e. the influence of 'impact evaluation' on practice within the Mauritian Civil Service), this chapter has firstly, mapped out the prevailing state of evaluation with regard to the roles and responsibilities of: (1) government institutions in respect of evaluation from the demand side; and (2) from the perspectives of both the supply side

and civil society. It was noted that parliament has oversight functions as well as the Public Accounts Committee, while accounting audit bodies use M&E for post mortem monitoring. Development partners influence the policy process through budget support for the formulation of policies, programmes and projects, as well as an evaluation of policies undertaken both independently, and with private sector and research institutions.

Secondly, there was a discussion of the budget process, as encapsulated in PBB, i.e. the main instrument used by the Mauritian Civil Service to monitor governmental receipts and expenditure. Monitoring is institutionalized in the public service by means of the budget; however, there is a lack of any evidence based evaluation to assess whether there has been an achievement of the set indicators or performance standards. The different stages of the budget process highlight the different entry points at which monitoring takes place, but also pinpoints entry points at which evaluation could have been implemented at different levels of analysis by the following: parliamentarians; MOFED; DOE; line ministries; other stakeholders; and recipients of services.

7.7 Mapping of stakeholders for demand and supply of evaluation

Table 7.1 classifies stakeholders into three groups: (1) Government Agents; (2) Evaluation Agents; and (3) Principals. Government Agents focus on the demand for evaluation and the manner in which supply unfolds in relation to the planning and budget process. In line with its

mandate, MOFED has a responsibility to demand evaluation for the purposes of continuity in resource support for initiatives and programmes. MOFED undertakes regular reviews prior to the budget, in line with the macro-economic framework, in order to determine the recurrent and capital budget, taking into consideration debt servicing and capital investment, and determining the fiscal space necessary to respond to further commitments, and to adopt social measures in line with government programmes. MOFED is financially assisted by development partners, through of country strategic initiatives to complement the government programme.

However, there is a lack of appropriate evaluation undertaken by line ministries, prior to an allocation of funds for the budget, in particular in establishing whether previous the policies, programmes and projects have met their objectives in the absence of a strategic plan by ministries.

In its annual report, the Director of Audit highlights the loss of government money due to delays in: (1) the implementation of projects; (2) purchase of equipment; (3) non-conformance to procurement procedures; and (4) cost overrun. The Public Accounts Committee also addresses such shortcomings, while noting its inability to impose sanctions on those responsible for such mismanagement of public funds. Hence, the need for evaluation is justified. The Statistical Service (i.e. the custodian of official government data), has undertaken a range of significant statistical surveys, which could be used as baseline, or secondary data with which to carry out evaluation. A number of line ministries (e.g. the Ministry of Health and Quality of Life), have

their own statistic offices, and carry out surveys and other rapid assessments in collaboration with regional and international organizations.

Principals are stakeholders on the demand side, as a result of their political power and positioning, and include: (1) development partners; (2) parliament; (3) the Public Accounts Committee; (4) civil society; and (5) the media. This group of stakeholders has been amalgamated, due to representing the most important political actors who demand evaluation distinct from government.

Table 7.1: Mapping Demand and Supply of Evaluation

Government Agents (Demand)	Evaluation Agents (Supply)	Principals (Demand)
Ministry of Finance and Economic Development	The University of Mauritius	Parliament
Office of Public Sector Governance	Research Council of Mauritius	Public Accounts Committee
Line Ministries	National and Economic Social Services	Director Of Audit
Central Statistical Office	Development Partners	Development Partners: EU, WHO, UNDP; AFD; WB; Civil Society
		Consumer Associations
		Media

A justification is also required for an evaluation for the Principals. Development partners undertake evaluations in an independent manner, but there is a need to determine to what degree such recommendations are factored into existing and new projects. These recommendations

remain unpublished, leading to a latent demand for evaluation for both agents and principals of the government. However, it will prove challenging to transform this into consistent demand. Demand for evaluation is embedded in an executive primarily through the budget.

However, thus the adoption of PBB (initiated in 2008) led to a number of difficulties, as it was a considerable shift from being a line-item budget to one focussing on the development of the overall philosophy of specifying goals, objectives and performance indicators for each programme. The monitoring of outputs and outcomes also proved challenging.

In the foreword to the PBB Estimates 2014 and Indicative Estimates 2015 & 2016, it is acknowledged that the implementation of PBB did improve the planning function of ministries/departments and enhanced transparency and accountability in the use of public funds. However, the same time, section six of the budget includes a recommendation to the effect that there should be:

“...A framework for building strong Monitoring & Evaluation (M&E) mechanisms within Ministries/Departments at different levels, including ex-ante cost benefit analysis for all major Government projects, comprehensive spending reviews and incentive systems” (Part (ix) of the foreword of PBB estimates 2016 & 2016).

There are several entry points in the Budget Cycle namely before a project is undertaken, during and after completion and impact. At the level of Ministries, evaluation and impact evaluation can be carried out prior to seeking funds. Such demand can originate from MOFED, PAC and DOE to ensure both efficiency and effectiveness of projects, but primarily that the goals have been achieved for the targeted groups.

When it comes to the supply side, there is a pool of qualified individuals available in both the public service and in private and academic institutions who are well-versed in evaluation. However, there remains a need to provide capacity building, in order to create a sufficient number of qualified individuals to carry out evaluations and introduce courses in evaluation at tertiary levels. However, evaluation continues to be undertaken by development the partners, in accordance with their existing policies.

7.8 Analysis of the Empirical Research

The purpose of chapters six and seven were to examine the response that emerges from the data collection in respect of the policy process and the factors which impact on it for decision-making process through the lens of Sabatier Advocacy Framework. The conclusions reached are that the factors impacting on the process are similar to that based on the literature review. However, there are marked differences relating to context based on the historical, economic and social factors.

Chapter six has elaborated on the policy process and has shown the importance of performance information at each level of the policy cycle. The policy process is very complex and comprises a number of complex rounds or cycles (Dunn, 1994; Sabatier, 1999). Hupe and Hill (2006) reinforce the argument of the complexity of the process.

The Advocacy Coalition Framework is equally applicable to a small island like Mauritius where policy-making involves a multiplicity of actors having different interests, values, perceptions and policy preferences. The nature of policy systems is affected by the political economy structures in which they operate and the nature of the political system's domestic variables namely the link between the executive, the judiciary and the legislature.

The stagist approach has conceptualised the policy process as consisting of a series of sequential steps that start with agenda setting and end with policy evaluation (Howlett et al., 2009; Dunn, 2004; Hill, 2004). The policy process framework also permits the explicit inclusion of social norms and cultural values, which are taken very seriously by policy makers in view of the multi-ethnicity of the Mauritian population.

As (Lindbloom, 1968). Dunn (1994) argue that for some policy decisions there are no sequencing as these policies may be adopted first, or certain phases may be linked, skipped or merged into one another as the process of developing solutions is in a continuous flux. Such cases arise in crisis solution where policy decisions have to be taken decisions especially in life threatening cases such as cases of unexpected natural calamities as flash flood.

The major prerequisites to policy change are based on such factors as major economic changes, changes in the system of governing coalition, policy decisions and impacts from other subsystems as well as stable parameters relating to the basic constitutional structure, socio-cultural values and natural resources of a political system.

Chapter seven has examined the state of evaluation in the Civil Service in Mauritius, in relation to supply and demand, and in accordance with constitutional mandates and policies. It has analysed the state of evaluation from the perspectives of institutions and secondly from the budget perspectives as well as assessing the demand and supply for evaluation in the local context. This mapping revealed the extent to which evaluation is currently implemented in the Civil Service, thus enabling the identification of factors that both enable, and constrain, the institutionalization of impact evaluation in the Mauritian Civil Service.

Prior to analysing the state of evaluation in these institutions, it is appropriate to discuss the context of Mauritius which influence policy decisions. Chapter 5 has elaborated on the historical and the success of Mauritius and how it has now reached the status of an upper middle income country. Unlike the first pioneer countries, such as the United States, Canada, Germany, Australia, Sweden; the Netherlands, United Kingdom, Germany, Denmark, Korea, Norway, France and Finland, which had strong internal pressures (Furubo et al.2002) to carry out evaluation for political and economic reasons.

Slavery existed in Mauritius and after its abolition and when the country gained its independence in 1968, the priority of Government was to build the economy in a concerted and democratic manner together with the private sector to provide jobs and to create a resilient economy. Backed by the Constitution which established the fundamental rights of the citizens, priorities were given to the creation of social services through the welfare state.

Another aspect to take into account is that general elections are held every five years and the party in power has only five years to deliver what has been promised and to convince the population of its dedication to bring to fruition all that the party has promised so that the party is re-elected. Hence the question of evaluation is not priority. (13JEC, 2013) conceded that they do not do evaluation. However, there is close monitoring especially on the world wide indicators. Most of those policy makers interviewed all agree that they have a government programme and that each Ministry has his share. (2PMO2013); (16 ENV, 2013); (1MOFED,2013); (8SOSEC, 2013) but they almost operate in silos in the absence of national established priorities such as poverty alleviation, climate change.

Chapter seven has shown that Mauritius has very strong institutions for monitoring where fiscal monitoring is very strong. The chapter has thus brought to light the immense potential of Mauritius with its institutional set up where some evaluation is being done, not systematically and with the help of foreign Agencies.

The budget process has identified a series of entry points at different levels where evaluation can take place for example, prior to the budget, a few evaluations which should have been agreed upon by the Ministry of Finance and the Agencies concerned to assess effectiveness of programs or midterm reviews or impact or outcome evaluation but most Ministries do not have Annual Report where they report on their achievements and progress.

With regard to demand and supply, the demand is latent and supply is very inadequate. During the interview, most officers concentrate on the compliance nature of the monitoring of projects which is good as performance monitoring information forms the basis of both evaluation and Impact evaluation and can thus facilitate its institutionalization.

7.9 Conclusion

The chapter has elaborated on a descriptive account of the different institutions involved in monitoring and evaluation based either on institutional mandate or administrative policies with a strong focus on monitoring. Based on the reports of the DOA, PAC and Parliamentary oversight; it is assumed that there is a latent demand for evaluation for effectiveness of program and projects. These are strong institutions with well-defined roles and responsibilities but there seems to be overlapping of duties. There is a latent demand for evaluation but the absence of an overall Government Strategic Plan linked to Ministries Strategic Plans result in Ministries operating in silos.

The Budget is the main vehicle for performance information at different levels of the process. Opportunities do exist to integrate evaluation initially through assistance of the donor Agencies which have the technical expertise and data either primary or secondary data is already available at the Central Statistical Office to carry out evaluation.

CHAPTER EIGHT - ANALYSIS OF OPPORTUNITIES AND CHALLENGES INFLUENCING THE INSTITUTIONALISATION OF IMPACT EVALUATION IN THE MAURITIAN CIVIL SERVICE

8.1 Introduction

The purpose of this chapter is to analyse the findings of the empirical research in light of the analysis carried out in Chapters Six and Seven. Chapter Six analysed the policy-making process which provides the platform for the intersection of demand and supply (Langou and Weyrauch, 2013) and identified the factors which influence the decision-making process at different stages of the policy cycle, namely, at the policy initiation, policy implementation and policy accountability stage. The analysis identified the types of evaluation required and the influence of coalitions on the process.

Chapter six explains how policies are made and the various stages in which policy decisions are made in line with the hierarchical architecture of the Westminster model of decision-making. Secondly, the analysis of the policy-making process highlighted a number of points where evaluation information is required, thus confirming the need for different types of evaluation at different levels of the policy cycle.

The use of the Advocacy Coalition Framework has enabled the analysis of the policy process from various perspectives, both internal and external to the organization, to enable evidenced-based decision-making. Furthermore, the application of the Advocacy Coalition Framework has highlighted the increasing importance of the role of coalition members, especially in the context

of good governance where there is more interplay among different stakeholders for the benefit of the population.

The second analysis focused on the budget process as this is the main process, which requires information on performance at different points in order to highlight the challenges inherent in the implementation of evaluation processes.

Chapter Seven has mapped the state of evaluation within the Civil Service and confirmed the compliance culture, which prevails in the Civil Service. Being mainly descriptive the chapter has reviewed the wide array of institutional structures which effect monitoring and few evaluation across the Civil Service. The institutional structures reveal that monitoring is being done in line with constitutional mandate such as in Parliamentary, PAC, DOA and in line with financial procurement and human resource policies, It is noted that there is scope for different types of evaluation to be undertaken by several institutions.

This chapter will analyse the forces that favour or hinder the institutionalization of impact evaluation within the Mauritian Civil Service from the perspective of evaluation practice with respect to demand, supply and their interaction.

However, before considering the forces of demand and supply, it is relevant to discuss whether, based on empirical evidence, there is a need and a demand for evaluation. A participant interviewed for this study rightly argued that even if there is a need for evaluation, there may not

necessarily be a demand for the same. For example, is there a demand, who should start off the process and how?

8.2 Demand for Evaluation

Mauritius is a parliamentary democracy which is underpinned by a democratic system of government based on the Westminster model. The Government of Mauritius thus ensures a participatory approach of governance through an established regulatory system which encompasses the private sector, donor agencies and civil society. The performance of the government is open to public scrutiny through the publication of the DOE's and the PAC's annual reports and other reports on the performance of the government. There is a demand for evaluation, albeit it is a latent demand hidden in the Parliamentarians' calls for more efficiency and effectiveness in government projects, especially during the budget Estimates Committee where members of the National Assembly critically scrutinize projects and programmes that have been voted from public funds. Such a demand is reinforced further by the PAC, DOE and MOFED. The existence of a competitive democratic system coupled with a vibrant press and media create additional pressure for evaluation processes to be implemented to throw light on various programmes of government.

Most of the interviewees agreed that, as the government is making use of public funds and taxpayers' money, Parliamentarians, policy-makers including political, administrative and

technical personnel as well as donor agencies, recipients of services and the public at large need to know about the efficiency, effectiveness and efficacy of government programmes. They also need to know whether:

- (i) their programmes have met the objectives set within competing priorities and prerogatives;
- (ii) the allocated resources and budget have been used wisely and effectively;
- (iii) the immediate beneficiaries or the target groups and the public at large have benefitted from the decisions as planned and, if not, why not and how these can be rectified; and
- (iv) the intervention has made any difference and, if yes, by how much.

Demand emerges from informed citizens using the press and private media to demand more accountability and improved services and value for money from policy-makers and public officers. There has recently been an increased demand for citizens' active participation in the formulation, implementation and monitoring of government programmes and projects in Mauritius. The demand for evaluation is also in response to the many cases of corruption involving public officers who have been found guilty of corruption in the performance of their duties. An Independent Commission Against Corruption has recorded 150 cases pending before the Intermediate Court involving 231 parties on 822 counts.¹⁹

¹⁹<http://www.icac.mu/English/Pages/default.aspx>

Last but not least, there is great pressure for accountability being put on government by international donors who wish to demonstrate the results of their assistance so that they can assess their contribution to projects as well as to the achievement of broader targets involving the country's development such as progress in achieving the Millennium Development Goals (MDGs). International donors are therefore already carrying out independent evaluations of the projects they fund. They constitute an important stakeholder in the development of the country and many, such as the World Bank, WHO, AFD, RMCE and the IMF Training Institute, have set up offices and regional training centers in Mauritius.

Such evaluations would first of all help to address the adverse results reported yearly by the DOE and the PAC on the performance of Ministries relating to abuse and misuse of funds, delays in projects, non-conformance to procedures and to established legal and administrative procedures. Secondly, evaluation would help to clarify the factors underlying the problems and would help inform decisions on future courses of action and, thirdly, would help make the use of resources more effective, assist in policy making, promote good governance and promote capacity building in evaluation.

However, some interviewees were convinced that only monitoring can solve these problems. Such barriers to demand results in a lack of awareness and knowledge about what evaluation encompasses and, because of such inadequate exposure to evaluation and its results, the demand is either weak or latent.

Existence of an Institutionalized System for Monitoring

An institutionalized system of monitoring and evaluation reflects the existence of legal and institutional arrangements to produce monitoring information and evaluation findings which are judged valuable by stakeholders and are used as an integral part of development policies to improve planning, budgeting and policy making.

The Mauritian government has already brought about significant financial reforms in the Civil Service to enhance technical efficiency and expenditure prioritization and to improve allocation of resources. Legal and structural measures have been implemented to facilitate the introduction of PBB through the Financial and Audit Act. The PBB has set the foundation for the adoption of a results based performance system where monitoring is done and centralised through regular reporting to MOFED.

The system of monitoring through the PBB has been institutionalized as follows:

- It is centrally driven by MOFED and is an approved programme of government.
- There exists legislation, namely Finance and Audit Acts and strong administrative directives, specified in budget circulars.
- There are well defined procedures and clear guidelines with commonly agreed processes, terminologies and formats for planning and monitoring.
- The monitoring system is integrated in the national budget formulation and planning.

- Training and capacity development has been done with the assistance of international agencies such as the WB and the UNDP.
- Monitoring has been adopted by all institutions in the public sector as part of the budget process.
- Regular data collection is done for financial and non-financial indicators.
- There is strong compliance with the PBB.

In addition to the PBB, there are other systems of monitoring within the public service and in some sectors evaluation is also carried out. There are thus multiple monitoring and evaluation systems in place and evaluation is done in a very fragmented way by different institutions, both within and outside the Civil Service, as summarized in Table 8.1.

Table 8.1: Monitoring and Evaluation Systems in the Civil Service

INSTITUTIONS	TYPE OF EVALUATION	PROVISIONS
Parliament PAC	Oversight functions	Constitution of Mauritius Standing Orders of the National Assembly
PMO through Strategic Unit for projects PRB OPSG	Monitoring of Government Programme Monitoring for review of salaries and conditions of service Monitoring and review of parastatal bodies for good governance	Government Policies Legislation Government policies
National Aids Secretariat	Impact Evaluation	Requirement of Global Fund

INSTITUTIONS	TYPE OF EVALUATION	PROVISIONS
MOFED PBB Project Plan Committee	Monitoring Monitoring of capital and large infrastructural projects exceeding MUR 25 millions	Legislation
DOA	Monitoring for adherence to legal financial provisions	Constitution
CSO	Household surveys	Legislation
MCSA	Performance monitoring of PMS	Government policies
Line Ministries	Monitoring of performance through PBB	Legislation
Assistance from foreign and Universities and research Institutions	Impact Evaluation on specific topics such as tobacco control, Cardio vascular disease	Government policies
Development partners such as the WB, IMF, UNDP, WHO, EU, ILO, UNESCO, UNFPA, FAO, for evaluation of funded and other projects	Regular Economic Reviews of the financial situation by the World Bank Impact evaluation ex ante and ex post of specific funded completed projects Country reviews Rapid Assessments	Country strategy papers, agreements with donor institutions
NESC	Ex ante impact studies as think tanks on youth	Legislation
Research Institutions, NESC University of Mauritius	Rapid assessments on specific topics on demand Evaluation of National Media Campaign for Non-	Government policies Request from WHO in 2006

INSTITUTIONS	TYPE OF EVALUATION	PROVISIONS
	Communicable Diseases	
Peer review mechanisms	Monitoring	Government policies
Regional and international classification of World Indicators	Evaluation based on specific indicators Mo Ibrahim Index World of Doing Business Human Development Index	Government policies and international best practice
Compliance to international norms and conventions such as CEDAW, Rights of the Child; MDG Goals	Monitoring	Government policies, regional and international treaties and agreements

Table 8.1 shows that the majority of programmes and projects are monitored for compliance. Formal evaluation is not carried out to assess their effectiveness in order to get feedback for planning purposes during the budget period, as is the case in the Budget Office of the USA where funds are disbursed upon evidence of effectiveness of programmes based on strategic plans.

It also shows concrete evidence that monitoring, evaluation and impact evaluation are done in some select sectors but these are mainly triggered by external forces. Evaluation is not institutionalized, as it is not done in a very systematic way as part of a programme or policy cycle in many of the programmes reflected in the PBB. If an evaluation is carried out, this is mainly done by donor agencies such as the WB or EU or AFD as part of their accountability

framework and requirements during and after completion of projects, either through their budget support to the Government of Mauritius or through direct funding to state actors.

Evaluation is also triggered through international fora through the assessment of the comparative performance of countries worldwide on specific indicators to promote the sharing and recognition of best practice as well as to promote good governance, accountability and poverty alleviation. These measurement and evaluation tools include the Mo Ibrahim Index, World of Doing Business, Millenium Development Goals, the Human Development Report, African Peer Review Mechanism (APRM) and Global Competiveness Index.

These assessments are based on very specific indicators. Some may have common core objectives but most, except for the MDGs, are geared towards improving the business climate and governance issues. The Mo Ibrahim Index, for example, which focuses on good governance indicators, assesses a country based on four categories, namely, Safety & Rule of Law, Participation & Human Rights, Sustainable Economic Opportunity and Human Development. These are further subdivided into 14 sub-categories and 94 indicators. Indicators other than the ones included in the Mo Ibrahim Index are common, especially ones relating to the roles and responsibilities of the state to ensure that appropriate regulatory systems are in place. A brief overview of the different indicators is given in Table 8.2.

Table 8.2: List of Indicators Adopted Internationally by Different Organizations

	Indicators/Pillars/Objectives					
Mo Ibrahim Index	Safety and Rule of Law	Participation and Human Rights	Sustainable Economic Opportunity	Human Development		
14 sub-categories consisting of 94 indicators	4 subgroups with 23 indicators: Rule of Law (5) Accountability (7) Personal Safety (6) National Security (5)	3 subgroups with 19 indicators: Participation (5) Rights (7) Gender (7)	4 subgroups with 30 indicators: Public Management (11) Business Environment (6) Infrastructure (6) Rural Sector (7)	3 subgroups with 22 indicators: Welfare (9) Education (7) Health (6)		
Human Development Index (HDI)	Life expectancy at birth	Mean years of schooling	Expected years of schooling	Gross national income (GNI) per capita	GNI per capita rank minus HDI rank	Net income HDI
Global Competitive Index	Institutions	Infrastructure	Macro-economic environment	Health and primary education	Higher education and training	Goods market efficiency
World Economic Forum	Labour market efficiency	Financial market development	Technological readiness	Market size	Business sophistication	Innovation
Ease of Doing Business	Making it easy to start a business	Making it easy to deal with construction permits	Making it easy to obtain an electricity connection	Making it easy to register property	Making it easy to get credit	Protecting investors
	Making it easy to pay taxes	Making it easy to trade across	Making it easy to enforce	Making it easy to resolve		

	Indicators/Pillars/Objectives					
		borders	contracts	insolvency		
Millennium Development Goals (8)	Eradicate extreme poverty and hunger.	Achieve universal primary education.	Promote gender equality and empower women.	Reduce child mortality	Improve maternal health.	Combat HIV/AIDS, malaria and other diseases.
	Ensure environmental sustainability	Develop a global partnership for development. Health-related MDGs				
African Peer Review Mechanism	Promote macro-economic policies	Implement sound, transparent and predictable economic policies	Promote sound financial Management	Fight corruption and money laundering	Accelerate regional integration by harmonizing monetary trade and investment policy	

Source: Empirical Research

Mauritius is seen as a model of economic success. The country has ranked first on the Mo Ibrahim Index for the past eight years and is ranked very high by the World Bank on the World of Doing Business. Other international benchmarks show that Mauritius is also doing a good job of attracting foreign direct investment.²⁰ A number of ad-hoc reforms in different sectors are presently being undertaken in Mauritius to improve performance according to key indicators and to make Mauritius more competitive.

²⁰ <http://www.investmauritius.com/why-mauritius/benchmarks.aspx>

In this context, several legal, administrative and operational measures have been taken through the Business Facilitation Act to reduce the red tape and facilitate the processing of applications by foreign investors. Such country classifications have necessitated the setting up of joint consultative panels comprising representatives of government, the private sector and donor agencies to review each and every indicator and propose remedial measures to address any adverse effects which would impact negatively on the overall performance of Mauritius. Such close scrutiny has enabled Mauritius to maintain its good performance (13JEC, 2013).

There is merit in pursuing such laudable initiatives to improve the overall effectiveness of the country and to benchmark best practices while promoting peer learning among participating countries. In the case of Mauritius, the country is being regarded as a role model of a resilient, diversified and responsive economy. Such achievement triggers comparisons with other countries and motivates them to do better.

Mauritius is a high achiever on both a regional and international level as constant progress is being made to improve the effectiveness of the country. Mauritius is regarded as a platform for regional cooperation and a model of success by the World Bank and other renowned institutions. Commendable results have been noted where there is active participation of the private sector backed by donors' expertise with the government acting as a facilitator, as indicated by the world indicators.

Although such worldwide assessment acts as an external driving force to improve performance, it does not reflect domestic country priorities such as combating poverty, decreasing unemployment, ensuring the security of the population or service improvement within the Public Service across the board, particularly with regard to services provided locally.

Picciotto (2005) talks about the policy coherence of aid of rich and poor countries, stating that the MDGs embody universal aspirations (poverty reduction, social development, environmental regeneration) and sum up with great economy the outcomes of numerous international conferences. Income poverty reduction may be critical but so are the other freedoms that constitute human development. Reduced child mortality may be important but so is adult health status. Increased school enrolment matters but it does not guarantee learning. Nor do the MDGs invariably reflect country priorities. Concern has been expressed about their neglect of macroeconomic management issues, private-sector development, and infrastructure development (Picciotto, 2005, p. 316).

Recently, therefore, more emphasis is being placed on monitoring indicators at global level. For example, there is no formal evaluation of the programmes selected out of the 350 programmes listed in the PBB Financial Budget 2013-2014 in order to assess whether the services, the standards set for the services and the expected outcomes have actually been achieved.

Also, no evaluation is carried out to assess whether the quality of services offered to members of the public has been reached, or whether the construction of roads, hospitals and schools is

proceeding as planned. Had evaluation of such works been made mandatory through the budget exercise, the results of such surveys could have been factored into the process in order to improve services. No post evaluation is also ever done to assess whether any progress has been made towards meeting the objectives set in the Government Programme 2012-2015, namely, to ensure that citizens live in a secure environment with access to efficient public services; to ensure that families and diverse communities remain the foundation of society; and to ensure that citizens live in clean, safe and pleasant neighbourhoods (Government Programme, 2012-2015, p. 32)²¹.

The highlighting of problems encountered with services provided by government by representatives of civil society is playing a significant role in generating demand for monitoring and evaluation and this pressure is viewed positively by consumer associations (23 CONASS, 2013).

8.3 Supply for Evaluation

Once there is a demand for evaluation, even a latent one, does Mauritius have the resources to meet the demand? The question arises as to whether there is an adequate supply of resources and capacity to conduct and manage evaluation both within the public service and at a national level. It is important to consider when, how and by whom such evaluation should be done.

²¹http://primeminister.gov.mu/English/Documents/Govt_Prog2012-15.pdf

In developed countries, where evaluation is considered to be a public good (Segerholm, 2003), there is a thriving community of academic institutions and think tanks to carry out evaluations (Langou, and Weyrauch, 2013). The supply side constitutes a thriving social science community and a group of social scientists with the expertise, knowledge and resources to carry out independent evaluations of government.

The existence of Evaluation Associations is proof of a thriving community. Such associations can help create a culture of evaluation by sharing their experience and expertise. They have their own funding and are guided by their own rules, principles and evaluation policies. The proliferation of evaluation associations at national, regional and international levels reflects the growing interest in evaluation and they have the potential to influence the quality of monitoring and evaluation work and assist Governments in strengthening their evaluation systems.

In Mauritius, evaluation capacity is limited within the Civil Service and there is no dedicated monitoring and evaluation unit to carry out evaluation in any of the agencies such as MOFED, PAC, DOE or line Ministries, although the need for evaluation is mentioned in the PBB Manual 2010. The focus is presently on monitoring the output and outcomes of PBB. No evaluation is carried out except for some sparse programme evaluations done by OPSG at the specific requests of Ministries. Evaluation tasks are sometimes outsourced when it is necessary to assess the status of compliance with international treaties, conventions or Memoranda of Understanding to which Mauritius is party, but this is sparingly done. Instances of such outsourcing include the

assessment of the situation on HIV Aids by the Global Fund, the assessment of progress made on tobacco control and assessment of progress made on the attainment of the MDGs.

The interviewees all agreed with the fact that, in Mauritius, external evaluation capacities within academic institutions (5UOM 2013); research institutions (12mrc 2013), Consumer Associations (23CONASS2013) and the general public are limited.

Role of Development Partners and foreign institutions set up in Mauritius

There is heavy reliance on development partners such as WB, EU, UNDP, WHO, AFD which fund several evaluations as part of their accountability mechanisms in addition to providing technical assistance in different fields. They also participate in the decision-making process, as stated by one senior consultant interviewee:

“...We used to have what we call an Annual Business Plan Meeting where we invite all donors and organizations to tell them what we want to achieve and they come and share their experience with us. We have not been able to organize an Annual Business Plan, but we have been meeting the different partners individually” (4MOFED, 2013).

Although such a contribution is commendable, the downside of it is that the evaluation is confined to donor driven projects and no initiative is taken by policy-makers to initiate evaluation of projects of national and sectoral importance.

A number of development partners and regional training institutes have recently set up their offices in Mauritius, including the World Bank, the RMCE and the IMF Training Institute. RMCE is a regional development initiative for training, which was established to serve the

Common Market for Eastern and Southern Africa, the East African Community, the Indian Ocean Commission and the Inter-Governmental Authority for Development and Southern African Development Community.

As such, it is intended to improve Member States' professional capacity for addressing issues of regional economic integration in core areas such as common macroeconomic policy, trade, finance, business development and investment and sector strategies. RMCE promotes peer-to-peer learning through conferences/seminars and exchange programmes²². An outcome evaluation carried out by UNDP refers to RMCE as a vehicle to build capacity.

“...Within the context of the implementation of a regional training programme, the Regional Multidisciplinary Centre of Excellence (RMCE) has been implemented. The setting up of the Regional Multidisciplinary Centre of Excellence (RMCE) is an integral part of the long term strategy to move Mauritius to a service hub for the region. It will also serve as a vehicle for Governments of the region to build capacity in the public sector to allow for more peer-to-peer learning. The RMCE started its operations in 2008. It has so far hosted six regional events. Through the networking among the various development partners” (Tommasi and Hanoomanjee, 2011, p.23).

The IMF Training Institute is another capacity building network in sub-Saharan Africa focusing on key capacity gaps and topics such as the modernization of monetary policy frameworks, financial sector stability and supervision, and general issues of macroeconomic management. There are also increasing opportunities for peer-to-peer learning for officials from the region.²³

²² <http://www.trademarksa.org/news/regional-multidisciplinary-centre-excellence->

²³ <http://www.imf.org/external/np/sec/pr/2014/pr14324.htm>

Role of the Private Sector

The private sector is an important ally for the Government. An interviewee claimed that:

“...In Mauritius, we are very fortunate to have a permanent dialogue with the private sector; they are party to almost all agreements which we sign with all the countries, so, they give their input, even at national level, for example, they are part of many committees. I mentioned earlier that we are working on a process of improving the business environment. They are part and parcel of these committees. There is an inter-ministerial committee including private sector people. So, I mean this is something which we should be proud of and within the APRM which I mentioned earlier they have tasked Mauritius to prepare a paper on how to improve the African Private Sector” (4 MOFED 2013).

Mauritius has been successful in terms of investment and maintaining the economic success of the country as well as in striving to maintain favourable scores in connection with world indicators, as indicated in Table 8.2. This has been possible because of the proximity of the government with the private sector, which has been an important player in the coalition of actors to address problems at local, regional and international levels. Together they have been able to look out for windows of opportunity to maximize revenues for the private sector and create job opportunities.

8.4 Intersection of Demand and Supply

In terms of the intersection of demand and supply, it is the policy process, which provides the context (Langou and Weyrauch, 2013). The policy process provides the space where

intermediaries of demand and supply interact. It also creates a framework with entry points where different types of evaluation of ongoing projects could be carried out and integrated with the policy process in a timely manner. Jones et al. (2009) argue that, to promote uptake of evaluation, it should be regarded as part of a broader monitoring and evaluation system.

Institutionalized systems for evaluation include common knowledge management strategies and capacity strengthening mechanisms, as well as clear funding strategies to offer incentives to help in the uptake of the results of the evaluations. These are reflected in an evaluation policy which clearly defines the concept of evaluation and its role, sets guiding principles and evaluation standards for the conduct of evaluation, defines institutional responsibilities, disclosure and dissemination protocols and sets periodic reviews of policy.

Within the Mauritius Civil Service, there is a strong monitoring compliance culture but demand for evaluation is weak or latent. There is no declaration of intent from policy makers to initiate evaluation as part of a monitoring and evaluation system. This low level of demand reflects a lack of awareness of the benefits, which could be obtained from different types of evaluation carried out during the policy cycle of past, present and future policies, programme and projects.

From the supply side, if institutionalized, the policy process would act as a broker, reconciling the demand and supply of evaluation as well as ensuring that communication is established to ensure that the results of the evaluation are factored into the policy process. In addition to donor

agencies, Government has recourse to external foreign evaluators to carry out specific projects, as was the case with the proposed introduction of light railways in Mauritius.

8.5 Opportunities Favouring the Institutionalization of Impact Evaluation

Availability of a database through the CSO, MOFED and line Ministries

The existence of a centralized Department of Statistics, which is based on best international practice and which has won recognition by the IMF, together with the statistics units at MOFED and line ministries such as Health, Education and Social Security, is a depository of first hand and secondary data. The CSO already has the competency to collect vital statistics and carry out industrial, demographic, health and household surveys.

However, although the CSO is an important depository of data in the Civil Service, it lacks the resources to analyse and consolidate the data for decision-making purposes, thus linking the results of the surveys with the services provided, that is, linking government action with the issues identified on the ground. There is little evidence that line ministries are using their data and the data supplied by other Ministries on common issues such as poverty alleviation, and health and environmental issues for collective decision making. Furthermore, Ministries operate in isolation within their respective mandates and do not communicate with one another on measures such as evaluation practices.

Integration of Information Technology into Evaluation Practice

Mauritius is recognized as a regional e-government leader. In 2012, Mauritius was ranked 93rd with the E-Government Development Index (EGDI) with a score of 0.5066 comprised of equal ratings on online services, telecommunication infrastructure and human capital. In 2014, Mauritius moved from 93rd place to 76th on the ranking chart and ranked 2nd in Africa and 1st in the Africa-Sub Saharan region in the E-Government Survey of 2014 (United Nations Report, 2014).

In its E-Government Strategy 2013–2017, which focuses on empowering citizens, collaborating with business and promoting a networked government, the Ministry of Information and Communication Technology (MCIT) integrated monitoring and evaluation to develop and establish an e-government measurement framework.

“...With the implementation of the E-Government Strategy, there is a need to monitor the take up of e-services and citizen satisfaction. These measurements will make possible improvements in public delivery of services thus ensuring that citizen expectations are being appropriately addressed” (E-Government Strategy, 2013, p. IX).

Some 73 e-services are provided to the public and they are easily accessible through the web portal²⁴ of Government. Furthermore, an e-budgeting system will be introduced to relieve the heavy burden of manual monitoring of PBB and to enhance performance tracking.

²⁴<https://www.gov.mu/english/E-Services/Pages/default.aspx>

8.6 Challenges of Institutionalization of Impact Evaluation

Overall vision of the Government: One of the elements, which drive evaluation at national level, is based on the need to assess national plans. In the 1970s, there was a Ministry of Planning and Economic Development and Regional Co-operation (MEPD) in Mauritius which was responsible for the development of the long term planning of the country. The National Long Term Perspective Study was one of the documents drawn up to guide such planning. It set out:

“...to chart a development strategy for Mauritius for the next 25 years based on an assessment of the country’s economic performance since 1970 and the prospects and challenges lying ahead. It is an attempt to have a critical look at development scenarios for the country and to shape a vision of Mauritius towards the year 2020” (Ramgoolam, 1997; Vision, 2020).

However, following a reshuffle in 2006, the functions of the MEPD were merged with those of MOFED. One interviewee reflected that:

“...Previously there was a Ministry of Economic Planning which made plan for the whole government across ministries. It collected data and defined economic trends and analysis and produced several development plans which served as a planning tool for government” (31SCMNEDC, 2014).

In conjunction with the introduction of PBB in 2006, some attempts were made to develop a National Plan, for example, the proposed National Economic Social Transformation Plan (ESTP) 2013-2022, which aimed to set a national vision for the country and formulate national long-term plans and outcomes within the budgeting process. Such a plan would have integrated the economic, social and environmental vision for sustainable, economic and equitable development

of the country. Such long-term planning has the benefit of ensuring the coherence of strategies across government thus transforming Mauritius into a high-income country while providing and improving services to the population in a most equitable way. Had the Plan been drawn up and implementation started, it would have been possible to evaluate a few selected priorities at national level to inform policy.

However, the ESTP remains at the discussion stage. The absence of a national plan of action based on priorities and strategic choice prevents the adoption of a national list of government priority outcomes, as is done in South Africa by the Department of Monitoring and Evaluation in 2010. This Department was partly set up in response to a political need to improve the delivery of services, but also as a result of the extensive exposure of technocrats and political leaders to international practices (World Bank, 2012).

Meanwhile, Ministries have been requested to develop their strategic plans. To date, very few ministries have completed their plans. Hence, the national and sectoral priorities are still being drawn up based on policies derived from the electoral manifesto, policies and programmes, which are reflected in the Budget and other sectoral policies, which are set by respective ministries in response to their mandate.

Hence, each Ministry sets out its priorities and develops its own plans, such as the Health Sector Strategy 2013-2017 that sets down the roadmap for consolidating health services. MOFED aims

to position Mauritius as a high income economy and a regional knowledge hub. Other Ministries aim at making Mauritius a tourism hub, education hub and a gateway to Africa for trade.

A government initiative to formulate a national vision which integrates measures to tackle the burning issues affecting Mauritius, such as an ageing population, the national spread of diabetes and cancer among the population, climate change and food security within the context of a high-income country would have triggered the demand for evaluation.

Organizational Systems: The development of the Civil Service in Mauritius has been incremental. The Civil Service has undergone significant changes to respond to the developmental needs of the country. Public officers are guided by formal rules and regulations, which govern the Civil Service. Significant reforms, which are centrally driven to improve the financial management system and quality of services offered in sectors such as health and education, have been implemented to improve the efficiency and effectiveness of the country at different levels of development.

The promotion of a performance management culture in the Civil Service has been driven mainly by the financial reforms carried out by MOFED with the introduction of PBB. MCSA is responsible for the introduction of a new performance management system (PMS) to appraise public officers. The system is meant to be aligned with the PBB and linked with the government's overall national strategic plan. Other sectoral reforms were carried out by line

ministries in response to the needs of their targeted populations. The culture is, however, mainly one of compliance.

Such initiative has been complemented by MCSA through the introduction of a performance management system to assess performance of public officers. However, the PMS is being implemented in isolation from both strategic national and sectoral plans and the PBB. Attempts to link performance to rewards and sanctions, as reflected in the PMS, have met strong resistance from the unions. In addition, at present PMS is not applicable to top and senior management. The public officers' accountability in relation to the implementation of the programmes and policies of their respective Ministries is not properly mapped out. Hence, the link between organizational performance and PBB objectives to individual performance is not clearly established as called for by the strategy which envisaged that performance be aligned with the PBB and ultimately with the overall objectives of the vision of the government.

Evaluation Use: Evaluation is mainly triggered by development partners who carry out ex-ante evaluation, mid-term reviews, impact evaluation, or ex-post evaluation at the different stages of projects carried out by donor agencies. These recommendations are factored into the policy reviews by the ministries concerned. Such follow-up is an accountability requirement of funding agencies to enable progress on to the next project phase. The users of such information are primarily MOFED, Parliament, PAC, PMO, DOE and other key users such as accounting officers and development partners.

However, MOFED and line ministries are informed of the recommendations resulting from monitoring exercises only during the budget preparation phase. Once this is done, regular feedback is given to MOFED on financial and non-financial performance indicators relating to all services provided by government institutions according to the annual budget estimates.

Furthermore, Mauritius benefits from regular Systematic Country Diagnostic economic reviews carried out by the World Bank ²⁵ and Article IV Consultation of Mauritius relating to various sectors and the Country Reports undertaken by the IMF. These reports provide an important input to policy-making.

However, there is no mechanism set up to track the dissemination of reports and to monitor how findings are used and reflected in policy documents or strategy papers. There is also no feedback system to ensure that learning takes place and recommendations of evaluations have been factored in the design phase of future programmes to prevent mistakes from being repeated.

Analysis of the Policy Process: Institutional and Legal Setting: The analysis of the policy process has helped to partly uncover the “Black Box” and has identified several factors, both indigenous and external, which impact the decision making process at different points in time. The policy process is based on the institutional framework which regulates the public service in Mauritius.

²⁵<http://search.worldbank.org/all?qterm=Mauritius>

The Constitution of Mauritius is the supreme law of the land and it defines the roles and statutory responsibilities of the constitutional posts of the Prime Minister and his Ministers, the DOA and Permanent Secretaries who are Accounting Officers as far as their reporting responsibilities are concerned. Table 8.1 sums up the different types of performance monitoring carried out by different ministries and departments. The policy process also reveals the different stages a policy goes through and the many actors who influence the process at different points in time.

These constitutional mandates focus mostly on the monitoring aspects with respect to PBB and fail to integrate evaluation as a mandatory prerequisite before, during and after policies, programmes and projects are initiated. In most countries where evaluation has been institutionalized, a legal amendment has been brought to enforce such initiatives. The existence of legislation is a prerequisite to the institutionalization of evaluation (World Bank, 2009).

Demand for such evaluation would stem from parliamentarians, Ministers of PAC and the DOE, and policy-makers, both political and administrative. Those implementing the projects, donor agencies, as well as the beneficiaries of the services, would benefit from such evaluation. The purpose and type of evaluation would determine the evaluation methodology to be used. Within the context of the Mauritian Public Service, evaluation would complement the existing budget monitoring and other systems in place. It would most likely be outsourced in the absence of qualified staff to carry in-house evaluation and in order to maintain independence of evaluation.

In order to develop evaluation as a national strategy, Parliamentarians and policy-makers need to buy into the process and understand how evaluation results can assist in the decision-making process.

“...Members of the Parliament have not been provided any training at all although parliamentarians require training, or at least awareness seminars, to better scrutinize the PBB and other performance documents produced by Government” (Hanoomanjee, 2011, p20).

However, evaluation is a relatively new field in the Civil Service in Mauritius and there are only a handful of officers who have already been exposed to the benefits of evaluation, specifically officers working at MOFED who, as analysts with an economic background and a long standing relationship with donor agencies such as the World Bank, the EU and the UNDP have developed some fundamental principles, both theoretical and practical.

Champions: Many countries which have successfully implemented evaluation had evaluation champions to drive the process. Evaluation champions, however, need to have authority so that they can rally forces across the public service. In the case of Mauritius, PMO support is mandated.

Some of the tasks identified for champions include:

- Identify policy as an output with identified targets in terms of quality and timeliness.
- Strengthen central policy analysis institutions across Ministries/Departments.

- Improve a climate of policy debate and consultation process through a participatory approach with private sector, NGOs, academic institutions and service providers.
- Improve skills for public policy development through benchmarking, application of analytical tools and the use of quality indicators to monitor policy output.
- Communicate policy through media to create and maintain informed citizens who can bring their perspectives to bear on a policy issue as taxpayers, consumer or users of government services and as members of a community.

MOFED is already championing the PBB and it was very challenging for the whole Civil Service to shift from the traditional line item budgeting to the PBB and introduce performance indicators for each programme. MOFED is thus well placed to bring about a cultural shift towards the institutionalization of impact evaluation.

In line with its mandate to formulate inter-alia economic development policies, to ensure the financial soundness of government's economic policy and for the proper control of revenue and expenditure, MOFED monitors the effective formulation, implementation and monitoring of the PBB for both financial and the non-financial indicators.

Institutionalization of evaluation cannot be a one-off technical exercise driven solely by MOFED. Nor can it be linked to the budget process as a mechanistic exercise to comply with

the directives of MOFED. If there is no ownership and if it is not driven by central government as a broad reform initiative, public officers will not comply with the process.

However, there is already some overlapping in monitoring of government programmes. The Strategic Policy Unit of the PMO monitors some government projects. The Project Plan Committee monitors large projects exceeding MUR 25 million, thus duplicating efforts as these projects are also monitored by MOFED as they appear in the National Budget. OPSG also conducts programme evaluation on request in addition to evaluations carried out by line ministries through donor agencies and other institutions. Hence an overall strategy of evaluation reforms institutions should be undertaken in a holistic manner.

Many waves of reforms have been undertaken in the Mauritius Civil Service to increase the competitiveness of the country, enhance the role of the public service as the executive arm of government to be more result-oriented and customer driven with particular emphasis on accountability, good governance, transparency and ethics. Reforms have also been undertaken to respond to the global challenges raised by financial crises, climate change, food security and poverty.

The adoption of New Public Management in the 1980s brought in a series of financial, administrative and sectoral reforms across the public service. One of the common themes, which permeates throughout all reform initiatives adopted by public services worldwide, is the focus inter-alia on the effectiveness of programmes.

Comprehensive financial reforms have been effected to institutionalise PBB but not much attention has been given to promoting capacity building in evaluation to create a skilled workforce that is conversant with evaluation and evaluation techniques.

Administrative reforms spearheaded by the MCSA²⁶ have been undertaken on an incremental basis to improve the quality of services across all ministries and departments in the Civil Service. Since 2000, around 30 organizations have introduced ISO standards to standardize systems and procedures and develop a quality system. However, no evaluation has been carried out so far to assess the effectiveness of these standards. The line ministries have also brought in reforms pertaining to their sectors, be it health, education or social services. However, only a few reviews have been undertaken so far.

Repository of data: MOFED centrally maintains a database of financial and non-financial indicators and has also established baseline data which would facilitate impact evaluation either during implementation or after the completion of projects. However, empirical evidence reveals that there is not much commitment to implement evaluation and impact evaluation from either policy-makers or senior public officers although there is a consensus on the need to carry out evaluation to minimise adverse reports from the DOA and PAC.

The National Statistics Office already undertakes sophisticated surveys and has the potential to modernise statistical policy for the production and dissemination of official statistics at local,

²⁶ <http://civilservice.gov.mu/English/Pages/default.aspx>

regional and international levels. Hence, the data can assist in the supply of primary and baseline data for evaluation purposes.

Institutional Mechanism: Institutional mechanisms do exist where evaluation can be developed. Firstly, at MOFED, where there is already a pool of qualified analysts well versed in econometrics and cost benefit analysis who can be trained to carry out evaluation and who are also trained to develop terms of reference for evaluation in cases of outsourcing.

In addition, MOFED has the Central Statistics Office under its aegis, which collects data nationwide and carries out household and other surveys. It thus has baseline data and secondary data which can be factored into evaluation and dissemination. Secondly, evaluation systems can be integrated within the monitoring systems of OPSG, or the Strategic Unit of the Prime Minister's Office. Thirdly, some line ministries such as Health, Women and Social Security, have their own statistics sections and, through their networking with foreign institutions, can carry out joint evaluations for specific projects. Evaluation will thus result in improved service delivery as it can provide regular feedback on planned and actual performance or with regard to compliance with commitments. Assessing performance standards and indicators set for PBB, such as waiting time for surgeries under health programmes through performance Service Delivery Surveys (SDS), can eventually provide a useful check on the supply side of service delivery.

Linkages between PBB and PMS

PBB and PMS should be linked to reinforce accountability at all levels, from national to individual levels, thus cascading national plans from policy formulation to implementation and evaluation to individual levels, as noted below:

“...Government has been implementing a PMS since 2005. PMS aims at providing a standardized and integrated framework to guide performance management at both organizational and individual levels. PBB and PMS are complementary. They are not directly linked, but linking the performance of individuals to the PBB would need to translate the objectives and expected outputs and outcomes identified in the PBB to the level of operational units, for example, through activity or business plans” (Tommasi and Hanoomanjee, 2011 p.23).

“...It is still unclear how the PMS and PBB may be coordinated and how the concepts used in the PMS, such as “key results areas” and “tasks” relate to the PBB. PMS and PBB have been developed in parallel and their implementation has not been closely coordinated. In addition for the moment, PMS has focused on the performance of individuals while PBB deal mainly with programmes. The managerial chain from the programme manager to the staff member is not yet covered by performance reporting and management tools” (Tommasi & Hanoomanjee, 2011 p.26).

Coordination among Ministries: Government departments operate in isolation, each having its own mandate or portfolio. Establishing a cross-ministerial leadership group to promote performance and results-based monitoring and evaluation is a pre-requirement. A Minister or the Prime Minister could lead a team to guide the process, to provide policy guidelines for evaluation work and encourage pilot evaluation activities in individual ministries and to develop a plan for expansion of evaluation activities.

Evaluation Culture: At present, there is a strong monitoring culture in the public service but the evaluation culture is still new. An interviewee argued that, with respect to the degree to which the evaluation culture is permeating the public service:

“...it is getting more and more because the fact that we introduced the PBB, it was one step towards monitoring and evaluation. So the commitments seem to be here for introducing it” (9EU, 2013).

In the view of another interviewee who has worked extensively both in Mauritius and abroad:

“...We do have an evaluation culture but it is not in a very formal manner probably, but we all know that it is there; it is not on paper and there is not a white paper or a clear policy on evaluation culture” (4MOFED, 2013).

An evaluation culture cannot be implemented overnight. Rist (1999) argues that there are nine elements, which need to be taken into account in legal and institutional reforms, including an adequate demand and supply of evaluation practice and the existence of evaluation associations which can help to develop a conducive environment for evaluation to be understood and developed. Mauritius does not fulfil the nine indicators as highlighted at Figure 2.2 determining the maturity of a country in terms of evaluation (Furubo et al., 2000).

Development of a National Evaluation Policy: An evaluation policy sets the minimum standards and establishes mechanisms for major evaluations as well as harmonizes roles, responsibilities and the relationships with public institutions involved in monitoring and evaluation development of national evaluation policies. Incentives should be created to reward people involved in evaluation, such as provision of dedicated funding for evaluation, provision

of additional staff as well as the facilitation of attendance at conferences and workshops. Relevant legislation needs to be enforced to ensure a successful evaluation.

Countries such as the United Kingdom, USA, Sri Lanka, South Africa and Chile, which have institutionalized evaluation, have developed national evaluation policies to establish the typology, principles and standards for evaluation. Such policies promote the correct understanding of evaluation and help create an evaluation culture within Government. It is recommended that, together with the formulation of a National Plan of Action, the government of Mauritius develops a National Evaluation Policy with the following objectives based on best international practice:

- to enhance or promote accountability, transparency and good governance;
- to promote the practice of evaluation by providing the necessary human and institutional capacities, tools and methodologies;
- to contribute to the design of development strategies, policies, programmes and projects through effective integration of evaluation findings into the strategy and policy formulation, reforms, planning and budgeting processes; and
- to develop reporting mechanisms for evaluation findings to foster public use.

Capacity Development for Evaluation: In order to develop evaluation as a national strategy, Parliamentarians and policy-makers need to buy into the process and understand the purposes and benefits of evaluation.

“...Members of Parliament have not been provided any training at all although parliamentarians require training, or at least awareness

seminars, to better scrutinize the PBB and other performance documents produced by Government” (Hanoomanjee, 2011, p20).

However, evaluation is a relatively new field in the Civil Service in Mauritius and there are only a handful of officers who have already been exposed to the benefits of evaluation and who have worked with donor agencies such as the World Bank, the EU and the UNDP, and have thus developed some fundamental principles, both theoretical and hands-on experience in evaluation.

There is the need to reinforce capacity building as a priority in order to generate broad ownership of government efforts for at least five main stakeholders groups and develop an effective capacity building strategy (Segone, 2010). The main groups are:

- Those who will commission, fund and disseminate findings;
- Evaluation practitioners who design, implement and analyse evaluation; and
- Evaluation users and government ministries and groups who will be affected by the programmes being evaluated.

Targeted training should include formal award courses in monitoring and evaluation which could be run by UOM and other training institutes that can meet government capacity building needs. Peer-to-peer learning and training on best practice on monitoring and evaluation can be accessed through regional and international expertise through RMCE and the ATI.

Availability of Resources in terms of Technical Expertise and Funding: Institutionalizing evaluation calls for investment in capacity building, that is, in engaging a pool of technicians who are well versed in the different types of evaluation techniques and who are able to carry out evaluations, understand and work out the terms of reference for the outsourcing of evaluation and make effective use of evaluation results.

The national budget does not provide specific funding for evaluation in the public sector. Each Ministry is granted a budget ceiling to spend on the programmes and projects falling under its mandate and it is up to the Ministry to allocate funds and determine its priorities.

Donor support in terms of technical expertise is more than necessary to sustain the shift from monitoring compliance to results-based monitoring and evaluation with training and technical assistance drawn on country experience. Donors are already carrying out evaluation in line with their donor-support strategies. Hence, their expertise could be utilized as a resource.

In the absence of in-house capacity to carry out internal evaluation, evaluation can be outsourced. The collaboration of academic and research institutions such as UOM, NESAC, MIH and MRC, as well as international organizations well versed in evaluation, can be enlisted to carry out both capacity building for public officers and evaluation exercises.

8.7 Conclusion

The institutionalization of evaluation is very complex and is embedded in a particular context created by the historical, political and organizational structure and culture of a country and its power relations. It also depends on the stage of development of a country. This chapter has highlighted a series of opportunities as well as constraints, which influence the institutionalization of evaluation in Mauritius civil service. Constraints on demand and supply call for an integrated approach involving the public sector, the private sector and civil society as well as research institutions within a framework of transparency, interaction among stakeholders and good governance. Above all, evaluation cannot be taken as an isolated technical exercise. It should be carried out within an enabling framework based on results-based management, which is reflected in an organization's systems and processes.

CHAPTER NINE: CONCLUSIONS

9.1 Introduction

This thesis sets out to explore the opportunities and challenges encountered when institutionalizing impact evaluation using the Mauritian Civil Services as a case study, and undertook an empirical study to add to the knowledge of evaluation and Impact evaluation, which is ill-defined and poorly documented in developing countries (Bamberger 2009). Farchamps and Zeitlin (2012) also conceded that Evaluation and Impact Evaluation were limited to governments and policymakers in Sub-Saharan Africa, due to issues associated with both time factors and the geographical research focus of the first wave of experimental studies. This research has achieved its aims and objectives (see Section 1.2 of chapter 1), and has developed a conceptual framework (Section 3.6, Chapter 4) derived from literature review based predominantly on western literature, as a basis for conducting empirical research. The empirical results were presented in chapters six, seven and eight together with discussions and analysis of the results.

This concluding chapter is organized into seven sections. Following the introduction, Section 9.2 reviews the definition of Impact Evaluation and the process of developing the conceptual framework. Section 9.3 presents a summary of the main findings in relation to the Research Questions. Section 9.4 presents the thesis' contribution to knowledge; herein, the study's contribution to literature, theory, methodology and practical application are all discussed.

Section 9.5 presents the benefits of the study, Section 9.6 discusses the study's limitations and Section 9.7 proposes areas for future research.

9.2 Definition of Impact Evaluation used and the process of developing the conceptual framework

The literature review in chapters two and three referenced many types of evaluation, which can be used at different points within a policy cycle. Of these, Bamberger (2009, p.134) observes that although Impact Evaluation is the most frequently discussed type of program evaluation; it is only one of many forms of evaluation that can provide information to policymakers, planners, and managers at different stages of a project or program cycle. Thus, different kinds of program evaluations can be commissioned at various stages; i.e. during project planning, while a project is being implemented, at the time of project completion, or after the project has been operating for some time.

Although many impacts cannot be fully assessed until after an intervention has been operating for several years, planners and policymakers usually cannot wait three or five years before receiving feedback. Consequently, frequently impact evaluations are combined with formative or process evaluations designed to deliver preliminary findings while a project is in the implementation phase, and to assess whether a programme is on track and likely to achieve its intended outcomes and impacts (Bamberger 2009, p.134).

In view of the policy perspective adopted in this research, which focused on exploring whether evaluation can be used as a policy instrument through its institutionalization or not, the definition of impact evaluation assumed a wider dimension and has been immersed within the broader monitoring and evaluation framework. Figure 3.5 in chapter three depicts an integrated conceptual framework based on the literature review, grouping all the factors that influence institutionalization of evaluation from the perspective of the policy process, and providing interactions between demand and supply and the factors affecting both. A three-pronged approach was also adopted to investigate the factors influencing policy making and policy change in the Mauritian Civil Service.

Firstly, the practice of policy making, as a component of the policy process, was examined to understand how policies are formulated, implemented and evaluated using the Rist model of policy cycle and using the Advocacy Coalition Framework to determine the factors influencing policy-making. Additionally, the need for evaluation, and type of evaluation required was assessed at each stage of the policy cycle, based on factors including performance and information requirements.

Secondly, the budgeting process was analyzed, as it is the major vehicle in many countries in terms of providing performance related information at different entry points. A series of tools are used in the budget cycle such as cost benefit analysis, project planning, rapid reviews, spending

reviews and sparingly impact evaluation reports from donor agencies which are reportedly factored in policy reviews.

Thirdly, demand and supply factors were assessed as necessary conditions for the institutionalization of Impact Evaluation in the Civil Service. The policy making process provides the context to explain the interaction between both demand and supply as an aspect of evaluation (Langou and Weyrauch 2013).

The analytical framework (see Figure 3.5) was derived from the literature review conducted and reported in chapters two and three. The review pertained to the evaluation and policy making process and how forces of demand and supply influence the institutionalization of Impact Evaluation. Yin (2009) argues that conceptualizing considered phenomena in this way enables a researcher to elaborate on the main concepts and interrelationships present, as well as setting the boundaries of the empirical research. In this particular context, the main concepts were established as evaluation, impact evaluation, and the policy making process itself (Bamberger 2009; White 2010; Gaarder and Briceno 2010).

9.3 Revisiting the Research Questions

This section summarizes the major findings of the thesis by revisiting the research questions.

Research Question 1: How important is evaluation perceived to be to the policy making process within the Mauritian Civil Service?

The study raises important issues regarding the importance of policy evaluation to promote accountability, ensure effective use of resources within a framework of good governance. In fact evaluation assesses policy effectiveness and efficiency during and after implementation. It seeks to measure outcomes and impacts in order to assess whether the anticipated benefits have been realized. Monitoring is also an important element as it seeks to check progress against planned targets and ensuring that resources are optimally used and outputs are successfully delivered and milestones met.

The empirical research carried out reveals that political set up, administrative systems, traditions and historical factors support a strong monitoring compliance culture in the Mauritian Civil Service and there is reliance on donors to carry out systematic reviews or impact evaluation in line with their requirements but evaluation is not systematic.

Most of those interviewed are convinced of the merit of the monitoring system which has proved itself over the years. The compliance culture is very high compared to an evaluation culture based on the nine indicators as highlighted in figure 2.2. Mauritius has the required legal and institutional framework and is leading in the region. However capacity building and political will are important criteria to institutionalize evaluation.

As highlighted in the literature review, institutionalization of Impact Evaluation calls for evaluation which is led by central government or a major institution, for instance the ministry of Finance and economic development in the case of Mauritius. Moreover, buying from

stakeholders from government, the private sector and academic institutions is relatively weak although there is a latent demand for institutionalized evaluation following the yearly adverse reports of the director of Audit and the Public Accounts Committee.

Research Question 2: What part does ‘impact evaluation’ play in practice within the Mauritian Civil Service?

The literature review provides evidence of the many facets and types of evaluation employed in a variety of contexts by administration in several countries. Impact Evaluation is just one of the many types of evaluation employed to ask questions about the cause and effects of policies, programs, and projects. Rigorous statistical methods are used to address counterfactuals, attribution, and contribution of any particular policy program or project and such methods made it the difficult to conduct Impact Evaluation in real settings using vigorous statistical analysis. Hence funding and expertise are required to carrying out selected Impact Evaluation. Bamberger argued that impact evaluation is not an isolated activity but should be embedded within the broader monitoring and evaluation.

In Mauritius impact evaluation is mostly done by donor agencies when they complete their projects or on an ad-hoc basis and the feedback is factored in the report for follow-up by agencies concerned. Sectoral Impact Evaluation is also carried out by Ministries in collaboration with international and academic agencies like in the Health Sector.

But Impact Evaluation which can be ex-anté or ex-post is not integrated within the policy cycle. Continuous monitoring is done through target sets and milestones achieved within agreed funding.

Research Question 3. What opportunities and challenges present themselves when seeking to institutionalize impact evaluation within the Civil Service in Mauritius?

Mauritius is presently at a cross road Already a performing country aiming to become a high income country and is ranked first on the international scene in many sectors like the Mo Ibrahim Index on good governance , Global Competitiveness Index , Democracy Index and on Ease of Doing Business. The maintenance of such indicators or attempts to upgrade the score has been made possible because of the close collaboration which exists between Government and private sector which monitor constantly the evolution of such indicators to maintain or upgrade them or to take timely remedial action as appropriate. These indicators are critical and are of national importance to the country in terms of investment to boost up the economy, or take new initiatives for job creation.

Mauritius has well established legal and institutional structures backed by the Constitution. The permanency of the Civil Service is there with a very good national statistical system which can provide baseline data and well-established monitoring systems coupled with a highly sophisticated system of Monitoring of budget in all Ministries. The Ministry of Finance and

Economic Development is the driving force and can act as the champion to lead the evaluation movement.

The policy elites are well educated and the work force can easily adapt to a new performance-based system provided they have the right mix of incentives. One major window of opportunity is that there are many international Agencies set up in Mauritius and are ready to assist government to carry out evaluation as a policy initiative which will be integrated both within the policy and budget cycles.

There are a few challenges though. Political will heavily influence by the historical context. Since Mauritius abolished slavery in 1935 and obtained independence in 1968, there have been great strides to improve the performance of Mauritius both on the local scene and on the external front. Mauritius, being a welfare state has been bent on improving the welfare of its citizens. Further, the constitutional mandate of a political party being five years , there is not enough time to implement all policies, programs and projects during such a short span of time and it becomes difficult to carry out evaluation especially impact evaluation to assess policies programmes and projects.

Notwithstanding these elements, there is a felt need to institutionalize evaluation for greater accountability to respond to queries of parliamentarians and external criticisms from the press and the media, and informed members of the public as well as representations from trade unions and also to meet the expectations of citizens.

There is the demand, although a latent one, to improve the way services are being delivered and the interoperability of services which cut across ministries .Further there is merit to institutionalize evaluation to address the numerous shortcomings highlighted by the PAC and the DOE in addition to media claims. Evaluation systems need to be customized to fit the context of the civil service and can take various forms either on a sectoral basis or the whole of government approach.

In order to respond to demand, the supply side, capacity building is crucial and need to be reinforced. Research has shown that evaluation is primarily a political activity (Weiss, 1980; Balloch, 2005) and political will, to a great extent, influences the adoption of evaluation as a tool for policy-making within a country. Commitment to transparency and good governance is also a highly political issue. Institutional factors also constitute a challenge, such as of inter-ministerial cooperation, diverse and competing priorities, and poor coordination between different but inter-related policy areas, and there may slow progress towards the adoption of evaluation initiatives.

Mauritius is well poised to integrate evaluation into budget formulation and development planning. The scene is set with a strong monitoring culture coupled with sectoral evaluation carried out by donors as well as other foreign academic institutions for sectoral evaluations to improve government performance. There is a demand though a latent one for evaluation as evidenced by the testimonials of the respondents. Mauritius can opt for one of the three pathways for the evolution of institutionalized evaluation system namely through adhoc studies ,

or evaluation in particular sectors or through a bigger picture to capture the whole of government as highlighted in Figure 2.3. However, for this to happen a long term strategic national plan similar to the long term Strategic Plan Vision 2030 drawn by the former Ministry of Economic Planning and Development should be developed to identify strategic sectors of reforms at national level.

In addition to the national plan, the establishment of an Evaluation Policy is crucial to provide a framework under which to implement evaluations of programs, projects, and activities to be carried out and funded by Governments. Such policies would also provide clarity about the aim of evaluation, which is to promote accountability and a learning environment and the policy will set out requirements for evaluation, the types of evaluations possible, and approaches to be adapted for conducting, disseminating, and using evaluations.

In most countries where evaluation is prevalent, Evaluation Associations comprising different target groups of public, private, academic institutions and other policy elites are constituted to reinforce the supply side to carry out evaluations independently. Strengthening the supply of a crucial mass of resource persons and academic institutions to carry out high quality impact evaluation is a pre-requisite to respond to demand for evaluation.

In addition with respect to data, the contribution of all statistic sections of Ministries and primarily the collaboration of Central Statistic Office need to be enlisted to construct baseline data for program implementation and evaluation. Finally, increase in the client focus to promote

data use and to encourage widespread dissemination of information within governments and to non-state actors and members of civil society would be helpful.

Support from donors can trigger a shift towards emphasizing results-based monitoring and evaluation with training and technical assistance drawing on in-country experience in universities and think tanks with substantial experience.

9.4 The Contribution to Knowledge of this Research

Applicability of the Advocacy Coalition Framework to a Small Island Developing State:

The Advocacy Coalition Framework (ACF) has been used by many developed countries, such as Switzerland and France, to study the policy making process and associate policy change. The application of the ACF to analyze the factors impacting on the policy-making process of a Small Island Developing State model like Mauritius is a landmark, in the application of such a framework.

This is the first time that the ACF Framework has been applied to the policy making processes of a Small Island Developing State. This helped in the identification of several coalitions, which proved crucial for underpinning policy options. Such an application will also contribute to the body of literature regarding ACF as to how coalition's framework coalesced to influence policy among different communities.

In fact, pioneer countries used evaluation as a control mechanism to cut back the role of the state and to control excess social capital expenditures. Later on evaluation has become a critical tool to ensure accountability good governance and effective use of resource. In addition to the indigenous and exogenous factors already inbuilt in the framework, the specificity of Mauritius based on its history with its diverse population brings another dimensions to the analysis.

Mauritius, with its history of colonization has through successive governments, ensure fairness and equity in the distribution of services. Hence, instead of having recourse to evaluation especially impact evaluation based on rigorous scientific methods, alternative modes of control has been adopted, for instances the APRM is a subtle complement to existing constitutional and other monitoring mechanism to ensure effective use of resources within a framework of transparency and good governance. Hence the political economy of a country is a major component in policy-making for Small Island Developing States.

Contribution to Literature: This is the first time that a study has been carried out at doctorate level to analyse the public policy process to unlock the “black box” of policy-making of a Small Island Developing State. This will add to the body of literature of policy-making with marked differences taking the context into account.

Contribution to Theory: Theoretically the study contributes to the application of a Coalition Framework to the policy making process of developing countries and small island developing states. It also furthers understanding of the mechanisms for the demand and supply of evaluation practices in a developing country.

Contribution to Methodology: Through the adoption of a case study approach, this research enabled the researcher to explore the underlying social and political context within which the monitoring and evaluation processes operate. Gaining access to sites and interviewing public officers in view of the Oath of Secrecy Act has not been easy, and would have been impossible had the researcher not been a Public Officer of long standing practice. Like Mauritius, there are many countries with Commonwealth and other Small Island Developing States which have evolved through similar historical, economic and social conditions.

Methodologically, this study also offered an insight into the policy making processes of a developing country. While developing countries are not homogeneous (Wallace 1980), the dearth of studies in reference to Sub Saharan African Countries in general and Mauritius in particular makes this one significant. Specifically, it contributes by explaining how to advance the policy making process in developing countries based on empirical data collected in the Mauritian context. Mauritius is already recognized as being at the forefront in terms of economic success, and other African countries are already bench-marking best practices based in Mauritius.

Practical Application: On a personal note, as the Permanent Secretary in charge of a ministry, the researcher will be able to influence policy making and to initiate proceedings as well as promoting capacity building to favour evaluation in selected contexts. The researcher can as well share her experience to the setting up of an Evaluation Association in Mauritius as she is already member of the American Evaluation Association since 2005.

9.5 Benefits of the Study

The outcome of the study is manifold, and will help Developing Countries and Small Island Developing States to understand the importance and impact of evaluation practices. The findings will constitute important data to guide politicians, policy makers and other bureaucrats to make informed decisions, so that they can better serve their citizens and adopt rational approaches to evidence-based decision making. It will also help to build capacity to provide public officers with the necessary knowledge, skills and aptitudes to conduct systematic evaluations throughout policy life cycles.

The study findings themselves are important, because they illustrate the possible transfer to African countries like Mauritius of the vast body of literature on evaluation programs which has been amassed in Western developed democracies over the previous two decades. It will, first and foremost, add to the body of knowledge in terms of evaluation of policies and programs and

contribute to scientific knowledge to improving government programs and will make a difference when evaluation practices are integrated into Public Sector Reforms.

9.6 Limitations of the Study

The survey was carried out focusing on the core Civil Service only (the core policy making body), so the findings cannot be generalized to other public organizations. Not all of the 25 Ministries and 40 Departments which comprise the core Civil Service were surveyed. Due to time constraint and resources, the survey was not extended to the entire Public Sector, which comprises State owned Enterprises, and Local Government. However, the aim of the study was not to provide statistical generalizations, but rather to provide an in depth understanding of the status and application of evaluation practices within the Mauritian Civil Service which is the apex of public policy making.

9.7 Areas for Future Research

As mentioned in the preceding section, this study was conducted targeting Mauritian Civil Service Ministries and Departments and stratified sampling provided the basis for sampling interview participants. Based on the research findings it would benefit each Ministry, especially sectorial ones, which have a direct impact on specific target groups in the health, education and

youth sectors, as well as those befitting from social services, to make an assessment of their readiness to undertake evaluation, the type of which would depend on the objectives of the evaluation. Development partners and Staff from the Ministry of Finance could assist. Similarly, other evaluations can be carried out by the private sector and the Local authorities

Further, comparative studies could be carried out with other developing countries to explore their policy making processes and the state of evaluation in Government Departments to share experience and knowledge.

Participation Information Sheet

Note of Introduction

I am Mrs. R. Y. Moorghen, a part-time Doctoral candidate at the University of Birmingham, UK researching on the theme “**Institutionalizing Impact Evaluation: Opportunities And Challenges In The Mauritian Civil Service**”. I presently hold the post of Deputy Permanent Secretary at the Ministry of Health & Quality of Life, Mauritius. As a Public officer, I have signed the Official Secrets’ Act for Public Officers and remain committed in respect of restraint of disclosure of confidential information. Further, I stand guided by the Code of Ethics for Public Officers in Mauritius and the Human Resource Management Manual in addition to the rules and Regulations of the University of Birmingham. Hence you may rest assured that every piece of information that will be shared during the interview will be kept confidential and anonymous unless you agree to disclose.

Before you decide whether or not to take part, it is important for you to understand why the research is being done and what it will involve.

Purpose of the study

This study examines the process of policy-making and how impact evaluation can be institutionalized in a Small Island Developing States like Mauritius. The study will also assess the status of Impact evaluation and the factors which enable or constrain the institutionalization of such evaluation using the Civil Service of Mauritius as a case study.

The research specifically attempts to explore how policy evaluation and impact evaluation in particular fits within the policy process of Public Sector institutions. This is achieved by studying how evaluation is carried out during the policy cycle at the formulation, implementation and evaluation stage. The Research Questions are as follows

1. How important is evaluation perceived to be to the policy-making process within the Mauritian Civil Service?
2. What part does ‘impact evaluation’ play in practice within the Mauritian Civil Service?
3. What opportunities and challenges present themselves in seeking to institutionalize impact evaluation within the Civil Service in Mauritius?

Why have I been invited to participate?

You have been invited because you have an important contribution in the value chain process of policy-making in the Civil Service of the Government of Mauritius: either as a policy- maker, or you are involved in policy implementation and /or policy monitoring and policy evaluation or you

provide resources including technical expertise and funding at different points in time when policies, projects, programs are being elaborated.

Do I have to take part?

You do not have to take part in the study if you do not wish to. However, If you do decide to take part, you are requested to record your acceptance to participate on the consent form, but you are still free to withdraw at any point in time and without giving a reason. The interview should take between 45 to 60 minutes to complete. The interview is focused on how policies are made and evaluated and what are the factors which enable or constrain the adoption of impact evaluation in the Public Service of Mauritius. Your answers will be tape recorded and stored according to the prevailing instructions of the University of Birmingham but you may opt not to be recorded if you so wish.

Confidentiality

The information provided will be stored and reported on anonymously, so that it cannot be traced back to you. Whatever you say during the interview will be used exclusively for the study and for nothing else.

Interviews

You do not need to provide your name if you wish to remain anonymous for this study. The information can be stored anonymously and I can report on the information without reference to you or your organization. However, if you are happy for me to report on the information with reference to your role in the organization, please give me your permission.

Who is organising and funding the research?

The research is self-funded and it is completely independent of the UK Government.

Contact for further Information

I will be glad to provide any further clarification on the study or the conditions of your participation. I can be reached by email [redacted] or from Supervisors Professor John Raine [redacted] or Dr. Fiona Nunan [redacted]

I wish to seize this opportunity to thank you for your support in this endeavor.

(R.Y. Moorghen) Mrs
22 August 2013

Check List of issues to guide interviews

1. **Policy making – factors affecting policy making**
Difference between monitoring and evaluation
 - 1.1 **Internal and external factors which influence the Policy-Making Process at different stages of the policy cycle**
 - How does an issue come on the Agenda?
 - Who are the stakeholders involved within Government for policy-making?
 - Social, economic, institutional, legal and other factors/principles which enable or constrain policy-making within the Civil Service?
 - Any challenges which constrain an issue from being adopted by Government?
 - External factors which influence policy-making? Outside the Civil Service?
 - Any other organizations or other factors which influence policy-making at national level? At international level?

2. **Evaluation at the initial stage of policy-making**
 - Is there any evaluation done at the initial stage? If yes, what type of evaluation is done and by whom?
 - Is cost the overriding principle to decide on an intervention?
 - What is the role of the national Budget office at this point?
 - Do Donor Agencies have a role in policy-making?
 - Are there any other stakeholders involved in policy-making?
 - How are the results of the evaluation used to inform policy decision?
 - Instances where action has been taken in the light of the findings of an evaluation? Are there instances where the results of an evaluation has resulted in the replication of a program or otherwise?
 - To what extent are the procedures adopted for a national policy different from a sectoral policy such as Health, Education or Social Services? Is there any evidence?

3. **Evaluation at the implementation stage**
 - Once a policy is approved, the next stage is that of implementation. Who are involved in the implementation of a policy, program or project?
 - How are policies evaluated at this stage? And by whom? Does the Budget Office have any say in the monitoring or evaluation? If yes, how is this done?
 - Is evaluation done internally or externally and by whom? How are the results used?

- 4. Evaluation carried out at the completion of a program, policy or project**
- Is policy evaluation a regular feature in government services. If yes how is it carried out and by whom?
 - If evaluation is done at this stage, is the evaluation done in house? By whom or which Unit?
 - What is the role of funded agencies in the monitoring or evaluation of donor-driven projects?
 - Is there any particular experience of a policy, program or project which has been evaluated and the results have been used to review or extend or terminate the program?
- 5. Impact Evaluation at the end of the policy cycle (say 5 years after completion of project or, implementation of policy or program)**
- To what extent is Impact evaluation carried out to assess completed projects or interventions? Is Impact Evaluation integrated within the existing M&E System in the Civil Service?
 - Is there –
 - (i) any dedicated Unit to carry out evaluation of projects?
 - (ii) any Unit to compile Statistics? IF yes how is it staffed and funded?
 - Are there any other institutions within and outside the Civil Service which carry out such evaluation to assess the outcome of the project or program against set objectives and funding earmarked?
 - Is there a legal framework in the Civil Service in Mauritius to evaluate Government Programs?
 - Is there any Organization/Ministry which has a unit which carries out research pertaining to any specific sector?
 - To what extent is impact evaluation being carried out in Mauritian Civil Service at National Level? At the level of a Ministry?
 - Is there a demand for Impact Evaluation? From whom? If in the affirmative, who are the persons, organizations capable of carrying out an Impact Evaluation?
 - To what extent is the Civil Service ready for the adoption of such policy? Does the Civil Service have the expertise, political will to do it?
 - Do you have a statistic Section at National Level?
 - How are policies, programs and projects with common set objectives, say Millennium Development Goals, which cut across Ministries evaluated? And by whom?
 - Is Information Technology a helpful instrument in Evaluation? How far is it being used for evaluation?

6. Evaluation Culture

An evaluation policy defines the evaluation's role and responsibilities; evaluation positioning in the institutional structure; promotes use and dissemination of results; provides feedback and management response system; establishes processes for clearing evaluation reports and provides funding and promotes capacity building and a learning environment.

- Does the Mauritian Civil Service have an Evaluation Policy? If yes, is it encapsulated in any piece of legislation and can thus be enforced?
- Does the Civil service has an evaluation culture? How is it translated?
- Is there a Central Evaluation Unit in the Mauritius Civil Service to conduct, manage evaluations; and provide support to decentralized evaluations Units? Please elaborate.
- If the answer is positive, is it based in a central Ministry? Sectoral Ministry / or an Independent Unit?
- How is it structured? How many evaluations are carried out on a yearly or quarterly basis?
- Is there a budget earmarked for the Unit? How are the results of the evaluation used?
- What types of projects are evaluated? Does the Unit get the assistance of donor agencies?
- To what extent is use made of evaluation results? Any examples when evaluation has been carried either at national or sectoral levels?
- How are the results communicated to relevant stakeholders?
- Are there any instances where the results of an evaluation have resulted in a change or review of policies?
- On the supply side of evaluation, do private institutions and academic institutions have the capacity to carry out evaluation?

7. Evaluation as part of Public Sector Reforms

- Any Public Sector reforms which have been undertaken so far? What were the objectives of the reform programme?
- Is there a demand for Evaluation? If this is the case, should Evaluation be integrated as a big bang or an incremental basis in the Public Service? Please elaborate.

8. Role of Donor Agencies in the evaluation of Government programs

- Are Donor Agencies involved in the policy- making process of Government? If yes, how and at what stage of the policy cycle? How is harmonization done among different donors for government programs?
- How are funds disbursed?
- At what stage is monitoring of funded projects or program done?

- Are there any evaluation and impact evaluation done at various stages of the life cycle of the program and project? If Yes, how are these carried out? Is it by government officers or private firms of donor staff?

9. Role of Academic institutions/ Research Institutions /Private consultants

- Are Academic institutions/ Research Institutions /Private Consultants involved in the policy- making process of Government? If yes, how and at what stage of the policy cycle?
- Is there a need for evaluation of Government programs? Is there a tradition of evaluation or evaluation culture in Government Ministries and Departments? If yes, what are the factors which have contributed to set up such a culture of evaluation in the Civil Service?
- Have academic institution/ organization ever been called to carry out an evaluation of any project or program? If yes when and how and how have the results been implemented?
- Are there any training programs being carried out on evaluation and evaluation techniques to build up capacity in evaluation?

10. Role of Trade Union Members

- Do Trade Union Members have a say in policy decisions government officers, is there a need to evaluate programs and projects of Governments?
- If yes, should it be done internally or should it be contracted out?
- Does evaluation fit within the reform strategies carried out so far in the Civil Service?
- Do you feel that the Performance Management System should be linked with the performance of officers?
- What are the incentives that can be envisaged to promote the adoption of evaluation in the Civil Service? Do you think that the Government has the resources and budget to carry out or contract out evaluations?

11. Role of Consumers' Associations in Mauritius

- Do Consumers' Associations carry out evaluation of policies, projects and programmes of the Government? If yes, why and at what frequency?
- Is there the capacity to carry out evaluation by the Government / the private sector/ academic institutions and others?
- How will these evaluations help the citizens?
- Do the citizens have voice to express their response to services provided?

LIST OF INTERVIEWEES

S.N	Codification	Organization	Recorded/Not Recorded
1.	1MOFED,2013	Ministry of Finance & Economic Development	Recorded
2.	2PMO,2013	Prime Minister's Office	Recorded
3.	3MOFED,2013	Ministry of Finance & Economic Development	Recorded
4.	4MOFED,2013	Ministry of Finance & Economic Development	Recorded
5.	5UOM,2013	University of Mauritius	Recorded
6.	6AUDIT,2013	National Audit Office	Recorded
7.	7UNDP,2013	United Nations Development Program Office	Recorded
8.	8SOCSEC,2013	Ministry of Social Security and Reform Institutions	Recorded
9.	9EU,2013	European Union	Recorded
10.	10PRB,2013	Pay Research Bureau	Not Recorded
11.	11MCSA,2013	Ministry of Civil Service & Administrative Reform	Recorded
12.	12MRC,2013	Mauritius Research Council	Recorded
13.	13JEC,2013	Joint Economic Council	Recorded
14.	14PMO,2013	Prime Minister's Office	Recorded
15.	15STAT,2013	National Statistics Bureau	Recorded
16.	16ENV,2013	Ministry of Environment	Recorded
17.	17PAC,2013	Public Accounts Committee	Recorded
18.	18WB,2013	World Bank	Recorded
19.	19NAO,2013	National Audit Office	Recorded
20.	20MOHNQL,2013	Ministry of Health & Quality of Life	Recorded
21.	21FOAFFS,2013	Ministry of Foreign Affairs & Regional Integration	Recorded
22.	22FEDPS,2013	Federation of Public Service Unions	Recorded
23.	23CONASS,2013	Consumer Associations	Recorded
24.	24WB,2013	World Bank, Mauritius	Recorded
25.	25AFD,2013	Agence Francaise de Developpement, Mauritius	Recorded
26.	26MOHNQL,2013	Ministry of Health & Quality of Life	Recorded
27.	27MOHNQL,2013	Ministry of Health & Quality of Life	Recorded
28.	28EXMOFED,2013	Ministry of Finance & Economic Development	Recorded
29.	29NENSS,2013	National Economic of Social Services,	Recorded
30.	30WHOM,2013	World Health Organization Mauritius	Not Recorded
31.	31SCMNEDC,2014	Consultant and Former Minister of Land ,	Recorded

Statement of Informed Consent

I confirm that I have read and understood the participant information leaflet for this study. I have had the opportunity to ask questions if necessary and have had these answered satisfactorily.

I understand that my participation is voluntary and that I am free to withdraw at any time without giving any reason. If I withdraw my data will be removed from the study and will be destroyed.

I understand that my personal data will be processed for the purposes detailed above, in accordance with the Data Protection Act 1998 of the University of Birmingham, UK.

Based upon the above, I agree to take part in this study.

Name of participant Dr./Mr./Mrs./Ms.....

Post occupied.....

Name of Organization

Signature..... Date.....

Name of Researcher: Mrs. R .Y Moorghen

Signature..... Date

A copy of the signed and dated consent form and the participant information leaflet should be given to the participant and retained by the researcher to be kept securely on file.

THE CIVIL SERVICE OF MAURITIUS

1. Office of the President
2. Office of the Vice-President
3. The Judiciary
4. National Assembly
5. National Audit Office
6. Public and Disciplined Forces Service Commissions
7. Ombudsman's Office
8. Electoral Boundaries Commission and Electoral Supervisory
9. Electoral Commissioner's Office
10. Employment Relations Tribunal
11. Equal Opportunities Tribunal
12. Local Government Service Commission
13. Ombudsperson for Children's Office
14. Office of the Director of Public Prosecutions
15. Prime Minister's Office
 - Office of the Public Sector Governance
 - Government Information Service
 - Forensic Science Laboratory
 - Civil Status Division
 - External Communications - Civil Aviation Services
 - Rodrigues Division
 - Mauritius Police Force
 - Government Printing Department
 - Meteorological Services
 - Mauritius Prisons Service
16. Deputy Prime Minister's Office, Ministry of Energy and Public Utilities
17. Vice-Prime Minister's Office, Ministry of Finance and Economic Development
 - Assessment Review Committee
 - Financial Operations Cadre
 - Internal Control Cadre
 - Procurement Policy Office
 - Procurement and Supply Cadre
 - Central Procurement Board
 - Treasury
 - Statistics Mauritius
 - Valuation Department
 - Companies Division
 - Registrar-General's Department

18. Vice-Prime Minister's Office, Ministry of Public Infrastructure, National Development Unit, Land Transport and Shipping
 - Public Infrastructure Division
 - National Development Unit
 - Land Transport Division
 - Shipping Division
 - National Transport Authority
19. Ministry of Foreign Affairs, Regional Integration and International Trade
 - Regional Integration and International Trade
20. Ministry of Housing and Lands
21. Ministry of Social Security, National Solidarity and Reform Institutions
22. Ministry of Education and Human Resources
23. Ministry of Agro Industry and Food Security
24. Ministry of Environment and sustainable Development
 - Environment and Land Use Appeal Tribunal
25. Ministry of Tertiary Education, Science, Research and Technology
26. Ministry of Information and Communication Technology
 - Information and Communication Technologies Appeal Tribunal
27. Ministry of Fisheries
28. Ministry of Youth and Sports
29. Ministry of Local Government and Outer Islands
 - Government Fire Services
30. Ministry of Arts and Culture
 - National Archives Department
31. Ministry of Labour, Industrial Relations and Employment
32. Attorney-General's Office
33. Ministry of Tourism and Leisure
34. Ministry of Health and Quality of Life
35. Ministry of Industry, Commerce and Consumer Protection
36. Ministry of Social Integration and Economic Empowerment
37. Ministry of Business, Enterprise and Cooperatives
38. Ministry of Gender Equality, Child Development and Family Welfare
39. Ministry of Civil Service and Administrative Reforms
40. Workmen's Group

Source: PRB Report 2013 PART I - Civil Service Mauritius

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