# Assessing Change: Investigating Evaluation Practices in Applied Theatre.

by

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## Abstract

This study investigates the problematic nature of assessing and evaluating change brought about by applied theatre programmes. Many applied theatre programmes, projects and practitioners lay claim to successful behaviour change and effective social transformation as programme, project or performance outcomes. These claims are subject to scepticism as often such proclamations are made without rigorous and valid assessment and evaluation methodologies and practices. Practitioners frequently lament the lack of appropriate measurement tools, not only to assess the effectiveness of programmes, but also to improve programmes and report to funders.

The study focused on three research questions, namely: a) Why the need for assessment and what constitutes change; b) Why are current assessment methods successful or unsuccessful; c) What is needed from a measurement tool? A literature study and an empirical study have been conducted in order to answer the three set questions.

The literature study firstly examines why the need for assessment and evaluation exists. Secondly, it investigates change; how it can be defined and how it works. The assessment and evaluation practises of various social science fields are discussed and comparisons drawn to applied theatre in order to investigate whether these theories, methodologies and techniques can be used in the applied theatre field. Lastly, assessment and evaluation methodologies and techniques within the applied theatre field are explored and the effectiveness of each method is discussed as a conclusion to the literature study.

The empirical study takes the form of an online survey and interviews and the questions set in the survey directly correlate with the three research questions. The results of the empirical study support the findings of the literary study. Practitioners mostly agree that programmes should be evaluated and assessed, but the factors of a lack of knowledge and skills with regards to evaluation practices, the complex nature of applied theatre programmes, the challenge of measuring human behaviour and the difficulty of attributing change to one influence combine to create the feeling of overwhelming helplessness amongst practitioners. Theories on change have been extensively researched, but most applied theatre practitioners are not familiar various change theories. This oversight becomes more troublesome when it is considered that most evaluation and assessment methodologies are based on a specific change theory.

In light of what change and sustained change imply, a shift needs to be made away from instigating change to encouraging efficacy. Evaluation methodology should be tailor-made for each programme and no one-size-fits-all evaluation method is possible. Suitable evaluation methodology exists, but practitioners require skills and knowledge to use different components and techniques creatively to suit the specific purposes of their programmes/projects. In conclusion I suggest an evaluation toolkit

as possible solution to the above mentioned problems, which encompasses the facilitation of knowledge and skills, whilst empowering facilitators to design and implement an appropriate evaluation method that accurately measures the effectiveness of their applied theatre programmes.

## Abstrak

Hierdie studie ondersoek die problematiek rondom die meting van verandering wat deur toegepaste teater programme te wee gebring word. Gedragsverandering word as resultaat deur menigte toegepaste teater programme, projekte en praktisyns aangevoer. Sulke stellings word dikwels met agterdog bejeën, aangesien dit nie deur deeglike en geldige metings- en evalueringsmetodologie ondersteun word nie. Praktisyns bekla gereeld die gebrek aan toepaslike assesserings- en evaluasiemetodes en -tegnieke, nie net om die effektiwiteit van 'n program te meet nie, maar ook om programme te verbeter en om verslag aan befondsers te doen.

Die studie is op drie navorsingsvrae gesentreerd, naamlik a) Waarom is assessering nodig en wat behels verandering; b) Waarom huidige metodes slaag of faal; en c) Wat praktisyns benodig van 'n metingsinstrument. 'n Bronnestudie en 'n empiriese ondersoek is onderneem om hierdie drie vrae te beantwoord.

Tydens die bronnestudie word eerstens ondersoek ingestel na waarom dit nodig is om programme en projekte te assesseer en evalueer. Tweedens word ondersoek ingestel na verandering; wat verandering is en hoe verandering werk. Evaluering- en assesseringsmetodes en -tegnieke binne die sosiale wetenskappe word bespreek en vergelykings word getref om te sien of hierdie teorieë, tegnieke en metodes van toepassing kan wees op toegepaste teater programme. Laastens word evaluering- en assesseringsmetodes wat deur toegepaste teaterpraktisyns gebruik word, ondersoek en die effektiwiteit daarvan bespreek.

Die empiriese studie is in die vorm van 'n aanlyn vraelys en onderhoude en die vrae wat hierin gestel is hou verband met die drie navorsingsvrae wat geïdentifiseer is. Die resultate van die empiriese studie ondersteun die bevindinge van die bronnestudie. Praktisyns stem grotendeels saam dat programme en projekte geassesseer en geëvalueer moet word, maar 'n kombinasie van faktore soos 'n gebrek aan kennis en vaardigheid ten opsigte van evalueringspraktyk, die ingewikkelde aard van toegepaste teater programme, die uitdagings om menslike gedragsverandering te meet en die probleem om verandering aan een spesifieke invloed toe te skryf, oorweldig praktisyns en kweek 'n gevoel van magteloosheid. Teorieë oor verandering is wyd nagevors, maar die meeste toegepaste teaterpraktisyns is onbewus van hoe hierdie teorieë werk. Sulke onbewuste nalatigheid skep groter probleme, wanneer in ag geneem word dat die meeste evaluering en assessseringsmetodes op 'n spesifieke teorie van verandering baseer is.

Teen die agtergrond van wat verandering en volhoubare verandering beteken, moet eerder 'n verskuiwing plaasvind vanaf veranderingsuitkomste na 'n aanmoediging van doelmatigheid. Elke program benodig 'n pasgemaakte evaluasie metode, geen universele evaluasiemetode is derhalwe

lewensvatbaar nie. Toepaslike evalueringsmetodiek bestaan, maar kennis en vaardigheid word benodig om kreatief te werk te gaan om verskillende komponente en tegnieke te identifiseer en saam te voeg om by die unieke behoeftes van 'n program te pas. Ter afsluiting word 'n evalueringshulpmiddel voorgestel, wat toespits op die uitbreiding van vaardigheid en kennis en praktisyns bemagtig om 'n effektiewe evalueringsmetode te ontwerp en te implementeer wat by die behoeftes van hul unieke program pas.

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I would like to thank every community, group and school who have given me the honour to work with them through the years. I would also like to thank everyone who was involved with this dissertation in any way. In particular I would like to thank Le Roux, Lien, Schalk and Roux.

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**Chapter 1: Introduction**

**1.1 Background and rationale**

The use of theatre and drama as a means of education, upliftment, information, awareness and transformation, i.e. as a tool for social change, is an international phenomenon with almost universal appeal in countries such as England[1], Australia[2] and the USA[3]. The use of theatre and/or drama practices for specific purposes is commonly referred to as applied theatre and/or applied drama[4].

The declaration that theatre can bring about change is controversial and not shared by everyone. In his overview of the relationship between theatre and society in South Africa, Temple Hauptfleisch (1997: 2) states that he is unconvinced that an individual artist in a conventional play can be "a catalyst for change". However, he agrees that there is a form of theatre which can potentially have such an effect on its audience, and that it "depends on a form of theatrical intervention which derives from notions of drama as a therapeutic tool – social engineering which utilizes theatrical processes as a means of conscientizing a community and/or solving community problems" (1997: 104). Kavanagh (1994: 211) offers a compelling argument that theatre can be (and has been) used "as a medium of education, problem solving, dialogue and mobilisation on development issues such as literacy, health, sanitation [and] agriculture." His book, *Theatre for Development in Zimbabwe. An urban project.* (1994), traces some of such projects in South Africa, as did other prominent theatre practitioners, writers and activists over the years, including Ian Steadman, Peter Larlham, Esther van Ryswyk, Paddy Terry, Lynn Dalrymple, Gay Morris, Barney Simon, and Zakes Mda[5].

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[1] Examples of British Theatre companies using applied theatre: Cardboard Citizens; Jude Theatre Company and Spare Tyre Theatre Company.

[2] Examples of Australian Theatre companies using applied theatre: Class Act Theatre; Homunculus Theatre Company and The Queensland Shakespeare Ensemble.

[3] Examples of American Theatre companies using applied theatre: Presence Troupe; Changing through the Arts and the Applied Theatre Centre.

[4] For the purpose of this study I will use "applied theatre" as an umbrella term. Section 1.5 will explain this choice in more detail.

[5] Please refer to Appendix A for a short oversight of these practitioners, theorists and activists.

Other international academics and practitioners recording applied drama and theatre projects and researching various aspects of the genre include Judith Ackroyd, Michael Balfour, John Sommers, Helen Nicholson, John O'Toole and Tim Prentki[6].

Many South African applied drama and theatre programmes are run by theatre companies and/or non-governmental organisations (NGOs) and are specifically designed to seek to change, transform, empower and educate people and communities in the face of the many social, cultural and economic problems faced by most South Africans. Among them are interventionist drama and theatre programmes such as DramAidE's HIV/AIDS programmes, arepp's self-actualisation programmes, Karos & Kambro's transformation and healing programmes and Flom Community Theatre's healthy eating awareness or Youth Theatre programmes[7]. The intended outcomes of these programmes reflect the myriad socio-economic problems faced by various communities including: poverty, illiteracy, lack of knowledge and/or education as well as disadvantages inherited from the previous political regime. Intended outcomes are often centred on addressing and alleviating, or changing patterns and occurrences of abuse, AIDS, illiteracy, xenophobia, and rape.

Not all applied theatre and drama programmes necessarily aim at measurable outcomes, but they nevertheless usually tend to *claim* to have an impact of some kind or have been designed to have an impact[8]. As an applied theatre practitioner, I have studied, worked and facilitated in the applied theatre field for many years and am mostly concerned with theatre which intervenes in communities in crises as well as with theatre that aims to bring about change in the communities that they are engaged with.

The word "community" is defined by Thomas Summerfelt (2002) in his class notes for "Introduction to Community Psychology" as a "group of two or more individuals who share something in common, but feel different from others in some ways". Kloos, Hill, Thomas, Wandersman, Elias & Dalton (2012: 12) defines 'community' as a group of persons that comes together based on a shared interest(s) or due to a geographic location. In South Africa the term community is somewhat problematic as communities were quite often forcefully created under the Apartheid regime (1948-1994). Existing communities according to race were for instance forcibly removed and resettled and freedom of dwelling was severely restricted for most of the South African population during this

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[6] Please refer to Appendix A for a short oversight of these practitioners, theorists and activists.

[7] All these programmes are discussed in more detail later in this thesis.

[8] The desire of applied theatre projects to attempt to bring change are, according to Finneran and Freebody due to the "fundamental efficacious[ness]" at its core (2016: 1).

period. In post-Apartheid South Africa some communities are created by powerful external socio-economic factors, e.g. poverty or the availability of land which forces individuals to become part of a certain community through necessity and not through choice. Heller (1989: 3) hypothesises three types of communities namely: a geographic community, a relational community and a community as collective power. A geographic community is based on physical boundaries, the relational community is based on social interaction and a community as collective power is where people come together to recognise a similar goal. Millington (2010) goes further and isolates five main types of communities namely: a community of location (place), a community of interest, a community of action, a community of practice and a community of circumstance. A community of location is based on geographical location and a community of interest is a group of people who is interested in the same things. A community of action intends to bring about change, a community of practice is a group of people which practises the same profession or activities and a community of circumstance is where people are bound together due to external instances and/or influences.

Most of my experience of working with communities can be considered as *communities of location* and *communities of circumstance*. The communities of location are groups bound by geographical boundaries and can imply various locales such as where you live, e.g. your neighbourhood; where you work, e.g. your workplace or building; where you go to school, e.g. the school building and where you enjoy leisure activities, e.g. in a gymnasium. Communities of circumstance refer to groups of people who are bound together through outside events or forces: e.g. rape survivors, girls at risk of teenage pregnancy, alcohol rehabilitation or poverty. Theatre programmes that target such communities with the aim to bring about change is labelled interventionist theatre by Summers (2008) and he argues that such a theatre differs from theatre that does not envision participant change as an outcome. I have always been interested in the change interventionist programmes (my own and other practitioners') that aim to bring about and how to measure this change, if any.

Summers (2008: 63) postulates that interventionist theatre is modelled on four basic principles, namely: the shaping of reality through the use of dramatic tools and techniques, that our personal identity and narrative are the product of everything that we have been exposed to, that by fictionally exploring a parallel reality we better comprehend than our own reality and identity and that theatre forcefully creates a safe space in which we can fearlessly explore without having to face reality. He continues by saying that it is the last two factors which are concerned with exploring own and alternative realities and the better comprehension of own identity and narrative, that are concerned with claims of behaviour and attitude change. He adds that a "successful drama experience is implicitly therapeutic" (Summers 2008: 66).

The use of the word "therapeutic" brings us closer to the core question I want to pose in this study. It is a rather vague concept and not necessarily a code word for "change" in theatre. For example, the notion of "cathartic[9]" is a far more venerable (but equally debatable) concept in theatre theory; suggesting that an audience member may feel better or experience a sense of release after watching a performance. This however does not necessarily mean that they have experienced any real longer term behavioural or attitude change. Catharsis might, in fact, hamper the potential for change. Belfiore (2011: 31) refers to this phenomenon as the "psychic distance", explaining that an audience member moved by a character's onstage plight, might be completely indifferent to actual people in the reality of day-to-day life. A theatre performance can thus potentially "constrain change by diverting attention and action away from reality and towards the world of the imagination" (Belfiore, 2011: 31). Bullough (1912: 89) classifies this as the "inhibitory effect" of the arts as it cuts out "the practical side of things and of our practical attitude to them".

The notion of "implicitly therapeutic" thus poses something of an ethical conundrum in this context, for it questions the core interventionist philosophy implicit in most so-called "applied" drama and theatre programmes. In fact, the efficacy of the use of theatre to bring about transformation or change is not universally accepted (as mentioned briefly at the beginning of this section). Belfiore explores the belief in the inherent power of creative arts to change in great length in her 2011 article "The 'transformative' power of the arts". She extrapolates that, of the three schools of thoughts regarding the impacts of the arts, i.e. positive, negative and no effect at all, the notion of the positive impact of the arts on its audience is the most prevalent in Western culture (Belfiore 2011: 29). Arguments against the actual transformational powers thereof are however also found in abundance.

Mohan (2002: 1) quotes a Theatre of the Oppressed participant, Biswaranjan Pramanik, as saying that "Theatre is not enough" and Thornton (2012: 3) states in her article on art and transformation that "[c]laims for the transformative power of the arts are common, yet complex and contested". Belfiore (2011: 34) concludes that the impact of arts is often the result of what we believe of "arts' positive transformative powers" and not rooted in evidence or results. Prentki (2006: 85) argues that "there is still considerable debate about whether the drama process can ever constitute a social intervention in itself, rather than the means by which a particular group's consciousness might be raised about the

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[9] Cathartic is described as "providing psychological relief through the open expression of strong emotions" (Online Oxford Dictionary: 2013).

need for an intervention". The focus in this case therefore arguably shifts to the raising of awareness, rather than bringing about change as such.

Mbowa (in Dinesh, 2005: 41) raises a seemingly different issue when she says that the problem with using theatre as a tool for transformation and change is that "rehearsing for reality is a great way to begin sustaining that reality is the next challenge". She therefore questions the sustainability (or permanence) of the perceived changes that may be observed. More bluntly, Balfour (2009: 5) dismisses the widely claimed transformative power of theatre (as described by practitioners who narrate many success stories) as part of a "donor agenda" that requires practitioners working to bring about transformation in the bid to seek funding. He quotes Neelands (2004: 47), who calls such stories "hero narratives". Radically, Balfour (2009: 6) even suggests that there should be no connection between theatre and change.

Despite the foregoing arguments, I do believe that there is a compelling argument to be made for the transformative power of some theatre or drama interventions, even if only in certain circumstances and under very specific conditions. There appears to be sufficient discord and difference of opinion to warrant further study of the issue of transformation and impact, and more specifically about our ability to assess the impact and results of such processes.

## 1.2 The problem statement

What the arguments discussed in section 1.1 suggest is that merely *stating* that a theatre/drama programme has been designed to have, or has had an impact, is possibly not enough to confirm (or *prove*) that it has (or *has had*) an impact and/or wrought some form of change on a specific individual, community or society. A key question in all such interventionist/educational programmes would be: has the programme made an impact, i.e. did any change, improvement and/or learning taken place? And a corollary to this would be: how does one *assess* the success of such a programme?

A clear implication to be drawn from the above is therefore that, in planning and executing a theatre or drama programme to bring about change, empowerment, learning and/or transformation, the question of evaluating the impact of it is, and surely should be, a crucial issue. Unfortunately, this is not always the case, nor is it a simple matter, for the assessment of change or transformation in human life is difficult under any circumstances and is often resisted by the practitioners themselves as well.

Theatre is a complex form of human interaction, involving many processes, individual traits, as well as human skills and faculties. In addition, *individual* change forms part of a bigger set of *social/communal* shifts and responses to transformative actions and interventions. Change can generally be contributed to several things that happened, or are happening to the participant(s), and it is difficult to "prove" that theatre is the main or only catalyst for a perceived change or transformation in either the individual or the larger community.

In addition, the kind of theatre/drama we are considering here often tends to seek to achieve multiple goals at the same time (for example to entertain, to inform, to transform and to educate).  Some forms, e.g. an informative or educational theatre piece with a single, identifiable and testable outcome, is perhaps more easily assessed than a form of theatrical activity that aims to bring about change by being intrusive, interactive, and aimed at changing the behaviours of those that participate and seeks to enlighten, empower, shock and/or provoke.

In the face of this complexity, many applied theatre practitioners – in the absence of a more appropriate, specifically developed tool – tend to rely on existing psycho-sociological evaluative procedures such as questionnaires, interviews or group discussions; methods which usually only succeed in gathering opinions and at best testing understanding. The importance of an appropriate, empiric, custom made measurement tool is highlighted by Catley, Burns, Abebe and Suji (2008: 7) when they argue that "[t]he ability to define and measure humanitarian impact is essential to providing operational agencies with the tools to systematically evaluate the relative efficacy of various types of interventions".

However, besides their minimal appropriateness, there are also a few dangers inherent in simply co-opting measurement tools from the broader field of the social sciences and arts. For instance, practitioners often fall into what Lenni, Skuse, Tacchi and Wilmore (2008: 6) term a prove/improve dichotomy. Practitioners want to prove the impact of their programme and at the same time do research to improve the programme. They argue that this dichotomy is derived from a requirement to set predetermined objectives and indicators for a project, as well as of having to comply with various reporting systems that are biased towards *proving* the efficacy of the methods and procedures rather than *improving* them (Lenni, Skuse, Tacchi & Wilmore 2008:6).

In the face of the conflicting demands, many uncertainties and doubts about, and biases against, the notion of evaluation and measurement in the field, it is hardly surprising that few real efforts have been made to address these issues and to seek some solution (or solutions) for the conundrum.

## 1.3 Aims of the study and research questions

It is the aim of this study to explore the difficulties and/or problems centred on change assessment in the applied theatre field. This broad investigation constitutes examining what is implied by assessment and evaluation; what is change; what the assessment, evaluation and development of a programme intent on fashioning change entails; how change and programme outcomes are evaluated and assessed in other fields with interventionist aims; why it is necessary to assess or evaluate applied theatre programmes and/or performances; how applied theatre practitioners claim change in terms of outcomes, as well as how these are assessed and what a measurement tool for applied theatre should/could look like.

Considering the above, three overarching research questions have been identified:

a)  Why the need for assessment and what constitutes change?
b)  Why are current assessment methods successful or unsuccessful?
c)  What is needed from a measurement tool?

The second and third question will not only entail gathering data on assessment methods used, but also evaluating assessment tools. As I conducted research on current evaluation methodologies used, evaluated assessment techniques, tools and theories, and completed a needs assessment of South African stakeholders, it became clear that the three central questions (proposed above) cannot be answered in simplistic terms. Numerous actions, theories and methodologies on change, assessment, impact and behaviour, practitioner intention, programme design and outcome, theatrical conventions and community all form part of applied theatre. These cannot be divorced from assessment and the effectiveness of assessment methodology, and will, as such be explored and discussed in this study. As a final recommendation I will also propose guidelines to develop a possible measurement tool based on the information and research gathered during the study.

## 1.4 Research design and methodology

### 1.4.1 Research Methodology

Qualitative research is concerned with the gathering of information or data which cannot be defined, measured or represented in any mathematical terms, i.e. information transcribed as numbers, as would be the case with quantitative research methods. The website of the University of Missouri-St. Louis defines the main difference between the methods as "to gain insight" (qualitative) versus "to test"

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(quantitative) (UMSL: 2016). As this study aims to gather both statistical and descriptive data to analyse through narrative means as well as to gain insight into the meaning of the data captured, it can be described as a mixed method approach.

A mixed method approach is a research study that "involves collecting and analysing both forms of data in a single study" (Cresswell, 2003: 15). This approach has many positive attributes, e.g. that they each fulfil the shortfalls of the other and that they cancel out bias. Cresswell (2012: 22) affirms that the mixed method approach provides for a better understanding of the research problem. He further identifies three types of mixed method research namely: sequential procedures, concurrent procedures and transformative procedures. Sequential procedures are an attempt to clarify or expand findings of one method by using the other method. Concurrent procedures combine quantitative and qualitative data to analyse the research problem in a complete and inclusive manner. Transformative procedures use a theoretical viewpoint to analyse both quantitative and qualitative data (Cresswell, 2003: 16).  I will use both concurrent and transformative procedures in this study.

Part of the research undertaken for the study will be quantitative, i.e. data able to be presented in numerical form, e.g. statistics. Cresswell (2012: 13-14) states that a literature review is an important part of a quantitative research study as it aids the researcher to identify trends, relationships and variables that will steer the study hypothesis. Mouton (2008: 179) argues that, with a literature review, texts are analysed to understand a "specific domain of scholarship." The strengths of this method include an "understanding of the issues and debates" of the specific field the researcher is working in, plus a knowledge of "current theoretical thinking and definition as well as previous studies and their results" (Mouton, 2008: 180). The limitation of this method is that it does not generate any new data or authenticate existing hypotheses. Mouton (2008: 180) concludes that any theories generated by a literature review still need to be tested via an empirical study.

The literature review of this study is contained in Section I and will cover the problem with change, assessment and measurement methodologies in the field of applied theatre and in the social sciences. It will investigate what evaluation, assessment and measurement entail and how to do it. Change theory and change assessment literature will also be explored. The conclusions drawn from the literature review will aid with answering the research questions as well as contribute to the suggested measurement tool.

Quantitative researchers mainly use experiments or surveys to gather information. Hammond and Wellington (2013: 138), postulate that the "point of a survey is to find out 'how many' feel, think or

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behave in a particular way, and surveys provide the general picture relatively quickly and easily". They further offer that a survey can determine "the frequency of certain behaviour and knowledge", "levels of agreement" and "awareness of events", but that surveys can also be used for "exploratory purposed and hypothesis testing, as well as descriptive reporting" (Hammond & Wellington, 2013: 138). I will use a survey in the form of a questionnaire to do a needs assessment of stakeholders. The survey will offer respondents the opportunity to respond to both closed[10] and open-ended[11] questions to collect both quantitative and qualitative data.

The strengths of using survey methodology according to Mouton (2008: 153), is that it has a "high construct validity" and "high measurement reliability". Weaknesses include "questionnaire error, high refusal rates, high non-response, data capturing error" and "lack of depth" (Mouton, 2008: 153). Goddard and Melville (2007: 47), conclude that it is "easy to compile a questionnaire: it is not easy to compile an effective one". They continue by proposing a good questionnaire should be able to harvest all the information you require: is not time-consuming, does not waste time, only contains pertinent questions, has questions that are non-ambiguous and easy to understand, the instructions are clear, allows the respondent to answer without the researcher leading him/her to the "correct" answer, has general questions in the beginning and puts potential complex and penetrating questions at the end (Goddard & Melville, 2007:48). Although the potential high non-response and high refusal rates worry me, it is essential that a questionnaire is part of my study to, amongst other things, do a needs assessment of stakeholders. The data collected will be used in both descriptive and statistical ways in the hope that the objectivity of the quantitative research results will build on and contribute to the subjectivity of the qualitative research results.

Remenyi and Money (2012: 75) debate the objectivity of the qualitative researcher, stating that it is impossible for the researcher to remain objective as the aim is to provide an "in-depth understanding of the world of the research subjects". The subjectivity of the researcher is compulsory to decoding and interpreting the data. Qualitative research considers the subjectivity of the researcher and this is

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[10] Closed or close-ended questions are questions that can be answered by a single word, e.g. yes or no, or by a short sentence. David Straker (2016) states that close-ended questions generate facts and are controlled by the researcher. These questions lend itself more to collecting data for quantitative research.

[11] Open or open-ended questions are questions which allow the respondent to give a longer more descriptive answer in which they can offer opinions or suggestions as well as reflect on their feelings towards a certain subject. Open-ended questions lend itself more to qualitative research. David Straker (2016) proposes that the power lies with the respondent when answering open-ended questions as respondents are tasked with thinking and reflecting as well as relay opinions and feelings.

also the biggest failing of this research method as the researcher's subjectivity and own experience can cloud judgement and lead the researcher to the wrong conclusions. As I have actively worked for more than ten years in the field of applied theatre, I will draw on my personal experience to analyse and make sense of the information gathered. I will also use own experiences to illustrate statements. This intimate relationship between the researcher and research subject lends itself to an inductive approach[12].

The nature of this study echoes the nature of the subject matter in that the design of the research methodology (as with the design of applied theatre programmes, evaluations and assessments) needs to be, amongst other characteristics, "flexible and data-driven"; characteristics that Hammersley (2013: 12) ascribe to a qualitative research methodology. Hammersley further defines qualitative research as a methodology that is literal instead of numerical and which stresses the creation of meaning, clarification and narrative instead of testing hypotheses (2013:12), whilst analysing gathered data via narrative and not numerical means (2013:15). In this context all three research questions can be researched and answered, as I would need to develop and derive accurate descriptions, explanations and conclusions from both oral and written interviews and case-studies. I would also be analysing the gathered data through verbal and not statistical methods. Qualitative research's flexibility, the ability to change as a study progresses, is a characteristic that proved necessary for this study, e.g. when I had to assess and change the way I gathered information via questionnaires.

According to Cresswell (2007:20) qualitative researchers are usually influenced by one of the following four paradigms, namely *post-positivism*: a logical scientific research approach to research concerned with cause and effect and which prizes empirical evidence collection, *social constructivism*: a model which aims to create meaning of the researcher's inhabited world through the experiences of research participants, *advocacy/participatory*: a research model with "change" as goal and *pragmatism*: a combination of two or more of the afore mentioned archetypes.  This study will adhere to pragmatic qualitative research as I did not subscribe to a specific qualitative concept

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[12] In opposition to the *inductive approach* is the *deductive approach.* As described by Goddard and Melville (2007: 32), the deductive researcher derives at a "new logical truth from existing facts". They use the following example to illustrate the difference between the two approaches. An inductive researcher will look at 500 tomatoes, note every single one is red in colour and can thus be induced that all tomatoes are red. The deductive researcher will look at the following two true facts: "all stars contain hydrogen" and "the sun is a star" and can then deduce that the "sun contains hydrogen". The deducted outcomes are always true given that the original facts are true, whilst inducted outcomes are not always true, e.g. "some tomatoes are green" (Goddard & Melville, 2007: 32).

and because the study attempts to find solutions to the problematic nature of assessment and change in applied theatre. Four to eight main categories of qualitative research are acknowledged by academics[13] with the most common four being: phenomenology, ethnography, case study and grounded theory. However, some researchers identify up to 28 different types of qualitative research[14]. As I will be using the mixed-method or pragmatic approach, apart from literature reviews and a survey, my methods of data collection will also include case studies, interviews and observation.

Hammersley (2013:15) states that qualitative research employs a "small number of case studies" from which information is gathered in-depth and in context and from which meaning is derived. Johnson (2006) refers to this as "purposeful sampling" and explains that specific case studies are selected for their usefulness in illustration of the issue at hand and because they lend themselves to in-depth study. As I only had access to a small number of case-studies and interviews from local and international practitioners, this characteristic suits this study. Johnson (2006) further argues that cases are chosen so as to give "insight about the phenomena", not to generate a generalised finding from masses of information.

Mouton (2008: 150) argues that information for case studies can be collected through means of interviews, discussions, "documentary sources and other existing data" and that this method's fortes are "in-depth insights" and "high construct validity".  In contrast its limitations are that there are no standardisation of measurement, both analysis and collection of data can be time-consuming, results cannot be generalized and that the biggest danger concerning this method is the subjectivity and bias of the researcher together with a carelessness with analysis (Mouton, 2008: 150). I acknowledge the possible pitfall of this method in terms of time-span and researcher bias, but the in-depth qualitative information case studies provide is deemed essential for understanding and answering the three research questions posed by this study.

In summary this study will take the form of a mixed method study containing a pragmatic qualitative study, as information gathered will mostly be non-numerical and as an evolving research method

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[13] *John Cresswell* identifies five types of qualitative research methods: Ethnography, Narrative, Phenomenological, Grounded Theory and Case study (2007: 2). *R. Burke Johnson* identifies four main types, namely: Phenomenology, Ethnography, Case Study and Grounded Theory (2006). *S.B. Merriam* identifies eight types which consist of: Basic Interpretive Qualitative Study, Phenomenological Study, Grounded Theory Study, Case Studies, Ethnographic Studies, Narrative Analysis, Critical Qualitative Research and Post Modern Studies (2002). *UMSL* identifies five approaches: Phenomenology, Grounded Theory, Ethnography, Historical and Case Study. (2016)

[14] Cresswell (2007: 6 – 8) lists all the different approaches according to the academic that identifies it.

(Remenyi & Money: 2010) is required. Data will be collected in various ways, including but not limited to interviews, literature reviews, observation and personal experience. The study will also utilise quantitative research in the manner of a questionnaire. Data gathered from the survey will be presented statistically and descriptively and used in conjunction with the qualitative research. The study will follow an inductive approach with conclusions, theory-formulations and recommendations arrived at as a direct result of analysed information.

### 1.4.2 The research process

I started by conducting research into assessment methods used by applied theatre practitioners but unfortunately the literary base for assessment methodology in applied theatre seemed limited, especially concerning the assessment of change. Finneran and Freebody (2011: 17-18) attribute this to a "distrust of what is considered to be 'academic' understandings of the field as they are seen to be separate from practical understandings of the work." Literature on applied theatre assessment methodology was often hard to find.

As I struggled to find sufficient literature on assessment methodology used by both South African and international applied theatre practitioners, as well as evaluation tools that measure behavioural change, I decided to research evaluation methodology used by intervention programmes in the social sciences. These included programmes from the fields of social work and community development, as these programmes are designed to bring about and evaluate long-term behavioural change. The methodologies used by different social sciences intervention programmes were also evaluated in relation to their appropriateness to applied theatre programmes. I also investigated the need for programme assessment in the various fields.

Change theory was explored as I needed to understand and define change to be able to evaluate if an assessment method can accurately measure change. The ethics of applied theatre was also researched as this highly debatable issue forms the basis of some practitioners' evaluation methodology. This stage took the form of the literature review.

For the survey, I designed a questionnaire that was sent to local and international applied theatre practitioners. The questionnaire was concerned with the current assessment method(s) used by practitioners, a short evaluation of the assessment methods and perceived weaknesses and strengths. I included a question in the questionnaire regarding the possibility of a universal measurement tool, as this was a recurring theme invariably raised by many local practitioners during conversations

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regarding evaluation and assessment of programmes at the time. It was also a prospect that was discussed and argued about during the First Research Conference into Applied Theatre that was held at the University of the Witwatersrand (Wits), South Africa, in 2008.

The response to the questionnaire was disappointing and I had to rethink my strategy with regards to conducting the needs assessment. I redrafted the questions in an online questionnaire which was a lot quicker to complete and had the benefit of collating the collected data. The response to the online questionnaire was more positive and provided enough data to analyse and discuss.

As some of the more prominent local applied theatre practitioners failed to complete the questionnaire, I sent out e-mails and tried to set up telephonic interviews to collect the necessary data from their programmes to include in the study. Unfortunately, this was once again not as successful as anticipated, as the practitioners either ignored the request or failed to follow through with the interview. The practitioners that agreed to interviews, however, provided valuable insight into their methodology and programmes and, together with my personal experience, formed part data collected from case studies.

After the data collection and analysis, together with the research in evaluation methodology, I was able to answer the three central questions and make recommendations with regards to improving the evaluation of applied theatre programmes as well as suggest a possible measurement instrument.

## 1.5 Terminology: applied theatre as an umbrella term

The term applied drama or applied theatre was coined as an umbrella term with which to refer to all theatre forms that use drama and theatre techniques to attain various social, economic, educational, political and other communal ends. The use of the word *applied* is useful for it explicitly distances the genre from what may be called *pure* theatre with its traditional conventions of actors performing a text to an audience for aesthetic or entertainment purposes[15]. Nicholson (2005: 5-6) argues that *pure drama* is normally abstract and theoretical, whilst *applied drama* uses drama theory to solve practical problems. Various practitioners and theorists define applied theatre and drama in a manner that, with

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[15] This is a very simplistic explanation of a more complex phenomenon. Prentki and Preston (2009:10) warns that theatre is not a concrete thing one could just "apply", as theatre is an art form with conventions that change according to circumstance and context.

slight differences, all mirror the first sentence of this paragraph. Balfour and Somers[16], Nicholson[17], Finneran and Freebody[18] all advocate the desire of applied theatre practitioners to instigate change.

Why applied *theatre* and not applied *drama*? Applied theatre, as discussed in this section and used in this study, refers to programmes or projects with both performance outcomes *and* those who solely use a process. Applied drama only refers to performance orientated practices. Prentki and Preston (2009:9) offer an encompassing and well-rounded definition of the term, asserting that applied theatre is a "broad set of theatrical processes and creative processes that takes participants and audiences beyond the scope of conventional, mainstream theatre into the realm of a theatre that is responsive to ordinary people and their stories, local settings and priorities"; a genre that can happen in informal or formal theatre spaces; in a myriad of settings, in contexts which can be specific to community interests; can be motivated by the desire to bring about change with regards to interpersonal relationships and the way they relate to the outside world; a theatre that can be motivated by the desire to bring about social change. Finneran and Freebody (2011: 15) offer a more simplistic and less political definition, stating that: "Applied Drama and Theatre [is] a continuum of aesthetic and pedagogical actions with shifting forms and shapes as opposed to a fixed, more canonical idea of drama".

Prentki and Preston (2009: 10 - 11) identify three types of applied theatre, namely "Theatre 'for' a community[19]"; "Theatre 'with' a community[20]" and "Theatre 'by' a community[21]" and all three will be included in this study, as local practitioners make use of all three types. It should be noted that not all South African practitioners necessarily use interactive processes (e.g. workshopping a text,

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[16] Balfour and Somers (2006: X) state, when using theatre as intervention, "there may be an intention to change social conditions… or to educate…[or] the intention may be to 'liberate' by giving people a better idea of where the oppression that afflicts them comes from, and how they can counter it or, maybe, triumph over it."

[17] Nicholson (2005: 3) argues succinctly that practitioners of applied drama display the sole desire to use drama to better the lives of the individual and of communities.

[18] Finneran and Freebody (2011: 1) state that "most artists and educators want to bring about some sort of change and generally they want that change to be for the better, as they understand it".

[19] Theatre **for** a community can best be described as a performance workshop facilitated or performed by an outside company to a specific community e.g. a school.

[20] Theatre **with** a community refers to "workshop or 'process'-based programmes involving participants in devising or exploration that may or may not lead to presentation or performance to a wider audience.". (Prentki and Preston. 2009: 10 - 11)

[21] Theatre **by** a community is when community members perform to an audience of community members, a process which may either be led by an outside facilitator or is entirely driven and executed by the community themselves.

audience involvement, Forum theatre techniques, post-production discussions, etc.) to achieve their aims, and many simply perform plays with minimal or no audience interaction or follow-up programmes, yet still lay claim to behavioural or attitude change. As the criterion for this study is *interventionist* and not *interactive*, these product/performance orientated practitioners and projects, as well as the process orientated practitioners' programmes will be included in the study. For this reason, I will continue to use the term *applied theatre* as opposed to *applied drama* for the purposes of this study.

The deliberately broad term of applied theatre is inclusive of all the genres and subgenres of applied theatre and allows for common ground between genres as well as dissimilarities, for example it ranges from the specificity of something like drama therapy to more encompassing catch-all concepts such as community theatre and theatre-in-education. This sets up some amount of conflict among certain practitioners as many practitioners want to use it in a more circumscribed and exclusive way, e.g. to indicate specific programmes with specific theories and methodologies. These intervene and work within a community considered to be in crisis and use drama and theatre as a medium to bring about social change.[22] As Judith Ackroyd argues in her 2012 article, *Applied Theatre: An Exclusionary Discourse*, such a "re-definition" immediately tends to exclude a number of practitioners and genres with aims that may be different, but still require intervention through some form of "applied" drama or theatre[23]. She quotes John O'Toole as remarking that "the use of the term Applied Theatre is often restricted to settings where theatre is being used for explicit social benefit" (Ackroyd 2012: 8). Such an exclusive practice of applied theatre is also in direct contrast to the definitions of applied theatre given by Prendergast and Saxton (2009: 6), namely that applied theatre is "inclusive and does not carry any limiting fixed agendas", or Nicholson (2010: 150-151) that applied theatre is "an umbrella term that include[s] a range of pedagogic and dramatic practices". It is to break this impasse that some practitioners, such as Summers (2008), have begun to refer to it as *Interactive Theatre* when dealing with drama and theatre practices as social intervention and transformer.

Finneran and Freebody (2011: 1) argue that *all* contemporary creative arts aim for some type of change, whether it be a change of heart, mind or attitude but, as this study is primarily concerned with the problems assessing *social* transformation and/or behavioural change brought about by applied

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[22] Many practitioners see applied theatre purely in terms of bringing about change. Ana Bergel (2003: 1) argues that the "purpose [of applied theatre] should always be to deliberately change or develop a social context."

[23] For example, Ackroyd (2012) takes issue with the fact that the Theatre-in-Education genre, which applies drama in an educational context, is not included in a 'redefinition' of applied theatre which only deals with the use of theatre in a community in crises.

theatre programmes, I will not include theatre-in-education in my research. My focus will be on the many South African and international applied theatre practitioners who specifically seek to socially transform and change the behaviour of those participating in applied theatre programmes. The difference between theatre-in-education and the applied theatre projects and programmes described and used in this study is that for me, theatre-in-education refers to specific curriculum-based processes and performances. I will also not include drama therapy programmes as part of this study. Even though the purpose of drama therapy is often to induce behavioural change, the main concern is the mental health and mental well-being of participants. I feel that this focus is too far removed from the social transformation, interventionist and change ideals of applied theatre programmes focused on communities in crisis. For the purposes of this study, I will use the term applied theatre to refer to programmes, projects and practitioners that aim to bring about social and behavioural change and transformation, acknowledging that the use of the term in this way excludes some of the sub-genres of applied theatre. I chose not to use the term *Interactive Theatre* as proposed by Summers and others, I feel this will confuse the issue as this excludes practitioners who refer to their work as applied theatre, but do not use interactive processes.

Another voice of dissent in the field of applied theatre comes from practitioners who wish not to fall under the umbrella term of applied theatre, like for example the broad field of Theatre for Development (TfD), whose many practitioners feel they lose their exclusivity. Another example is Cohen-Cruz (1999:115), who defines applied theatre as "the array of practitioners that assay to ameliorate situations through means such as building positive identity and community cohesion through the arts", community theatre as "partisan [and] dealing with a specific group" and TfD as "bi-partisan, dealing with a particular population and a 'civil society' institution." Prentki (2006: XIV) argues that any informal or non-formal educational theatre intervention in a disadvantaged community can be classified as TfD, as applied theatre is only the current fashionable term used for the genre. This statement of Prentki's is interesting in terms of it claiming that TfD to be the true origin for applied drama as well as the fact that it takes TfD out of its African context and roots, especially as Kamlongera (2005:436) attributes the origin of TfD to the colonial theatre influence combining with the reaction of Africans to this theatrical attempt at behavioural transformation. Prentki wasn't the only academic embroiled in a polemic regarding the origin for applied theatre at the time, as demonstrated by a 2006 e-debate on the subject in the Research in Drama Education (RIDE) journal where academics and practitioners could not reach an agreement on either a specific definition or origin.

In recent years the debate on the correct definition of applied theatre and all it entails have somewhat abated and practitioners and academics have accepted that it is extremely difficult to tersely define applied theatre. Prentki and Preston (2009: 11) emphasise that applied theatre "includes a multitude of contentions, aesthetic processes and transactions with its participants." Although I acknowledge that there are practitioners who wish to remain separate from the umbrella term, genres like TfD or Theatre for Social Change (TfSC)[24] are part of applied theatre as they apply drama and theatre techniques in various ways to achieve transformation and change, and as such fit the definition of applied theatre as described in this section and I will thus include these genres as part of this study.

In conclusion, applied drama and theatre is used as an umbrella term for a wide range of theatre genres, from specific genres like theatre-in-education and drama therapy, to more inclusive ones like TfD or community theatre. Although the term is not universally accepted, most practitioners that use drama in a non-conventional, i.e. applied, form agree that their genre forms part of applied theatre. As this study is concerned with exploring the problems relating to assessing or evaluating social change, I will focus on programmes and practitioners specifically aimed at seeking to bring about change in communities in crisis, both through interactive theatre and through non-interactive means. I will use the term applied theatre instead of applied drama, as I wish to include both process and performance orientated programmes. For the purposes of this study, theatre-in-education and drama therapy will be excluded based on the aforementioned grounds.

## 1.6 The ethics of research

The ethical dimension is of vital importance to this study, Goddard and Melville (2007: 49) articulate this as follows: "collecting data from people raises ethical concerns". They assert that the researcher should guard research subjects from both "psychological and physical harm" and that all information collected should remain confidential as not to infringe on an individual's right to privacy. To keep data confidential, the researcher should take care that no individual can be identified through the reading of the study (Goddard & Melville, 2007: 49).

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[24] Theatre for Social Change (TfSC) is a relatively new British theatre genre that distances itself from applied theatre in that its main objective is to change its audience in opposition to applied theatre where such an intention is not always present. (Thornton 2012)

In my research this applies to the questionnaires, case studies and interviews. The online questionnaires were anonymous, with only a space provided for an institution name for those who chose to name their institution. Regarding the case studies, the examples that I cite from my own work only mention groups and geographical location. I do not describe or name any individual or refer specifically to an individual. Information from interviews was transcribed and changed into statistics without identifying individual contributions.

## 1.7 Chapter layout

This thesis consists of three sections. Section 1 is broadly concerned with existing measurement theories, methods and techniques, examining why assessment is needed and what needs to be assessed as well as serving as a literature review. Section II is an empirical study that discusses and analyses the data gathered through means of the questionnaire and interviews. Section III makes recommendations and suggestions for a possible measurement tool as well as the conclusion of the study.

### 1.7.1 Section 1: Introduction and literature review

*Chapter 2: Perceived difficulties with assessment*
In this chapter I examine the arguments for and against the assessment of applied theatre projects. Featured in this discussion are the aesthetics of applied theatre programmes, the ethics involved, as well as the problems with assessment in applied theatre. I will also look at assessment and evaluation as part of programme design and not as something to be quickly surmised at the end of a project.

*Chapter 3: Change*
In this chapter I look at what constitutes change, how to measure change, change theory and resistance to change.

*Chapter 4: Assessment and evaluation in the social sciences*
In this chapter I examine evaluation methodology used by two fields of the social sciences, namely community development and social work. I examine the different methodologies used and evaluate their appropriateness to applied theatre programmes. I also investigate the need for assessment in the social sciences, as well as how they incorporate evaluation and assessment as part of their programme designs.

*Chapter 5: Assessment and evaluation in applied theatre*

I explore and discuss the four assessment techniques most widely used by applied theatre practitioners, namely action research (AR), participatory action research (PAR), participatory monitoring and evaluation (PM&E) and the logical framework approach (LFA). I examine these techniques in terms of how they work, strengths, weaknesses and how practitioners use them. I lastly discuss whether practitioners can be considered as successful in measuring perceived change using these methods.

## 1.7.2 Section II: Empirical Study: A survey of current practices and the needs of practitioners regarding the assessment and evaluation of applied theatre programmes

*Chapter 6: A description of and initial reflection on the empirical study*

Chapter 6 deals with the first and second questionnaire sent out to stakeholders. It describes the design of the initial questionnaire and the online survey, as well as the responses to both.

*Chapter 7: The results of the empirical study*

This chapter analyses and reflects on the results of the empirical study. The discussion of the results is broadly divided into two categories, namely the need for assessment and the current evaluation and assessment methods used by practitioners.

## 1.7.3 Section 3: Conclusion and Recommendations

*Chapter 8: Recommendations, toolkit and conclusion*

In the final chapter of this study, I make recommendations based on the research conducted to improve evaluation and assessment in applied theatre. First, I analyse the main problems regarding assessment and evaluation in applied theatre, including attitudes towards assessment, lack of literature and resources, the lack of a governing body, claims of change and standardisation. I then make recommendations and offer possible solutions based on the research conducted. I propose and discuss an assessment and evaluation toolkit to deal with the problem of assessment in applied theatre. Finally, the chapter is used to make the final conclusions on the research study and the research questions.

**Chapter 2: Perceived difficulties with assessment**

**2.1 Introduction**

Problems regarding how, what and why to assess is not unique to the applied theatre field. Established social sciences with interventionist aims like community psychology, community development and social services employ various methods and techniques to measure change and impact. However, there is still a constant search for new and improved methodologies as well as the formulation of ideas, theories and opinions regarding evaluation, change, impact and assessment.

As the field of applied theatre progressed, research, experience and practice have caused several paradigms shifts in relation to how function, instrumentalism, aesthetics, ethics, outcomes and changes are perceived by practitioners. From, for instance, the overall insistence that theatre can create lasting change, many practitioners maintain that applied theatre realises its revolutionary ideals. Some practitioners are now of the opinion that theatre is merely a stepping stone in aiding an individual to choose a path that will lead to change whilst others believe that theatre cannot create change at all. The disappointment for many academics of the perceived failure of applied theatre to live up to its activist-transformationist ideals, quite often overshadow the wide range of positive outcomes that applied theatre can produce and this is reflected in some of the published literature.

Some debate still exists in applied theatre about whether programmes and/or performances should be evaluated or assessed at all. Most practitioners assess their programmes, whether it be to improve programmes or to appease funders, and many agree as to the positive impact evaluation and assessment has on their programmes as evident and discussed in the empirical section of this study. In this chapter I will concentrate on the reasons for assessing or evaluating applied theatre programmes but I will also briefly discuss terminology and applied theatre discourses affecting assessment and evaluation.

I will start by discussing the use of terminology, move to outlining the problem of aesthetics in applied theatre and briefly touch on the ethics of applied theatre in so far as it relates to assessment and evaluation, before exploring why some applied theatre programmes/performances are not evaluated or assessed. My study will continue with a discourse on the need for programme assessment as found in applied theatre literature as well as with a discussion of problems experienced in relation to assessment. Change or change theory will not be discussed at this stage, as this will be fully covered in the next chapter.

## 2.2 Terminology: evaluation vs assessment

It is easy to confuse the terms *evaluation* and *assessment.* In this section I will briefly discuss the differences between the terms and the use of the terminology in this study.

According to the online Oxford dictionary (2017), *assessment* is concerned with the calculation of value, whereas *evaluation* is explained as making a judgement. Assessment can thus be seen as quantifiable and evaluation as more of an appraisal. Eisner (2007: 423), however, argues that in relation to education and the arts in general there is no real perceivable difference between the two terms. According to him, assessment is often understood as "judgement about an individual" and evaluation as "pertaining to appraisals of programmes", but the terms cannot be separated. He explains that assessment and evaluation does not require the use of measurement, as measurement is concerned with the "quantifiable descriptors of a set of conditions" and evaluation "requires making judgements about the value" (Eisner 2007: 423).

Eisner (2007: 424-425) states that assessment should also include narrative in addition to quantitative data, to explain the results and to "broaden our understanding of the consequences of our practice". He refers to this combination of methodology as "multilingual" and argues that "good evaluations are typically 'multilingual'", i.e. making use of data and narrative. Etherton and Prentki (2006: 154) offer a slight difference of meaning for the evaluation of programmes. They argue that the evaluation of programmes is beneficial for the practitioner to prove that "what was claimed was actually done" and that practitioners measure impact only to "fit requirements for funders". Khutan (2014: 19-20) broadens and equalises the definitions of assessment and evaluation, stating that monitoring is concerned with programme development, while evaluation is concerned with the assessment of "what has been achieved and how any changes have come about as a result".

Eisner (2007: 424) clarifies the term *objectives* as the "targets at which one aims" and the term *outcomes* as "what one secures as a result of action", with outcomes being a broader term as it includes positives and negatives as well as anticipated and unanticipated outcomes. The objectives of a project are significant as this will determine the process and methodology of the programme to achieve this. If the objectives are not clearly defined or incorrectly identified, the programme may not have enough drive or direction to achieve the intended affect. Thompson (2009: 6) argues that the "intentions of applied theatre are frequently poorly articulated" which implies that many programmes fail to achieve their intended potential as practitioners were unable to communicate intents at the inception thereof.

Assessment and evaluation in the applied theatre context can thus be understood as the calculation of the value of the programme and the consequent judgement of that value. Monitoring is the observation, gathering, processing, documentation and management of the information used to calculate the value. For the purposes of this study, I will be using the terms assessment and evaluation interchangeably, as I also believe that they cannot be separated if one wants to determine the real value of a programme. Assessment of a programme will yield lots of data, but without a context or explanation the numbers will not make a lot of sense. It is also necessary to explain why these sets of data are offered as proof assessment. Evaluation reports often contain phrases such as "a roaring success" and "well-received" whilst resorting to describing what happened during the project with no real evidence to support perceived changes or successes other than the author's words. A combination of assessment data and narrative evaluation can solve the conundrum of effective reporting, but only *if* the objectives were correctly identified and listed at the beginning of the programme, as narratives can provide explanation and numbers can provide evidence for claims made. Monitoring will be used to describe the process of gathering, managing, storing and interpreting the data collected throughout the duration of the programme.

## 2.3 Perceptions on applied theatre aesthetics

The use of aesthetics of applied theatre has been hotly debated since the coining of the umbrella term. However, the debate, which O'Toole (2009: 484) refers to as the "tense and problematic relationship between aesthetics and the instrumental in theatre", has now somewhat abated due to a shift in the definition and functions of applied theatre[25]. A shifting focus also occurred in how aesthetics is viewed by artists and academics, moving from the archaic notions of "the value of art resides in the aesthetic sphere alone" (Belfiore 2011: 33) to Spitczok von Brisinski's (2003: 125) enlightened linking "artistic practise to direct social interaction and social engagement".

The word a*esthetic* originally derives from the Greek term *aisthēticos* (Cresswell 2010: 7), which according to the online Oxford dictionary (2017) means "perceive" and "perceptible things" and which Ryan and Flinders (2017: 6) translate as "sense perception". The modern interpretation of

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[25]  This claim is supported by the literary study of this dissertation and is also remarked upon by various academics like Peter O'Connor (2015: 370) who states that the "greatest shift…of applied theatre has been in and around issues of social transformation and the nature and role of aesthetic in applied theatre", in an opinion piece entitled *Things have changed* for the twentieth anniversary of RIDE journal.

aesthetics as the "sense 'concerned with beauty'" (Cresswell 2010: 7) was coined by Alexander Gottlieb Baumgarten in the middle 1800s and was concerned with themes such as beautiful, ugly, judgement, good and bad taste (Encyclopaedia Britannica online 2017).

The *Aesthetic Movement* of the 1880s onward was concerned with '"art for art's' sake and rejected the notion that art should have a social or moral purpose" (Knowles 2006: A), translating into the belief that "nothing is really beautiful unless it is useless" (Belfiore (2011: 32). The 'modern' interpretation of *aesthetics* was/is still used with relation to creative arts in the 1900s, but are gradually reinterpreted and critiqued today. As Van Graan (2006: 281) comments that the "notions of universality and timelessness are not absolutes, they are class bound, intimately linked with life experience, wealth, education exposure to the arts, or lack there off". In his preface to *Aesthetics beyond the Arts*, Berleant (2012) describes modern day aesthetics as a "holistic, participatory understanding of appreciative experience" and a "situational conditioning of activity and heightened sensory awareness". Haseman and Winston (2010: 466) explains the term aesthetic as a "specific form of knowing, but along with it, a particular type of experience, one quite different from the normal business of everyday perception". The meaning of the term aesthetics is thus slowly changing back to its original meaning, one which relates to the perception of the senses and experiencing art in a manner unique to each individual.

I perceive the problem with aesthetics in applied theatre as threefold. Firstly, in the early days of applied theatre, function was given precedence over artistry/beauty[26], secondly practitioners struggle for recognition as artists instead of mere facilitators and thirdly practitioners struggle for recognition of applied theatre productions as an art form. These problems create tensions in the field, is a performance not as *applied* when it incorporates various aesthetic elements, especially when the aesthetic elements *seem* without instrumentalist function? Are practitioners not artists and is applied theatre not an art form? Should all productions be serious to be taken seriously? I will continue to briefly discuss aesthetics, tensions created and how aesthetics function as part of applied theatre programmes through the means of a literature study and case study.

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[26] Haseman and Winston (2010: 465) concluded that the "field of applied drama has concerned itself more readily with issues of social utility" than with aesthetics elements in the work.

As touched on in the first chapter, the *applied* part of the umbrella term distances practices and performances from *pure* theatre. This distinction arguably stigmatises the work of applied theatre practitioners as a somewhat *lessor* art form, as Shaughnessy (2012: 9) expounds that

> theatre which is 'pure' by being non-utilitarian will be considered as superior to its applied counterpart and that working with groups of non-actors to create performance in 'non-theatre' spaces might be regarded as a secondary activity to the pure one of make 'pure art for its own aesthetics merits'.

The feeling of being excluded from *art* and the desire of applied theatre practitioners and their work to be recognised as artists and art is echoed by academics such as Van Erven[27] (2015), Osnes[28] (2014) and Shaughnessy[29] (2011). Shaughnessy (2011: 16-17) clarifies that the search for recognition as artists[30] is not due to an "elitist aesthetic", but because practitioners identify themselves as artists, but "clearly consider this role as one which is socially responsive". Practitioners, however, who see their applied theatre productions as *pure* theatre, resolutely argue that applied theatre performances/productions are an art form and as such should not be evaluated or assessed[31], but rather "aesthetic[ly][32] critique[d]" (Osnes 2014: 68).

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[27] Van Erven argues in a 2015 article entitled *The tension between community and art,* that applied theatre practitioners yearn "for mainstream recognition" (408).

[28] Osnes states that many applied theatre practitioners identify more with being artists than development workers (2014:68) and consequently view their work as art works.

[29] Shaughnessy comments that the majority of applied theatre practitioners questioned for her book, *Applying Performance: Live Art, Socially Engaged Theatre and Effective Practise* had an "overriding concern" with regards to the evaluation of their work and an "insistence on the status of their work as 'art'" (2011: 7).

[30] In our collective zeal to try and change the world, applied theatre artists, adopted the term *practitioner* or *facilitator* indicating that we use the art form to other effects than those in *pure* theatre and that we aim to *facilitate* change. I suspect funding is also easier to obtain for developmental projects if applied for by a practitioner instead of an artist due to the archaic stigma still attached by many regarding artists and the arts. Perhaps in future, in reflection of the shift in opinion regarding aesthetics and of the purpose and effect of applied theatre, we should refer to ourselves as *artists* again, acknowledging our own creativity, artistry and impact when facilitating projects.

[31] The literature study is supported by the empirical study conducted.

[32] Aesthetic critique is heavily influenced by Immanuel Kant's theory of the judgement of taste which deems something beautiful or ugly. Aesthetic judgement has to be disinterested (something gives us pleasure *because* we judge it to be beautiful), universal, necessary and is "enjoyable for its own sake" and "has no purpose outside itself". (Wattles 2012: Online resource).

White (2015: 1) differentiates between pure theatre and applied theatre by stating that *pure* theatre is "focussed on its aesthetics, rather than its effects". I don't agree with this statement as with some *pure* theatre performances the boundaries between what is considered to be pure and applied theatre becomes blurred, e.g. struggle theatre plays like Percy Mtwa, Mbongeni Ngema and Barney Simon's *Woza Albert!,* Anti-Apartheid plays like Athol Fugard's *Boesman and Lena* and political plays like Bartho Smith's *Putsonderwater*. These plays form part of *pure* theatre but are as concerned with the intended effect of its social or political commentary and/or audience impact, as they are with performance aesthetics and as such could be evaluated with regards to the intended effect on the audience. Van Graan (2006: 279-280) proposes that protest era plays often *lacked* artistry or theatre expertise but was extremely successful at getting their political message across. A statement which is in contradiction with the expectation that *pure* theatre is aesthetically superior and does not concern itself with *application*.

The function, outcome, or transformation of participants in applied theatre was considered more important than aesthetic qualities[33] at the start of the movement, with many practitioners focussing primarily on Boalistic methodology and bringing about social change and transformation above all[34]. The lack of aesthetics in many applied theatre performances was lamented by Prentki and Pammenter (2014: 9) in that most applied theatre performances are dominated by "crude and instrumentalist approaches" at the cost of "effective communication through theatre" and they consequently applauded the growing discourse about applied theatre aesthetics.

Gaskell and Taylor (2004: 1) remark that whilst performance aesthetics has not been totally ignored in most applied theatre performances, "the artistic quality of the performance remains almost an afterthought". Being guilty of focussing on more instrumentalist approaches myself in both practising and teaching applied theatre at the start of my applied theatre journey, I must wonder how much more could have been achieved through performances and programmes had I given more credence to aesthetic elements and not added them as a measly afterthought. More effective communication in awareness or informational performances and programmes could have gone further in realising outcomes, and more weighted inclusion of aesthetic elements might have opened different avenues for exploration than those we identified and developed.

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[33] Thompson (2009: 1) rationalizes about this phenomena that, in an effort to be taken more seriously, artists decreased elements such as beauty in their work and resorted to an "asceticism in our aesthetic".

[34] Thompson (2009: 3) refers to the triumph of instrumentalism over aesthetics in Boalesque applied theatre work as the "serious, but aesthetically sparse work of Image Theatre, improvisation and forum theatre".

The aesthetic aspect of applied theatre productions was also discussed at the First Africa Research Conference in Applied Drama held at Wits University in 2008[35], with the participants divided as to the importance of the aesthetic aspects. This discourse amongst the audience occurred during the question and answer session of the panel discussion on ethical positions, values and principles where some delegates were adamant that the "dynamics between ethics and aesthetics should be respected" (Janse van Vuuren, 2009). Arguments for, and against, were being made without participants really attempting to understand opposing viewpoints, with issues such as time, money, necessity and skill being highlighted as hampering aesthetics.

The gradual shifting of the collective understanding, appreciation and application of the aesthetics of applied theatre is evident in the book *Applied Theatre: Aesthetics* (2015) edited by Gareth White. Whilst some practitioners are including beautiful elements on purpose in their work to various effects and affects, others are viewing aesthetics as a combination of cultural, situational and procedural factors[36]. This book expands on White's 2013 book on aesthetics in relation to audience participation in which he stipulates that "it is necessary to recognise a different 'aesthetic' for each different practice of making and receiving work" (White, 2013:10) and it is evident that this surmise is correct as is demonstrated in recent works by applied theatre practitioners. The definition and application of aesthetics are as varied as the projects practitioners undertake, e.g. Chinyowa (2007: 28) identifies "play" as the main aesthetic of African Popular Theatre, Hunka's (2015) aesthetic spaces when working with vulnerable children, Adebayo's (2011) use of audience participation as aesthetic and his use of aesthetic to challenge social norms. Similarly, for Ryan and Flinders (2017: 6) it resides in the fact that the "locus of creation" is shared between actors as well as the capacity and role of the audience. The focus of aesthetic seems to shift from highbrow notions of beauty and art to the artistic and how the artistry transforms, engages, educates and confronts.

This difference of perspective does not disregard beauty as instrumental in transformation or change. Hunka (2014) describes the success of participatory theatre work with vulnerable children in the Hornimum museum, surrounded by beautiful objects and physically handling these objects which inspires improvisations, characters and performance. Thompson (2009: 10) demonstrates the effects of the aesthetics of "beauty" in applied theatre to great effect in his book on *Performance Affects:*

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[35] Please refer to Appendix B: *Drama for Life / First Africa Research Conference in Applied Drama* for a full discussion.

[36] See for example Nicola Shaughnessy's (2015:110) quote of Janet Wolff in an essay on aesthetics in applied theatre that an evaluation of aesthetic values is "always situational and a product of its contemporary culture and value".

*Applied Theatre and the end of Effect*, which concentrates on performances or programmes that use beauty to affect those in war-torn circumstances. He states that *beauty* might allow us to keep engaging in resistance and critique against the state of our world, whereas the preoccupation that applied theatre has with suffering can leave us punch-drunk and tired, achieving the opposite than energising us for a revolution. He further contends that beauty can provide a performance with a "critically comparative edge between artistic work and its social context" (Thompson, 2009: 10).

I find the juxtaposition of the beautiful versus suffering, inequality and negativity especially striking, having experienced its effects first hand during my time with the Lynedoch Youth Theatre Group. The Youth Theatre project was primarily created as a theatre skills training intervention programme for youths in crisis in the Lynedoch area in Stellenbosch and ran from 2007 to 2015. The programme incorporated, apart from theatre skills training development, drama therapy techniques, focused on identity creation and establishment, the creation of narrative platforms and the development of various interpersonal and life skills. The programme culminated in two performances a year, showcasing the theatre techniques developed. For the second phase of the first year of the Lynedoch Youth Theatre Group[37], I wanted the participants to work on a provided text-based play, to, amongst other things, aid with literacy, comprehension and retention. The aim was also to be able to focus more on traditional theatre skills such as articulation, characterisation and projection, rather than workshopping a text. I chose a fairy tale, Cinderella, based purely on a whim, probably on some level hoping to encourage the participants to try and see past the drudgery of everyday life to a brighter future. To my amazement, this group of 9 to 13-year olds has never been introduced to fairy tales and absorbed the text with gusto. The possibilities the fairy tale introduced for discussion and exercises on themes such as gender, race and class were seemingly endless.

The participants were fascinated with the make-believe world and clearly enjoyed the rehearsal process a lot more than their own workshopped play dealing with own experiences. Once we started with costume fittings – which I tried to keep as much in "period" and as elaborate as possible – they were transfixed by the theatre process and performance and were transported to a different world once they were in costume. I realised the power of offering a mode of escape from the "ugliness" of everyday life through the beauty of words and costume, as well as the necessity thereof for children with no avenue of escape from the reality of everyday life. Thompson's (2009: 2) contention of the power of the "radical potential of freedom to enjoy beautiful radiant things" was demonstrated to me in practical terms. This was so much like the mode of escape that the beautiful objects in the

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[37] Please refer to Appendix C: *Case study 1 – Lynedoch Youth Theatre group* for a full discussion and description.

Hornimum museum afforded the participants of Hunka's programme. After this experience, I changed the project so that the final performance would always be a fairy tale, allowing for an escape, but also for an encounter with joy and beauty. Thompson (2009: 2) calls attention to the fact that partaking in joy should not be construed as a diversion, but that it "acts to make visible a better world".

O'Toole (2009: 484) weighs in on aesthetics in applied theatre stating that "the better the artistry [of an applied theatre production], the better the leaning". This positive attitude shift towards the inclusion of aesthetic elements in applied theatre productions is echoed by Ryan and Flinders' (2017: 6) description of applied theatre aesthetics as "a field of knowledge through which power and resistance can operate" and O'Conner's (2015: 370) articulation that the "turn applied theatre has taken towards the aesthetic has broadened and diversified applied theatre practices and research". The idea of aesthetics as aiding learning and of broadening the field of applied theatre is to me the difference of being a mere tool of resistance and transformation; and of becoming a mode of transportation to a higher level of sensory experience, involvement and understanding.

My own experience with the Lynedoch Youth Theatre Group mentioned earlier, demonstrates how powerful visual aesthetics can be as an actant for transformation. The very first performance of the Youth Theatre Group in June 2007, was a piece of workshopped theatre created by the participants based on their experiences and every day circumstances. During this performance, the participants and I created a life-sized "village" (representative of the worker villages in which they live on the wine farms of the area) out of cardboard boxes mounted on wooden frames and white paint. The performance took place in the school/community meeting hall, devoid of any aesthetic elements of its own. The set consisted of the houses, a couple of old tyres and a tired-looking bench and was a very effective visual representation of everyday life. The audience members were immediately transfixed by the set, most of them coming to an "artistic"[38] event for the first time, and were suspended in a state of make-believe, an unfamiliar-familiar setting[39], where they, quite often the guilty perpetrators portrayed in the stories on stage, were able to engage as victims of their own abusive past. The ensuing post-performance discussion opened avenues for social workers to visit the families as well as for discourse regarding the afterschool activities of the participants.

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[38] I use the word artistic, instead of theatre, as I want to include all aspects of creative arts.

[39] Adam and Allee Blatner (1997:11) point out that the aesthetic lies in being able to manipulate seemingly irreconcilable opposites, thereby creating a paradox, "a condition in which something is both real and not real at the same time".

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The child performer-participants were also transformed by the visual aesthetics of set, costume, props and music for the duration of the final rehearsals and ultimately the performance. Although transformation on stage from actor to character is a prerequisite for successful theatre, the skills training programme's focus was not primarily on turning the participants into successful actors, but to allow them to explore and establish own identities and by providing a narrative platform for their stories of inequality and pain. One of the male participants who displayed challenging behaviours and uncooperativeness throughout the rehearsal process, even though participation was voluntary, was casted in the coveted role of the taxi driver. Rehearsals were lack-lustre events which required lots of encouragement and behaviour management. This all changed radically once I asked him to oversee constructing and painting his "taxi" out of cardboard. Initially hesitant, he became more involved and enthusiastic and this also spilled over into rehearsals and the performance. On the day of the performance he arrived in a costume of his own design, admittedly, much better than the one that I fashioned. The creation of an aesthetic element allowed him to take control of a situation and succeed; he then *made the choice to change* his behaviour for the duration of the rehearsals and subsequent performances. At the risk of relating a *hero-narrative*, this example only serves to prove the transient transformation that aesthetic elements can bring about in participants/performers of applied theatre. It should be noted that the aspect of behaviour change present was not permanent, the child did not become a model participant for life, nor did it noticeably spill over into other parts of his life, e.g. homework or academic achievement. I do think that if the model of allowing him to "own" and "control" certain aspects of his life (a life which is mostly uncertain, uncontrollable and without security) was continued in environments outside of drama, e.g. a school environment or an aftercare environment, the change might have been of a less fleeting nature. However, unfortunately once identified as a "problem-child" it is often quite difficult to encourage teachers and caregivers to behave in a positive and supporting manner towards such a child.

Did the aesthetic elements of this performance bring about permanent social or behavioural change in any of the participants or audience members? I highly doubt it, but it did create a transient transformation which allowed the children to play out their narratives to an engaged audience, transferring power from the abusers to the abused for the duration of the play. It also created a starting point and entrance into the community for intervention strategies for social workers and community development workers.

In conclusion, recent opinions and practices regarding aesthetics in applied theatre turn away from functionality *over* beauty and artistry, and focus on beauty, affect and artistry as *part* of functionality. Aesthetics cannot be universally defined, differs from practitioner to production and the importance

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of aesthetics elements cannot be denied. As Jackson (2007: 272) urges we need to "embrace the artistic core of what we do".

## 2.4 Applied theatre and ethics

Before we turn to a fuller consideration of the issue of assessment and evaluation, it may be important to highlight a few points about the ethics of applied theatre forms in South Africa and internationally. Intervention in a community in crisis poses some ethical questions. Practitioners are constantly confronted with questions of right and wrong, not only when identifying a community in crisis, but also when developing a programme, facilitating a programme, identifying stakeholders, and reporting and evaluating. During this section I will briefly look at the ethical concerns regarding intervention, stakeholders, regulation and facilitation as these factors impact on assessment and evaluation methodology.

Ethics can be defined as the "discipline concerned with what is morally good and bad, right and wrong" (Singer 1998: Encyclopaedia Britannica Online), and as such, ethics should guide practitioners towards best practices in their desire to do good and direct them away from potentially harmful ones. However, a desire to do good, e.g. solving problems or aiding self-actualisation, does not implicitly imply that good is being done (Barnes 2011: 131). In other words, we can't assume the work we do is ethical due to the nature thereof.

During the 2008 1st Africa Research Conference in Applied Drama, various workshops, discussion groups and papers were presented on ethics in applied theatre. What Kerr (2009: 180) refers to as applied theatre's ethical minefield were evident in the responses and contributions of the participants. The qualities of ethics were described by conference goers as "slippery and culture and context specific. Very necessary but always open to debate; instruments of justice, but also oppression" (Barnes 2011: 138). The problem with ethics in a field such as applied theatre, which concerns itself with investigating and exploring "the problematic nature of society and human choice" (Bares 2011: 131), is that nothing is clear cut. What might be ethical for me, will not be an ethical choice for you, or what constitutes ethics in one programme will cause offence in another. A facilitator's perception of ethics might also be juxtaposed to the comprehension of ethics in the community and within the context of the programme facilitated.

Nicholson (2005: 157) highlights that applied theatre practices and programmes are mostly unregulated and that the "terms and conditions of codes and contracts are often only invoked when

they are seriously transgressed".  This lack of ethical regulation in practice can cause the unravelling of "negotiations between individual and collective decision making", according to Kerr (2009: 177). Regulation of applied theatre practices, especially in connection to the establishment of a governing or regulatory body, is plagued with several difficulties. Some practitioners are unwilling and resistant to ethically evaluate programmes and/or not interested in belonging to a regulation authority[40]. Many applied theatre practitioners are not formally trained in the field of applied theatre[41]. One of the main problems, however, is the inclusivity of the applied theatre genre[42]. Just as ethical considerations are customised to each programme, so would be monitoring and evaluation practices, as well as guidelines about good practice. A regulatory body and its code of conducts for Theatre in Education would not necessarily be relevant to Theatre for Development practitioners or drama therapists. That which is the *right* thing to do in one form, might be the *wrong* thing in another.

Ethical guidelines or rulebooks exist in most fields dealing with human intervention to safeguard all stakeholders. Kerr (2009: 186) is of the opinion that it will be "almost impossible to write an ethical rulebook" for applied theatre due to the ambivalence of the ethics in the field. Barnes (2009: 136) converses that one of the aims of the workshops at the 1st Africa Research Conference in Applied Drama was the creation of an ethics charter[43] and/or guidelines for African practitioners and describes the process followed to try and achieve this[44]. A document was drawn up, but this proposed charter can only be found if one is aware of its existence and put in clear parameters in a search engine. The proposed charter gives very broad guidelines which is open to interpretation and applicable to various

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[40] Please refer to Addendum 1: Drama for Life/ The First African Research Conference in Applied Drama and Theatre in 2008 for a discussion on this matter.

[41]Although tertiary and formal applied theatre qualifications and courses have been offered for several years internationally, similar qualifications and courses are still relatively new and rare in Africa. Also, the number of Africans that complete schooling and obtain tertiary qualifications are a very small percentage, especially when compared with those figures in first world countries. Many practitioners are trained in the field by other practitioners that often did not obtain a formal qualification in applied theatre. At grassroots level in the field of applied theatre in Africa, as opposed to in academic institutions or academic conferences, I came across a lot more formally untrained practitioners that trained practitioners. Often those practitioners with tertiary qualifications did not qualify in the field of applied theatre, but rather in fields as varied as teaching, nursing, journalism and economics to name but a few.

[42] See Nicholson's (2005: 2) description of the field as "interdisciplinary and hybrid".

[43] Please refer to appendix B for the resulting Applied Drama and Theatre Charter for ethical practice.

[44] Lamentation of the lack of a set of ethical guidelines or charter, as well as a regulatory body, is not unique to South African practitioners. The same problems are faced by international practitioners as explained by McCammon (2002) in her article regarding ethical practices in research.

sub-genres of applied theatre. Even so, participants were concerned that the document does not become a "straitjacket" or an "instrument for policing field work" (Barnes (2009: 136).

Word choices such as "policing" and "straitjacket" are notable, as both are associated with being devoid of power, an issue which is often dealt with in applied theatre programmes. I also find it significant that a set of guidelines which was drawn up to help ensure the well-being of all involved, but specifically the communities deemed in crises, can invoke feelings of oppression amongst facilitators and practitioners – especially as oppression was one of the qualities of ethics the participants identified during this conference. This raises questions as to the ethical practices employed by some practitioners in the first instance.

An example of the importance of ethical conduct by practitioners in applied theatre programmes is described by Odhiambo in *Theatre for development in Kenya: interrogating the ethics of practice* (2005), when he states that the non-existence of training in ethical conduct can be harmful to community-based projects. The lack of ethics results in projects being directed by self-interest and without concern for what is in the best interest of the communities involved. He calls for regulation and minimum ethical standards that all practitioners should adhere to, calling attention to the fact that each stakeholder has its own agenda. The proposed ethics charter developed during 2008's research conference could therefore go a long way in aiding all stakeholders to self-regulate programmes, projects and performances in the absence of a governing or regulatory body[45].

Ethics is also concerned with the facilitation of interventionist programmes. One could ask: should community members take on the facilitating role themselves to take ownership of their own development, or should outside facilitators take on this role to direct, support, facilitate and develop? It seems that a lack of clear guidelines around this issue troubles practitioners and academics alike

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[45] The calls for a governing or regulatory body are made in various articles as well as at the 1st Africa Research Conference in Applied Drama in 2008. Refer to Chapter 7 and 8 of this study for additional discussions on this topic.

(Mda 1994[46]; Ahmed 2006[47]; Balfour 2009[48]). Nicholson calls attention to this problem in a 2005 special issue of Ride Journal wholly dedicated to the Ethics of Applied Drama when she argues that ethics shows where the balance of power rests: the practitioner or the participant. Kerr (2009: 182) believes the only "ethically sound" interventionist facilitators or practitioners are those who are "inextricably part of the struggle, not outsiders 'parachuted' in for the short-term action". I whole heartedly agree with Kerr's announcement of outside practitioners 'parachuting' in, although his statement leaves room for interpretation. In my opinion an "outside" facilitator or practitioner can become just as inseparable from cause, as an "inside" facilitator, given time and impetus.

Theatre practitioners are not the only stakeholders in applied theatre programmes. As applied theatre is not normally income generating or generally self-sustaining[49], practitioners require funding from various sources and these sponsors become stakeholders who need to measure the outcomes of their investments in order to justify the expenditure. This in turn constitutes a new set of problems, as seen in some of the comments stated earlier in this chapter. Catley, Burns, Abebe and Suji (2008:7) argue from the point of view of the funders that the "gap between the rhetoric of agencies and what they actually achieve is increasingly met with scepticism and doubt amongst donors and other stakeholders". Or as Snyder-Young (2013: 6) surmises, if artists are not able to explain their work to those funding them, "they are in the danger of losing resources required to make the work". Sponsors, in the absence of a more appropriate assessment tool, resort to measure the success of a programme in numbers, i.e. the number of attendees, gender and race ratios, age, whether all monies were spent according to the budget, etc.

The ethical considerations of what applied theatre programmes claim to achieve and what they have proven to achieve is a serious contention. Laying claim to long-term behavioural change and transformation needs to be proven scientifically. Unfortunately, especially as evaluation and

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[46] Mda (1994: 206) argues that "theatre for development should not instruct people what to do but should rather arouse the people's capacity to participate and decide things for themselves."

[47] Ahmed (2006: 51) quotes Mda in a seemingly contradictory statement, Mda stating that "catalysts must have a higher level of consciousness than the villagers. Without this higher level of social consciousness – and of critical awareness – they cannot play their interventionist role effectively, and the villagers will remain unconscientised through the theatre".

[48] Balfour (2009: 7) is concerned with the practitioner being the "saviour" in such programmes, quoting McDonald (2005:70) in saying that such "cultural missionar[ies]' need be made redundant."

[49] One of the desired long-term effects of TfD programmes are generally that the projects become self-sustainable in the community in which it was implemented, however funding is still required until such time (Eskamp, 2006:102).

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assessment methodology seems to be lacking in measuring actual project outcomes, very little *real* evidence exist that support such changes. Etherton and Prentki (2006:154) argue that it is "still not proven that applied theatre can today work towards those more substantial changes that many of its practitioners seek to make". With this observation I do not wish to imply that change is not possible through applied theatre projects, I only wish to direct attention to the fact that ethics also stretch to include promises made to both funders and host-communities regarding achievements and outcomes. Barnes (2011: 496) notes that one of the crucial conflicts in applied theatre is between "good intentions and actual effect". To reiterate a point I made at the beginning of this section, the nature of applied theatre's desire for positive transformation does not automatically ensure that all programmes are ethically sound.

The final stakeholders in applied theatre projects are the communities in which these projects take place as they also need to actively participate in the evaluation of the success of a programme. Unfortunately, as a lot of discussion and theorising in current literature display, the status of a community as equal stakeholder is often denied, disempowering and oppressing communities or individuals further, and cementing the role of the facilitator or practitioner as "saviour" instead of fellow apprentice.

David Fetterman (2008) refers to the tripartite partnership between community, the evaluator (or practitioner) and the donor in his empowerment evaluation theory[50]. As stakeholders, however, communities need a measurement tool to measure their own development and success; something practitioners often ignore in a bid to prove the success of their project. Okagbu (1998:30) states that "follow-ups simply become nothing more than a feedback for the outside experts… not…a mechanism for making intervention agencies more responsive to the needs of the community".

In terms of the ethics of a successful tripartite partnership, I would suggest a deposit-allowance-withdrawal model to which all stakeholders agree. Each stakeholder *deposits* that which they are able to contribute to the programme, e.g. funds, time, ideas, suggestions or knowledge as well as contribute to other stakeholders' needs; *allow* the other stakeholders to function within their limitations which includes understanding and respecting these boundaries and restraints; and *withdraw* from the programme what each stakeholder needs. As every stakeholder is required to *deposit* something, it

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[50] Fetterman (1996: online resource) describes Empowerment Evaluation as a method to afford communities with a theoretical tool that uses "evaluation concepts, techniques and findings" as well as "qualitative and quantitative methodologies" to evaluate and assess their own development.

creates a more equal footing, allowing the power to be distributed more evenly than in many top-down outsider approaches.

Ardendsen (2014: 22) defines the ethics of evaluating applied theatre as the "'right' or 'wrong' about intentions, decisions and actions relating to the evaluative processes". The responsibility of intended and unintended change brought about by programmes or projects as well as the well-being of the participants lay with the practitioner. As such, a practitioner has a moral and ethical obligation to be honest with stakeholders about what changes, if any, occurred.  Jennings and Baldwin (2009: 15-16) calls attention to the fact that practitioners should ensure that "evaluation procedures deliver as much value as possible to a range of stakeholders", and this includes the communities in which the programmes take place. Evaluation and/or assessment procedures should thus be set up with all stakeholders in mind, and not to appease one at the expense of the other. Outcomes, objectives, aims and goals should be listed truthfully, not wishfully, and evaluated, assessed and reported on as such. Due to the nature of applied theatre, working with transformation and human behaviour, programmes usually also have unintended outcomes[51]. Jennings and Baldwin (2009: 20) state that practitioners are "accountable to present information on unexpected outcomes, both positive and negative".

In conclusion, ethics in applied theatre is hard to define and the desire to "do good" does not ensure that a programme is morally just or right. Practitioners have an ethical responsibility towards all stakeholders, including the communities in which programmes are facilitated and the organisations funding them. This ethical responsibility requires practitioners to be mindful of how, why and where they intervene, interact and invest and to be truthful about possible outcomes of their programmes, as well as to the actual outcomes realised. Ethics affect the monitoring and evaluation of programmes in having a moral obligation to do the best for the programme, the community and the funders, evaluating both the negative and the positive, reporting truthfully. Ethical assessment and evaluation also consist of asking difficult questions of ourselves, organisations, communities, outcomes, abilities, possibilities, change, success and failure despite whether we would like the answers or not. Applied theatre practitioners should also be aware of where and with whom the power resides and is shared as well as whose agenda they and their programmes are serving. In short, Fisher (2005: 247) summarises stating that the consideration of all ethical possibilities of applied theatre practices is "crucial to the planning and implementation of all applied theatre projects."

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[51] To paraphrase Eisner (2007: 424) in an applied theatre context: Participants will always learn, experience or change more than expected due to the unique frame of reference of each individual. Individuals will make different and unique connections to the subject matter, connection that a practitioner have no way of anticipating beforehand.

## 2.5 Resistance to evaluation

As the very nature of applied theatre contradicts the belief of "art for arts' sake", so the notion that applied theatre performances cannot or shouldn't be evaluated for impact is in direct contradiction with its core principles. However, as discussed in the following section, some practitioners resist the idea of evaluation or assessment of applied theatre programmes, projects and performances.

Gjaerum (2013: 348) did a literature study using sources and conducting interviews between 2000 and 2010 on the main themes[52] present in applied theatre literature. An *effect discourse*, i.e. the evaluation or measurement of programmes or impact, was the third most employed theme in the principal literature after *legitimisation* and *ethics*.  These discourses correlate with the four prevalent issues that Prendergast and Saxton (2009: 187) identified based on their practice of applied theatre, of which they list *assessment* as fourth, behind *participation, aesthetics and ethics*. Gjaerum (2013: 354) proposes two clear attitudes with regards to evaluation and assessment based on his research; those opposed to evaluation and those supporting it. He states that those opposing it find that effect measurement can be a "quite suspicious act that appears as porous." There are various reasons practitioners feel that it is not necessary to evaluate applied theatre programmes or performance; from the statement that there is no need to evaluate art, to problems with assessment, funding, time and trust. I will briefly discuss these reasons.

As seen in the previous section on aesthetics, some practitioners regard their applied theatre work as a pure art form and believe as such that it should not be evaluated for impact, but rather critiqued for artistry. Osnes (2014: 68) claims that this forms part of the reason that "not enough applied theatre gets evaluated to demonstrate the impact it often has".

The lack of appropriate evaluation and measurement methodology contributes to practitioner resistance to evaluation or measurement of programme outcomes and impact, as practitioners feel that the measurement tools and techniques do not measure the *real* impact of an applied theatre programme. In lieu of an evaluation method or technique that measures perceived change, comprehension and interpretation is often measured, together with less-important (from an impact

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[52] The six most prevalent themes in applied theatre literature between 2000 and 2010 according to Gjaerum (2013: 347 – 8) are: the legitimization discourse, the ethics discourse, the effect discourse, the outsider-visitor discourse, the global economy discourse and the aesthetics discourse.

potential point of view) things such as cost per participant or number of audience members. Prendergast and Saxton (2009:24-25) quote Saxton and Miller (2006:134-135) on assessment, concluding that assessment is mainly concerned with "what is being interpreted rather than how it is being done [in recognition that] it is not possible to prove the success of applied theatre performances quantitatively". Jennings and Baldwin (2009: 24) add that "current evaluation processes provide little opportunity to capture unexpected behaviours of projects". As Chatikobo (in Chatikobo & Low 2015: 385) bluntly states "we have yet to develop tools to monitor and evaluate the impact of applied drama and theatre programmes".

The assessment of applied theatre programmes is often seen as a struggle to appease funders versus the measurement of the real impact of a programme. This is a recurrent theme in literature of both South African and international practitioners. O'Connor (2009: 584) comments that the "murkiest area is often the relationship between funders and applied theatre practitioners". Practitioners feel that they are pressured to measure quantifiable outcomes or forced to deliver evidence of the outcomes donors' prize, instead of assessing the positive, negative, intended and unintended outcomes of a programme. Sankar and Williams (2008:1) state that there is an increasing pressure to "demonstrate the impact of … programmes" and that this need to prove impact can have a negative impact on delivery and facilitation. He continues to say that "a focus on 'improving' could be more meaningful".

Practitioners thus often find themselves having to evaluate or measure a programme according to predetermined techniques set by funders that do not accurately measure impact or outcomes nor correspond to the design and process of their projects. Lennie, Skuse, Tacchi and Wilmore (2008:2) paraphrase Sankar and Williams (2008) when they describe current assessment and evaluation methods as "top-down and donor driven", "based on pressures to 'prove' impacts" instead of a more desirable "bottom up [and] participatory" method which aims to improve "programmes in ways that meet community needs and aspirations". Lennie, Skuse, Tacchi and Wilmore (2008: 6) refer to this as a prove/improve dichotomy present in the evaluation and assessment of applied theatre.

Many practitioners then seemingly revert to techniques that only evaluate and measure to please donors. Doing a second evaluation or assessment to measure programme outcomes, impact or success will imply a higher cost as well as be time consuming, as the same work is being done twice, albeit in different ways. Sankar and Williams (2008: 1) agree by stating that it is difficult to "design evaluations that both 'prove' and 'improve'".  Prendergast and Saxton (2009: 26) comment that there are an "extraordinary range of strategies that promote the efficacy rather than the efficiency of an applied theatre project". The forcible measurement of the 'success' of a programme can therefore

foster sentiments of resistance to evaluation and assessment. It is quite often seen as a waste of time as it does not measure those outcomes that would allow practitioners to make decisions regarding the improvement of a programme, or one that allows them to measure the success of their interventionist strategies.

A study conducted by Khutan (2014: 141) on the evaluation of applied theatre programmes from various applied theatre companies operating in prisons, cites the following reasons given by the companies for not evaluating programmes: "some projects are short-term and do not require evaluation", time as a preventative factor, and "more interested in doing good work with offenders than evaluate everything we do". The time restraints to do a comprehensive evaluation as well as a lack of money to pay for it, can therefore be seen as a recurring theme in applied theatre assessment. Many practitioners would also rather be continuing with their work, than putting time aside to do programme evaluation, whether for donors or for their own potential improvement.

I found it interesting that one of the respondents of the questionnaire conducted in the empirical study[53], was not interested in the impact of their short-term projects. I operated under the initial assumption that all facilitators were interested in whether the outcomes of their projects were reached, regardless of whether these outcomes are change, information, awareness or enjoyment. Does this reply imply that the impact of short-term work does not matter, only whether the work is done? Does it imply that long-term work is more worthy than short-term work? As discussed, one of the main issues with assessment and evaluation of applied theatre programmes, is that practitioners feel that it is something thrust upon them from funding organisations to justify money spent, as well as to be eligible for more funding. Or, does the statement simply imply that the company is not depended on outside funding for shorter projects? Unfortunately, my attempt to follow-up and clarify this statement was unsuccessful.

In conclusion, the resistance to assessment in applied theatre is varied, not necessarily due to a negative connotation to the principles of assessment or evaluation, but rather to the instruments thereof. There is a minority of practitioners that imply that their work should be aesthetically critiqued instead of developmentally evaluated or assessed, but this argument is in contradiction with the core principles of applied theatre. It can therefore be assumed that many practitioners are resistant to evaluation and assessment, because they lack the methodology and tools to do so successfully. Practitioners are also caught between a donor agenda assessment and programme orientated

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[53] The empirical study is discussed in detail in Section II.

evaluation, a position which is costly, time-consuming, confusing and often in contradiction with the aims and outcomes of programme.

## 2.6 The need for assessment

At the heart of applied theatre is the desire to bring about some sort of social transformation or change in individuals, groups, situations, comprehension, attitudes, circumstances, oppression and/or behaviour. As Snyder-Young (2013: 2) remarks, "artists doing Applied Theatre want to make change". Gaskell and Taylor (2002: 1) point out that there are countless reports of how applied theatre changes lives, but that "literature describing empirical studies of its effectiveness is sparse". Change[54] according to Freebody and Finneran (2016: 1) always occurs when an individual or group encounter the creative arts and this change can be "ephemeral or long-lasting: visual, emotional or cognitive, intentional or accidental, the hoped-for outcome or an individualised reaction". However, they are adamant that "something does change". Many practitioners claim that *something does change but* cannot provide qualitative proof to justify their claims. Practitioners thus have various reasons for assessing and evaluation programmes: from trying to prove the success of projects, to programme improvement to satisfying donors' requirements. This section will proceed to discuss the need for assessment of applied theatre programmes, as well as the various reasons for assessment.

The need for change evaluation or impact assessment should be self-evident because of practitioners of applied theatre's desire for a change to occur in their audience (Somers 2008: 66, Taylor 2006: 93, Dinesh 2005: 34); whether it be a change in attitude, behaviour, knowledge, awareness, understanding or education. Without proper evaluation or assessment, it is however difficult to confirm that the desired change occurred. The how, what, why and where to assess is not always easily identifiable, and Gjaerum identifies (2013: 354) "questions of *why* measure applied theatre's process/products; *for whom* we are measuring and *how* do we measure" as the three most prevailing discourses centred on applied theatre assessment and evaluation between 2000 and 2013.

A growing number of academics and practitioners are canvassing that not only the outcomes of planned social change should be measured, but the entire range of positive and negative, intended and unintended outcomes of applied theatre programmes (Ackroyd 2000: 2, Dalrymple 2006: 214). It should also be noted that unintended outcomes are not necessarily positive and can be to the detriment of participants or the programme. Ackroyd (2000: 2) argues that whilst evaluation is required to know

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[54]Change is a very complicated term and will be discussed in detail in Chapter 3.

what difference applied theatre makes to participants' lives, she also states that "research is required to look at the efficacy of applied theatre in its various forms". Thompson's (2009: 6) remarks that if practitioners only aim to evaluate and assess big, planned changes, it is easy to "miss aspects of practice that could strengthen its claims".

The notion that elements of change, however small or seemingly insignificant, can be ignored or overlooked because they do not fit into pre-determined brackets or outcomes, feels somewhat in conflict with the process of applied theatre; a process which relies on input and contribution from participants. As each individual has a unique way of relating to the world based on their pasts, there is no way to guarantee (or know) all of the possible outcomes, or to accurately predict the extent to which objectives will be fulfilled. Thompson (2009: 116) refers to the unintended outcomes as "unarticulated by-products" and Snyder-Young (2013: 8) contends that these unarticulated by-products are often "what meets a projects' interventionist goals". Francis' (2011: 25) statement that "Forum Theatre cannot aim to deliver a predetermined outcome", makes one reconsider if predetermined outcomes should ever form part of applied theatre programmes, especially if the unintended outcomes ensures transformation!

I refer to such an encompassing evaluation and assessment method, i.e. evaluating and assessing the entire programme with positive, negative, successful, failed, intended and unintended outcomes, as holistic evaluation and assessment practice, which is also in line with ethical practices discussed earlier. A holistic approach to evaluation and assessment can aid the programme steer clear of repeated adverse or harmful outcomes.

Assessing possible, unintended and presumed change is important when intervening in the lives of individuals or communities, as Nogueira (2006: 230) points out that, because practitioners "do not have evidence of change [it] does not mean that changes are not in progress". Snyder-Young (2013:8) demonstrates her statement that unintended outcomes can have "powerful impacts on participants and audience members" by citing an example of Paul Heritage's work with incarcerated boys, when he staged a reading of Romeo and Juliet. For him the jarring juxtaposing of boys who were able to read the difficult text fluently and the boys who were sounding out the text word-by-word, spelled failure for the programme and for him as practitioner. Upon glancing at the audience, however, he realised that their experience of the reading was the total opposite of his. They were in amazement that the boys were able to read and recognised that they are willing to put in hard work to succeed. The change in attitude of the audience members towards incarcerated boys were not an intended outcome, but an outcome with enormous consequences nonetheless. Snyder-Young (2013: 8) concludes by warning

that "performance is always doing something" and that it is up to the artists to "recognise and articulate what that something is and why it has value to stakeholders".

Another argument is that assessment is necessary to know what the impact on the participants and their communities is, especially in relation to attitude and behaviour change and the unintended changes that the applied theatre process produces (Ackroyd 2000: 2). The impact of a programme is another issue that is hard to define, but one which can also contrast with the original expectations of practitioners. Prentki and Etherton (2006:140) state that impact can take the form of "the material, the physiological, the psychological, the social and the cultural". Practitioners thus need to be very clear and concise about what their objectives are, how they will set about achieving them and how these objectives will be measured in terms of impact and success.

The desire to know what brought about perceived change and how it was brought about is another reason for applied theatre programme assessment. Mohan (2002: 6) questions "whether the interactions onstage translate into changed norms and behaviour offstage," and Prentki and Etherton (2006: 140) stipulate that assessment concerning impact and long-term behaviour change is needed to measure the "alterations in attitude and behaviour that are registered in the long term, sometimes over years and generations". The notion of whether change occurred, how change occurred and whether change is sustained (if a long-term transformation was one of the intended outcomes of a programme), is one that can only be answered through appropriate evaluation and assessment methodology.

Evaluation of applied theatre programmes is important to all stakeholders involved and it is necessary to keep all stakeholders in mind when developing both the programme and programme assessment. Practitioners need to know which areas of the programme are successful and which areas need to improve to better serve the community in which they work or the organisations that fund them. Lennie, Skuse, Tacchi and Wilmore (2008: 2) argue that programmes need a "rigorous assessment of … impacts that [meet] the need for programme improvements in response to community feedback". Sponsors need measurable outcomes to justify monies spent; as they are not actively involved in the projects and quite often only receive written reports on which to build opinions.

Communities need to evaluate applied theatre projects to judge whether an intervention is working or not. Eskamp (2006: 32) argues that true community development can only occur when the target community develop a critical consciousness about intervention programmes. Durden (2011: 11) states that the community is the "primary stakeholder" in applied theatre projects and as such should partake

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in the evaluation of the programmes. She further argues that the involvement of the community in evaluation can "further build commitment and investment in the project by the community". It is important that the assessment technique used is relevant to the community it serves (Prendergast and Saxton 2009: 24; Etherton & Prentki 2006:140). Sankar and Williams (2008: 2) state that "there is a strong need for evaluations that assess not only asking what works, but also asking for whom in which circumstances".

In conclusion, practitioners evaluate and assess their programmes for various reasons, but should ensure that they follow an inclusive holistic methodology that correlates with the ethics surrounding applied theatre, always aware why we are assessing, for whom we are assessing and how we are assessing.

## 2.7 Problems with assessment and evaluation in applied theatre

Assessment in applied theatre is fraught with difficulties. Behaviour or attitude change is a complex issue and as our daily lives are filled with different influences, we are bombarded by information and we interact with different experiences and people. It is extremely hard to argue that any of these external factors was the sole reason for change in a community or individual. "Proving" that change was brought about by participation in a theatre process, programme or performance alone, is thus very challenging. This section aims to analyse at the hand of a literature study and using two South African examples to illustrate the difficulties affecting effective assessment and evaluation of applied theatre projects.

Interactive theatre practitioners, in their zeal to aid social transformation through theatre, often overlook the fact that individual change forms part of bigger social actions and interventions. Change can generally be contributed to several things that happened or is happening to the participant and it is hard to "prove" that theatre is the main or only catalyst for a perceived change or transformation (Nogueira 2006: 230, Dalrymple 2006: 215, Snyder-Young 2013:7, Durden 2011: 11, Jennings & Baldwin 2009:24). However, applied theatre has many unique attributes that lead to inspiring, aiding and supporting transformation or change. Ahmed's (2004: 9) hypothesises that, "what theatre can offer which no other artwork can, is confrontation and communication with the other in terms of an almost-tactile human experience, bypassing the conscious censors".

Practitioners, however, should be very aware of the limitations of applied theatre. By choosing to only evaluate certain outcomes or acknowledge certain contributions which put the project in a more

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positive light or by misinterpreting the triumphs of a programme, practitioners are not truthful about what programmes really achieve (Chinyowa 2013: 204, Thompson 2000: 103). As discussed in the section on ethics, it is the moral responsibility of practitioners to be realistic and honest about claims, objectives and outcomes.

Many misleading assessment and evaluations of programmes and trumped-up claims by practitioners (*not* academics) in specifically (but not exclusively) the African context, might be due to a lack of knowledge. Not only of evaluation and assessment methodology, but also of the applied theatre process. Because no governing or ethics body exists, regulation of the field is non-existent. Many practitioners in the African context are not formally trained in either applied theatre or evaluation and assessment methodology; and do not have access to the necessary resources. As no network for peer education or the sharing of good practice exists outside universities, grassroots practitioners are often left to their own devices.

A South African example of the above dilemma can be found in The Africa Centre for HIV/AIDS Management in Stellenbosch's educational drama piece entitled "Lucky, the Hero". This performance unfortunately illustrates the gaping hole between claims and actual outcomes, vague and misunderstood objectives, lack of skills, practitioner as saviour narrative, as well as the misappropriation of assessment and evaluation methodology.[55]

The uniqueness of each project and each community as well as the participatory nature of applied theatre makes programme impact difficult to measure using traditional standardised methods (Eskamp 2006: 102, Cabral 2002: 18, Somers 2008: 85). Applied theatre practitioners use a variety of measurement techniques to try and accurately assess change and impact. Although this variety is testament to the practitioners' desire to effectively measure the success and outcomes of their programmes or projects, the variety and number of different assessment methods make standardisation and comparison difficult.  These approaches are described as "evolutionary, varied, participatory and highly content dependent" by Sankar and Williams (2008:2). Unfortunately, a method that works for one practitioner, does not work well for another programme or practitioner due to context, ethics, programme objectives or outcomes. Various measurement techniques are used by various applied theatre practitioners to prove change. Although some practitioners advocate their methods or techniques as absolute, almost all these methods have a weakness that is either highlighted

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[55] Please refer to Appendix D: *Problems with the evaluation of applied theatre, South African Examples* for a discussion of the example.

by practitioners themselves, or is evident in what it measures, e.g. understanding, and what it omits to assess, e.g. long-term behavioural change. Interactive Theatre practitioners, in the absence of more appropriate tools, frequently rely on methods like questionnaires or discussions, methods which only succeed in measuring understanding.

A South African example[56] of the lack of an appropriate assessment and evaluation tool and the varied assessment methodologies used to try and accurately measure impact, can be found with Karos & Kambro. This is a South African applied theatre organisation that uses skills development programmes to "provide a behaviour change vehicle and help to stimulate healing and a transformation process in the lives of vulnerable youths" (karosandkambro: 2013).

In conclusion, applied theatre assessment is challenging due to several factors. It is difficult to ascribe behavioural or attitude change solely to applied theatre practices, as all external influences and internal motivation and desire form part of behaviour change. Practitioners occasionally revert to unethical assessment and evaluation practices and claim social transformation by both manipulating process and evaluation, or by being less than truthful about what was achieved. A lack of skills in terms of assessment and evaluation can result in misleading and false claims regarding the outcomes of projects, as well as in using assessment and evaluation methodology incorrectly. A lack of training on the part of practitioners can lead to ignorance regarding assessment and evaluation and the lack of a governing body or ethics committee leaves practitioners to their own devices for better or worse. Assessment and Evaluation need to be made-to-measure for each programme to suit each project's individual needs. The use of ineffective measures frustrates practitioners as these are time-consuming and do not measure actual impact, often only succeeding in measuring awareness or comprehension.

**2.8 Conclusion**

Assessment and evaluation of applied theatre programmes are complicated and fraught with difficulties and contradictions. Since the shift of focus away from instrumentalism in practice, value is given to aesthetics in terms of the enhancement of programmes, but also in terms of transformative powers. Some applied theatre practitioners strive for recognition as artists and for their work as art and us, as a whole, must reclaim our artistic abilities in relation to applied theatre work. Some resistance to evaluation and assessment exist in the field, but this is due more to a lack of appropriate

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[56] Please refer to Appendix D: *Problems with the evaluation of applied theatre, South African Examples* for a discussion of the example.

tools to measure the impact of a programme than an unwillingness to evaluate programmes. Often donors force a top-down evaluation approach on practitioners which does not measure real impact.

It should always be clear why assessment is taking place, for whom assessment is taking place and whose agenda is served by this assessment. Once these conditions are clarified, practitioners should ensure that they partake in a holistic assessment and evaluation process, i.e. a process which is ethical, adds value for all stakeholders and measures all the outcomes of a project, negative and positive, intended or unintended.

For me one of the most compelling arguments for the assessment and evaluation of applied theatre programmes come from Prendergast and Saxton (2009:188), when they argue that "with appropriate assessment, the field of applied theatre will grow and develop. Without it the field will always remain vulnerable, subject to the economic bottom line and the whims of those who can help us make this work happen".

## Chapter 3: Change

### 3.1 Introduction

What is change? Change in its original form means to take something and to make it into something else, or as the online Cambridge English Dictionary (2017) defines, "to make or become different". Change is however not as easy to define when used by applied theatre practitioners. Change is used to describe the observable or non-observable *becoming different* of practitioners, participants, group members, audience members and/or actors after engaging in an applied theatre production, performance or programme. This difference can be fleeting, short-term, or long term and can apply to attitude, behaviour, knowledge, feelings, empowerment, action or awareness.

However, despite the focus on change in applied theatre, it seems rare for practitioners and academics to refer to change theories or behavioural change models. I often wonder how many practitioners have made a study of change before proposing to implement planned change in communities or audiences. A wider knowledge base regarding change can contribute to applied theatre programmes, not only in planning the appropriate activities to instigate change, but also in understanding programme limitations and consequently influencing programme design. In order to accurately *measure* change, one needs to understand what it is and how it works.

This chapter aims to investigate the meaning of change as well as some of the theories and models relating to change. The difference between a theory of change and a model of change can be explained as follows: a *theory* is generally a set of generalized or broad statements, whereas a *model* is the application of a specific theory and usually applicable to a certain situation. Glanz (2012: 4) defines theory as something that "presents a systemic way of understanding events, behaviour and/or situations" and Turner (2012: 2) states that "social science theories are better understood as models that work in a limited range of settings, rather than laws of science which hold and apply universally".

I will first attempt to briefly outline change, what it means, types of change and how change works. I will then discuss behavioural change theory, Lewin's change theory, The ADKAR change management model, the Outcomes Star, social cognitive theory, the Rickter® scale, theory of change and the experiential learning cycle. I will briefly deliberate on resistance to change at the end.

## 3.2 What is change?

There are many different types of change and each type of change needs a unique strategy to instigate or manage the process, transition and transformation it seeks. The different types of change as identified by various leading academics will be briefly discussed in this section.

Change can be seen as organic or driven. The HEFCE Good Management Practice Project (2014: 6) defines *organic change* as change that starts at grass-root level and transitions upward, and *driven change* as a top-down approach to change. Ideally change in applied theatre projects will be organic, a change that starts in the community and transcends to those in power, however as many applied theatre programmes are facilitated by outsiders, with or without the input of the communities in question, I think that a combination of organic and driven change is used by most practitioners. The balance between the two types should be managed, because the moment change becomes more driven, it implies that the community's needs, culture and well-being are not the most important, but rather the wants and desires of the practitioner.

Ackerman (1997) identifies three types of change: developmental, transitional and transformational. She states that most change management tools are very effective in supporting developmental and transitional change, but highly ineffective when it comes to affecting transformational change (Anderson & Ackerman 2010: 2).

Anderson & Ackerman (2010: 2) label *developmental change* as the most simplistic form of change as it "improves what you are currently doing rather than [creating] something new". The HEFCE Good Management Practice Project (2014: 6) explains developmental change as a type of change which focuses on skills and/or process improvement and one which seeks to improve and develop existing characteristics or aspects. Developmental change is classified as that which already exists, "is continually improved but no radical progress is achieved or aimed at" by the Business Dictionary Online (2017). This type of change would be typical of organisations trying to improve expertise, functions or effectivity. No major upsets or radical changes are made, the current state is improved and enhanced. Developmental change would not be what most interventionist applied theatre performances aim for.

*Transitional change* aims to change to a different desired state from the current one according to the HEFCE Good Management Practice Project (2014: 6). The online Business Dictionary (2017) defines transitional change as a "shift in the way a process is completed" citing as an example the automation of a manual process. This type of change can be radical, as e.g. automation of a process would mean job losses and retraining of retained employees. Anderson and Ackerman (2010: 2) acknowledge that transitional change requires that an organisation (or community) must disassemble themselves and reassemble into something completely new but *known*. Transitional change can be distinguished from transformational change by two factors: first, the end-goal is known and change or transition can thus be carefully planned and executed to achieve that state and second, "people are largely impacted only at the level of skills and actions, not on the more personal levels of mindset, behaviour and culture" (sic) (Anderson & Ackerman 2010:2). Although transitional change thus requires the current state to transition to a new one, people are not impacted on a personal level and as a result not as emotionally upset.

*Transformational change* is the most far-reaching and drastic type of change. The end-state is unknown at the start and only "determined through trial and error as new information is gathered" (Anderson & Ackerman 2010: 2). It is furthermore so far removed from the current state "that people and culture must change to implement it successfully", with "new mindsets and behaviours" (sic) required (Anderson & Ackerman 2010: 2). It "requires a shift in assumptions made" and can result in "structural, procedural, cultural and strategic change" (HEFCE Good Management Practice Project 2014: 6), is designed to impact the entire organisation (or community) and takes some time to transpire (Business Dictionary 2017). Due to the unknown, end-state traditional methodology is unsuccessful in attempting to manage this type of change as it is unpredictable and non-linear (Anderson & Ackerman 2010: 2). Transformational change can only be successful if the people involved are positively involved and engaged as they need to change fundamentals about themselves in order to achieve the desired result. Quite often interventionist applied theatre projects aim for transformational change in participants.

Change can also be classified as planned or emergent. Planned change is measured, considered and planned; whereas emergent change reveals itself seemingly extemporary and unplanned. Emergent change can be the unforeseen by-product of decisions made about unrelated matters and can be due to "external factors" or "internal influences" (HEFCE Good Management Practice Project 2014: 6). It should be kept in mind that, just as with applied theatre project outcomes, planned change can also result in some unforeseen changes.

Weick and Quinn (1999: 365) characterise change as episodic or continuous. *Episodic* change is "infrequent, discontinuous and intentional". It is driven by outside forces and "tends to be dramatic" and usually seen as a "failure… to adapt…to a changing environment" (Weick & Quinn 1999: 366). *Continuous* change is "ongoing, evolving and cumulative"; it is driven by internal forces and constantly evolves and adapts to a changing environment (Weick & Quinn 1999: 366, 375). Episodic change is often typified through the replacement of a system, strategy or programme with something new, whilst continuous change is typified by the constant adaptation of ideas acquired from various sources (HEFCE Good Management Practice Project 2014: 7). Applied theatre projects often use episodic change to transform communities or individuals, as the projects are driven by external forces, demand a drastic change of attitude, culture or behaviour and the expectation is new behavioural patterns, e.g. in an HIV/AIDS related example to start using condoms and practising safe sex.

Change can furthermore also be social, individual, or organisational. Social change can be seen as a change in the social structure of a community. Form and Wilterdink (in Encyclopaedia Britannica online: 2017) classify social structure as the "distinctive, stable arrangements of institutions whereby human beings in a society interact and live together". Most importantly social structure is considered to be consistent and predictable. A change in this predictability brings about a change in "cultural systems, rules of behaviour, social organisation or value systems" (Form & Wilterdink in Encyclopaedia Britannica online: 2017).

Social change is an ongoing process, society constantly changes to adapt to challenges of technology, loss of natural resources, natural disasters and so forth. Such social change is usually a gradual process and the resultant long-term behavioural change takes a long time to be internalised. Slater (1991:10) states that society is in a "condition of chronic change". Social change has been described as evolutionary, where it is seen as the "manifestation of a natural law of progress"; or as cyclical, where society continuously respond to a challenge, solve it and settle in to a new order (London 1996: Online Report).

Social change strategies are organised into three categories by Chin and Benne (1969) namely the empirical-rational, the power-coercive and the normative-reeducative. Quinn and Sonenshein (2008: 70) refer to these three strategies as the telling strategy (empirical-rational), the forcing strategy (power-coercive) and the participating strategy (normative reeducative) in order to better explain the workings of the strategies. The *empirical-rational* strategy is of the opinion that an individual will change out of their own violation given the right conditions, e.g. the correct information, education

and training. Quinn and Sonenshein (2008: 69) clarify this approach by stating that "if the target has a justifiable reason to change, change comes from simply telling the target about the change".

The *power-coercive* strategy is concerned with one person forcing a person with less power to do as they say. Quinn and Sonenshein (2008:69) state that the "more powerful person imposes his or her will on a less powerful person" through a variety of techniques ranging from "subtle manipulation to the direct use of physical force". They also characterise this strategy as fast and effective, but that it comes "at the expense of damaging relationships, destroying trust, and forfeiting voluntary commitment" (Quinn & Sonenshein 2008:70).

A *normative-reeducative* strategy focuses on changing society from the bottom-up, it focuses on changing the individual in order to change the community (London 1996: Online Report). Quinn and Sonenshein (2008: 70) argue that this strategy differs from the other two as it does not use force or information to instigate change, but rather concentrates on changes in "values, skills and relationships". It also requires drastic changes from individuals and is based on experience-based learning.

Quinn and Sonenshein (2008: 70) argue that the forcing and telling strategies are used so often in daily life that it is considered "normal patterns of change". Social change theory is normally based on the participating strategy. The participating strategy takes a lot longer and requires more expertise than the other two systems and also undermines "normal assumptions about the need for control", but they argue that the participating strategy will lead to "long-term, sustainable, and deep change" (Quinn & Sonenshein 2008:70, 71). Quinn and Sonenshein (2008:71) also suggest a fourth strategy named Advance Change Theory (ACT) which is concerned with "self-transcendence" and thus called "the transforming strategy". This strategy proposes that individuals can become their own instigators of change when faced with a decision between "slow death" and "deep change" (2008: 71 - 73), in other words, individuals are faced with an 'adapt or die' situation and choose to adapt out of their own accord.

Organisational change is the type of change into which most research is conducted and towards which most change strategies and management are geared, as it is concerned with changing organisations such as big businesses. It is not always successful, mostly leaning towards failure, and fraught with difficulties (Kotter 1995: 59).

Individual change is aimed at changing the individuals that make up a group to change the group itself. The idea of changing the individual in order to change the group was introduced in the 1920s with Lewin's change theory and this theory still forms the basis for many change systems and models. London (1996: online report) argues that social change has a "great deal to do with individual motivation".

In conclusion, change can take on various characteristics. It is either organic or driven and can be classified as developmental, transitional or transformational. These three classifications can further be classified as planned or emergent and categorised as episodic or continuous. One could contend that, how you identify the intended change should dictate how you go about achieving your objective, as well as how you will measure the intended change. Applied theatre practitioners should therefore also be aware of the difference between social, organisational and individual change, as well as the different strategies present in social change – such as the telling, forcing, participating and transformative strategies – to decide which type of change strategy will work best for their programmes.

## 3.3 Behavioural Change Theory

*Behavioural Change Theories* and *Models* attempt to examine and understand why behaviour change occur. Glanz (2012: 5) states that social science theories and models "help explain behaviour, as well as suggesting how to develop more effective ways to influence and change behaviour". Various behaviour change models and theories exist, with each having its own unique viewpoint or way of explaining why behaviour change happens. I will briefly discuss the main behavioural change theories and models used in the social sciences.

*Social Norms theory* is concerned with the misconception between the perceived norms and actual norms of a group of peers (LaMorte online report: 2016). Berkowitz (2004: 2) explains that the incorrect gauged norms of a group by an individual is called "pluralistic ignorance" and one of the effects of this phenomenon is that it causes "individuals to change their own behaviour to approximate the perceived norm". This means that if an individual overestimates so-called problem behaviour in their peer group, the individual will adjust his or her behaviour to match that of the perceived behaviour. Once the misconception is addressed, the problem behaviours dissipates (LaMorte 2016; Berkowitz 2004: 3-4).

The *Health Belief Model* surmises that an individual's belief regarding the life-threatening risk of a disease, as well as his/her belief in the success of various actions to prevent death, impacts on whether or not they are mobilized to take action (Ganz 2012: 8). LaMorte (Online Report: 2016) reasons that the two principles on which the model is founded is the "desire to avoid illness" and the "belief that a specific health action will prevent, or cure, illness". The Health Belief Model is primarily used in healthcare situations, but I felt inclined to include a brief explanation of it in this study, as many applied theatre performances deals with health issues such as HIV/AIDS prevention.

The *Diffusions of Innovations* theory was developed by Rogers in 1962 and attempts to explain how an idea or innovation spreads through a community until it is either rejected or becomes the accepted norm. Rogers (2003: 5) defines the theory as a "process in which an innovation is communicated through certain channels over time among members of a social system". In order for a person to adopt an idea or innovation, i.e. decide that the innovation or the idea trumps current ones and adjust their behaviour accordingly, they have to perceive the idea as new or innovative. Different persons adopt ideas at different rates, which is referred to as adopter categories and consist of innovators, early adopters, early majority, late majority and laggards[57] (LaMorte 2016: online report). An individual goes through four stages for the innovation to diffuse, namely awareness, decision to adopt, initial use of the innovation and continued use of the innovation.

*Social cognitive theory* explains behaviour as a "three-way, dynamic, reciprocal" model consisting of interactions between personal factors, behaviour and the environment (Glanz 2012: 16). It was originally developed as social learning theory by Bandura and postulates that learning happens in a social context and that people learn through own actions, but also through observation of the actions of others (LaMorte 2016: online report). Bandura developed the theory in opposition to theories that contribute all human behaviour to internal forces, as he argued that internal forces cannot explain all of man's actions (Bandura 1971: 1). Social cognitive theory is discussed in more detail later in this chapter (see section 3.6).

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[57] The *innovators* are part of the population who either invent ideas or are eager to try things first. Nothing needs to be done to encourage this part of the population to change. The *early adopters* are usually leaders open and willing to change. They need little persuasion and/or information to change. The *early majority* is the part of the population that adopts ideas before the average person, but they need evidence before they commit to change. The *late majority* part of the population is sceptical of changes and only willing to try it once the majority of the population has adopted. The *laggards* are extremely sceptical of change, traditional and set in their ways. They are the hardest group to convince to adopt.

The *Transtheoretical* or *Stages of Change* model was developed by Prochaska and DiClemente and its underlying principle is that people will change when they are ready to do so. It focuses on individual decision-making and argues that behaviour change does not occur "quickly and decisively", but that that it occurs through a cyclical process (LaMorte 2016: online report). Glanz (2012: 12-13) states that five stages are necessary for behaviour change, namely precontemplation, contemplation, preparation, action and maintenance[58], but that these stages are cyclical, allowing an individual to regress to a previous stage dependent on motivation.

## 3.4 Lewin's Change Theory

I will devote this section of the chapter to discussing and illustrating Lewin's change theory[59] as most change theories, assessment models and change management models are based on this theory – see for instance Kritsonis (2005), Lippit, Watson and Wesley (1958), Mitchell (2013), McKinsey (2008), Kotter (1995) and Bridges (2009). The process Lewin developed engages individual group members to commit to changing their behaviour as a group and holds central the theme that individuals cannot change in isolation and that change should occur at all levels of a group or community for sustained change to take place.

Lewin conceptualised a three-step model of change which consists of unfreezing, moving, and refreezing. This analogy of change can be described as changing the shape of a square block of ice firstly by unfreezing the ice cube and secondly by refreezing it into a cone shape (NHS Academy 2011: 1). *Unfreezing* refers to the realisation that change is needed and creates motivation to change. During this stage the positive and negative factors of the proposed change is weighed and motivation for change only occurs if the positive aspects outweighs the negative aspects.

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[58] During the *precontemplation stage* an individual sees no reason or need to change.  An individual starts thinking about changing during the *contemplation stage.*  An individual starts planning for imminent change in the *preparation stage.* During the *action stage* which lasts about six months, and individual starts adopting new habits. Lastly, during the *maintenance stage* an individual is continuing with the adopted behaviour.

[59] Lewin's change theory makes use of various terminologies to describe the various phases and types of change that contributes to Lewin's theory, e.g. force-field theory (which is concerned with the forces working for and against change), field theory (how a person's interaction with their environment affects change), organisational change theory (which states that an individual cannot change in isolation from the group) etc. I use the term 'Lewin's change theory' to refer to the theory in its entirety.

Lewin (1943: 46) argues that people prefer to operate in safety zones and that a lot of motivation is needed to initiate unfreezing as most people will act resistant to change. He refers to the safety zone as the equilibrium and that change can only be achieved if the equilibrium is upset to such an extent that people are forced to move in a certain direction (Lewin 1943: 46). An individual's background provides them with security, as well as with comprehension as to how to decode situations or actions and instructs them how to act. This is called the "ground" to which a person is rooted (Lewin 1935: 145-146) and forms the grounds for their behaviour and actions. Uncertainty of the "ground" often "leads to uncertainty in behaviour" (Lewin 1935: 147). When the ground is tampered with, a person's security and beliefs are threatened, and an individual can then be moved to change. If change initialisation is thought of in terms of threatened security and a challenge to an individual's background, it is easy to comprehend why the majority of people are resistant to change – see section 3.9 for a more detailed discussion on the resistance to change.

*Moving* is concerned with the process of transition between the current state and the changed state. This transition takes place internally once changes are being made. The transition stage can last for a long period as people need to re-establish an equilibrium with regards to new systems, beliefs and behaviours and it is only once stability ensues that refreezing occurs, and the change can be deemed successful. Lewin (1943: 47) calls for upsetting the forces that stabilise a culture or group to rearrange or reinvent "the constellation of forces" during the moving faze.

*Refreezing* is concerned with the sustaining of the changed state through internalising the changes made, and by its effect on relationships and other sectors of everyday life. Once a "new cultural pattern" is established, or a new arrangement of forces is created, a new equilibrium is reached which becomes the new established norm (Lewin 1943: 47).

Lewin theorised that the forces surrounding planned changed are intertwined and complex and make it near impossible to successfully predict intended outcomes. It is only through a trial and error process that specific outcomes can be achieved. Lewin's force-field theory is defined as a "dynamic balance of forces working in opposite directions", with the driving forces that facilitate change forcing people in the desired direction and hindering restraining forces driving people in the opposite direction (Kritsonis 2005:1, 2).

Burke, Lake and Paine (2009) describe Lewin's organizational change theory as a theory which focuses on changing group behaviour as individual behaviour cannot change in isolation from the group or community of the individual. Lewin (1939:77) states that individuals can have induced

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goals, i.e. goals that were set by others, or own goals, i.e. goals that were set by the individual and that these own goals are "deeply influenced by the social standing to the group to which he belongs or wishes to belong" (Lewin 1939:72). He also theorised that the individual depends on the group to create context or reality and the individual operates within this perceived reality (Lewin 1945: 57). This implies that individuals operate within a specific context created by membership to a certain group and that this group influences the decisions, behaviours and goals of the individual. Therefore, an individual can only change if the group changes.

These statements were demonstrated by the Lynedoch Youth Theatre Project that I facilitated, and which was initially intended for youths between the ages of 9 and 13 who displayed behaviour and attitude problems, struggled in school, showed a general apathy and were seemingly on the verge of joining gangs[60].

The drama programme was deemed successful with regards to immediate observable behavioural and attitude changes as well as the development of interpersonal skills: participants' truancy records improved drastically, their academic performance increased, their attitude towards teachers, facilitators and older people in general improved a lot, fighting decreased, their interest levels in possible careers and outside interests peaked, they worked hard towards the performances, workshopped their own plays, gained confidence, developed and increased social and language skills, and even won two awards at a local schools theatre competition. These changes were an enormous accomplishment for the participants, seen in the light that the dire circumstances at home did not change.

As the applied theatre programme was deemed a success, we received the go ahead to continue with the programme the next year. Unfortunately, the immediate behavioural and attitude changes that were observed, disappeared in those participants who turned 14 and as such were excluded from the group the following year. It was clear that the drama group, together with the aftercare support, created a safe and secure environment as well as a sense of belonging, something that was obviously missing from home. As the group dynamic changed, positive change was observed in the individuals' behaviour and attitude, but the moment they left the togetherness of the group, they reverted back to their old behavioural style. This observation led to the creation of activities for children 14 years and older at the aftercare, to encourage and enable the behavioural and attitude change sparked by participation in the initial applied theatre project. The project was also enlarged to include participants

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[60]Please refer to Appendix C for a more detailed discussion of this case study.

from as young as five years to afford them the opportunity of longer participation in the programme and to encourage permanent behaviour and attitude change.

Lewin (1947: 34 - 35) theorised that change ("permanency") should be sustained for a desired period before it can be heralded as behaviour change, as change is often present but short lived after intervention. In order for permanent behaviour change to occur, all aspects of a group or community have to change (Lewin 1943: 45). The above case study illustrates the statement that the group members changed their behaviour whilst belonging to the drama group. I surmise that is because they saw their affiliation with the group as the strongest influence in their lives at that time. However, since their home circumstances did not change, the behaviour change could not achieve permanence. Lewin (1945: 59) states that by anchoring new behaviour in a group, the "individual stabilises behaviour" and that keeps them from reverting to old habits. The moment the group that stabilised the behaviour change of the theatre programme participants ceased to exist, the group members reverted to old behavioural patterns.

The implications of Lewin's organizational change theory are vast when applied to the assessment of applied theatre, especially as one of the ideas behind the movement is to change individual behaviour within a community in crises to ultimately benefit the entire community. The fact that a myriad outside forces affect planned change, and that it is difficult to accurately predict the outcome of change, are ideas that are shared by many applied theatre practitioners as seen in the previous chapter. Quite often one of the "by-products" of planned changes in a programme becomes one of the main outcomes or focuses when programmes are assessed and evaluated. An example of this can be found with a youth intervention programme I facilitated at La Motte near Franschoek[61].

Originally the intervention programme was mainly concerned with a theatre skills training programme for high-school youths, aimed at identifying community problems. This was done by creating and performing a self-scripted play to the community in order to create a narrative platform from which to positively address change and facilitate conversations regarding change needed. As the programme progressed, the drama process became a narrative platform for the ills and concerns of the community and grew to be all-consuming. Many of the problems were voiced by the participating youths, but as the programme continued, more and more adults attended – despite repeated attempts to establish boundaries and create alternative channels for communication – and used the time to voice their concerns. This culminated in informal community meetings, as well as

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[61] Please refer to Appendix E for a concise description of the project.

formal meetings between the community and local government officials, which were used as opportunities to identify problems as well as work towards solving them. Although positive movement for change was created by the intervention programme (intended change), the attendance dropped as participants were inspired to find part-time jobs to improve their circumstances (unintended change).

Lewin's (1947: 34) statement that change towards a "higher level of group performance" is often short-lived after the "shot in the arm" of intervention (Burke, Lake & Paine 2009: 233) is another problem that applied theatre practitioners experience (and disagree upon[62]), but one that is also demonstrated by the intervention programme at La Motte. After a frenzy of activity of meetings and the drawing up of duties and responsibilities, the motivation to change drizzled out, especially when it transpired that some of the desired changes had to come from within the community. As the attendance of the drama programme had lowered dramatically I could not advise the sponsor that funding of the next cycle will culminate in increased attendance; and the programme cycle was thus completed and then terminated. With the external stimulus of the drama programme removed, the community fell back into established routines, seemingly without any change to their circumstances. Support for the original participants in the intervention programme stopped, most dropped out of their part-time jobs and reverted back to old behaviours of truancy and aimlessness[63].

Lewin (1945: 58) argues that "re-education", i.e. conversion to different behaviours, values and beliefs, should not solely consist of learning new skills, but should allow individuals to acquire a "new system of habits, standards and values", something that was lacking in the La Motte intervention programme. Lewin (1945: 60) further theorises that "even extensive first-hand experience does not automatically create correct concepts", a surmise also demonstrated by the mentioned intervention programme. Participants had concrete experiences about the positive changes that a part-time job brings, but that was not enough to encourage permanent behaviour change as Lewin (1945:66) expands on a previous statement, citing that change cannot be "brought about item by item". As the

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[62] Some practitioners still argue that once-off performances by outside groups are enough to bring about behavioural change despite evidence to the contrary. Even participatory programmes or skills training projects are not guaranteed to instigate the change sought by project designers. The problem of immediate assessment of change versus the long-term assessment of behavioural change is discussed in more detail in Chapters 4 and 5. A South African example can also be found in Appendix D: Example 1.

[63] Based on a three month and six month follow-up visits to the community during which the original participants and community leaders were interviewed.

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whole community did not change, the individual group members belonging to the drama group could not sustain permanent change, especially when the outside stimulus was removed.

Lewin's change theory has far reaching implications for applied theatre programmes with regards to individual and community behavioural change goals and objectives. The community cannot change unless change occurs at individual level, whilst individual change will not be sustained unless all elements of the community changes. Lewin's theory thus implies, for example, that HIV/AIDS intervention programmes cannot achieve the success they desire unless the intervention programme targets the entire community. Programmes aimed at e.g. safe sex practices for teenagers cannot succeed unless the underlying culture of the entire community they live in changes. Community culture can only change if every community member is convinced of the positive force of change and moved to alter their values, beliefs, attitudes and behaviour accordingly. As the individual operates within the perceived reality or truth of the group, applied theatre practitioners will have to challenge the perceived context. Lewin (1945: 62) states that the "possession of correct knowledge does not suffice to rectify false perception", a statement proven by the lack of long-term behaviour changing evidence of HIV/AIDS awareness programmes and performances aimed at increasing awareness and knowledge with audience members. This statement is in direct opposition with the statement of the 2012 National Communication Survey on HIV/AIDS, which found that awareness campaigns had a positive effect on areas such as "condom use, uptake of HTC and male circumcision", but not with regards to safe breastfeeding practices (Avert 2017: online report). However, there was a reported 140% drop between 2013 and 2014 in HIV/AIDS prevention programmes in schools, as well as a marked drop of 10% and more in condom use by men of all ages between 2008 and 2012 (Avert 2017: online report). It should also be noted that Statistics SA published in 2015 that there was a decrease in new infections whilst the South African National Aids Council announced an increase in new infections in woman in 2016. This serves as an example of the many confusing and often contradictory statistics regarding the prevalence of HIV/AIDS and new infections in South Africa. The problem with quoting statistics, especially out of context in terms of how the information was gathered, etc., is that there is no way of knowing what contributed to change. Merely stating that awareness programmes had a positive effect does not prove that it did, especially in the light of all the educational programmes, free availability of condoms, etc. The task of interventionist programmes aiming to create change thus becomes much larger than the intended target audience.

In conclusion, Lewin's change theory postulates that individual change should occur for group change to occur. However, individuals cannot change in isolation from a group and behaviour change has to be rooted in a new group status quo in order for it to be sustained. Individuals perceive the world

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through reality created by groups, and misconceptions of the perceived reality cannot always be rectified by merely providing correct or alternative knowledge. Strong positive forces have to be initiated for change to start for individuals to *unfreeze. Transitioning* is the period during which new behaviours are learned, new attitudes adopted, and new value and belief systems are created. The transition period can last for a long time and it is only once a new stability or equilibrium is reached that *refreezing* occurs, i.e. when the new behaviours and systems are accepted as the new status quo by the group. Sustained change can only be achieved if all the elements of a group change, it cannot be achieved by changing bits of culture or habits. Immediate change usually occurs directly after an intervention, but this change seems in most cases short-lived.

## 3.5 Assessment methodology based on Lewin's change theory

The term 'action research' was originally coined by Lewin in 1944 and was the title of Lewin's 1946 essay on the subject entitled: "Action Research and Minority Problems". Action Research was a development of Lewin's theories on change and Lewin conducted various Action Research experiments (Adelman 1993). Since Lewin's initial conceptualisation of Action Research, the model and theory guiding it has developed and morphed into various models, tools and techniques widely used today. As Chapter 5 deals with action research in more detail, I will only briefly discuss Lewin's original surmise on Action Research in this section. This section will consist of a concise example of a model based on Lewin's change theory, namely the ADKAR change management model, Lewin's original ideas on Action Research and a short discussion of a model based on Action Research.

### 3.5.1 ADKAR Change Management Model

Prosci (www.prosci.com/adkar/adkar-model 2017) describes the ADKAR model created by Jeff Hiatt as a "goal orientated change management model" on their website. ADKAR is an acronym that stands for the five steps in the model, namely aware, desire, knowledge, ability and reinforcement. The model is concerned with change at individual level which then transpires to organisational change. The ADKAR model promotes sequential change.

The five steps in the change process are actionable steps taken in sequence by an individual to achieve lasting change. These five actionable steps identified are very similar to the five steps of the cyclical *stages of change* theory explained earlier in this chapter. *Awareness* is concerned with the reasons for change and the danger or risks of not changing and therefore, during this step, the discussion is also centred on why the change needs to happen now (www.prosci.com/adkar/adkar-model 2017). The

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ADKAR awareness e-book highlights that the awareness goal is defined as the "awareness of the need to change" and not "awareness that a change is happening" (2017: 3). Without knowing why the need to change exists, individuals are highly unlikely to change on their own accord (Calder 2013: 1).

*Desire* is concerned with the motivation necessary to initiate and complete the change. Without motivation individuals might resist change. Desire requires that an individual actively chooses to change, Prosci (ADKAR desire e-book 2017: 3) defines desire as "a personal choice that is influenced by the nature of change and by personal circumstances". During this step the positive and negative aspects of a person's desire to change should be investigated, as the positive aspects should outweigh the negative ones in order to create the necessary impetus for change (www.prosci.com/adkar/adkar-model 2017). Building awareness is not the same as creating desire and without desire the change process will fail (Calder 2013: 2).

*Knowledge* focuses on the "education and training needed" to develop the "skills and behaviours necessary to move forward" (www.prosci.com/adkar/adkar-model 2017). According to Calder (2013: 6) necessary information is provided to the individual and as individuals are not always knowledgeable of new behaviours or norms, they require the correct information to show them how. During this step individual requirements regarding possible training or education should be acknowledged and provided for change to occur.

The next step is concerned with *ability* and is concerned with the mastery of skills learned during the knowledge phase. The step can last for a considerable amount of time as individuals aim to grasp new systems, behaviours, beliefs, values or norms and be comfortable executing it. Ongoing "coaching and support" is needed during this step (www.prosci.com/adkar/adkar-model 2017). Calder (2013: 7) explains this step as one where knowledge turns into action, as knowing how to do something is very different from actually doing it.

During the *reinforcement* step, investigations should be launched to ascertain that the necessary elements to keep individuals from reverting back to old behaviours are present. Any incentives should be reinforced and consequences for failing to continue behaviour should be highlighted (www.prosci.com/adkar/adkar-model 2017). Calder (2013: 7) emphasises the importance of recognising the small changes made by individuals on their journey to the larger change, especially those who triumphed over adversity, as this will encourage them to continue with their change process. Reinforcement is very important as Prosci (ADKAR reinforcement e-book 2017: 3)

highlights that "for a change to deliver the expected results over time, it must be actively sustained" and that "making a change is hard but sustaining a change over the long term is even more difficult".

Prosci uses the example of changing to an exercise regime on its website to illustrate the working of the ADKAR model on individual level. An individual becomes *aware* of the need to exercise due to TV programmes or magazine articles describing the health benefits thereof. As awareness is not enough to create change, the individual would need to make a conscious decision to start exercising. The decision is based on motivations distinct to each individual and acts as the *desire* to change. A fitness expert, personal trainer, workout video or exercise class might provide the individual with the *knowledge* how to exercise correctly. This implies that you have to know how to change in order to be able to change. *Ability* is concerned with the difference between theory and practice. The knowledge gained has to be practised and this might require the individual to schedule time for exercise or doing personal sessions with an expert or training in order to further develop new found skills. For r*einforcement* this implies that the individual has put checks in place to keep him or her from reverting back to old habits and this can take the form of example a rewards system or exercise pal (www.prosci.com/adkar/adkar-model 2017).

In order to start the change process, individuals complete an ADKAR assessment test[64], from these actionable steps are identified which will aid with goal setting and change. The same assessment can be used to identify why change is failing and rectify it by taking new actionable steps. The ADKAR assessment test first requires that the change be clearly defined. It then lists the five actionable steps and asks certain questions at each step which the individual has to answer in relation to the proposed change. The individual also has to score each step on a scale from 1 to 5, with 1 being the lowest and 5 the highest factor. Once the assessment is complete, any score of three or lower are highlighted and addressed in order of appearance, in keeping with the sequential nature of change as promoted by the ADKAR model (ADKAR model overview e-book 2017: 17).

Prosci (2017: 16 – 17) also proposed actions and goals for every actionable step not satisfactory met during assessment in their "ADKAR model overview e-book". A higher awareness can be achieved through discussions and exploration of the advantages as well as the reasons for change. Resistance to awareness includes "a person's view of the current state"; "how a person perceives problems"; "the credibility of the sender" and "circulation of misinformation or rumours" (ADKAR Awareness e-book 2017: 9 – 11).

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[64] Please refer to Appendix F for an example of the ADKAR assessment Test.

For increased desire the positive and negative values an individual attribute to the proposed change should be investigated and the positive values enhanced to create a desire to change. Factors that influence the desire to change include: "the nature of change", how the individual would benefit from change, the context of the proposed change, the "personal situation" of the individual and "personal values and motivators". (ADKAR desire e-book 2017: 5 – 7)

If more knowledge is required the necessary skills training or education should be identified to develop the new behaviours or skills needed for change. Prosci (ADKAR knowledge e-book 2017: 5-7) identifies three factors that influence knowledge, namely the "current level of knowledge", a person's "capability to learn" and the "resources available for education and training".

Two steps are required to develop greater ability. Firstly, an individual should be given enough time to develop new behaviours and skills, and secondly, on-going support and training should be provided. Resistance to ability includes "psychological blocks", "the force of habit", "limitations in physical or intellectual ability, "time and priorities" and "the availability of resources" (ADKAR ability e-book 2017: 7-10).

Greater reinforcement is created by investigating if the correct incentives are in place to keep a person from reverting to old behaviour. Consequences of failing to adapt or change should also be highlighted. Prosci (ADKAR reinforcement e-book 2017: 5 – 7) identifies four influences on the success or failure of reinforcement namely, "the degree to which reinforcement is meaningful", "association of reinforcement with demonstrated progress or achievement", "the absence of negative consequences" and "accountability mechanism to reinforce the change".

The ADKAR change model is not in my opinion directly applicable to applied theatre programmes as it is more business orientated than community orientated. However, I do think that the ADKAR assessment model potentially offers a measurement tool to assess proposed change during the process as well as afterwards. A big advantage of the ADKAR change model is that it is free, with literature and information provided without charge. The five sequential steps of the ADKAR change model can provide practitioners with a guide to objectives and activities to reach those objectives, as well as with insight into what is needed to create lasting change. I find it illuminating that the model highlights the fact that change needs to be supported and reinforced over time for it to become sustained change, (in line with Lewin's theories on change) something that applied theatre programmes rarely seem to subscribe to.

### 3.5.2 Lewin and the conceptualisation of Action Research

Action Research (AR) and the later developed Participatory Action Research (PAR) was originally. Pain and Kesby (2007:9-10) describe Action Research as the term given to the "research process in which theory developed [is] tested by practical interventions and actions". Action Research (AR) is a popular method of researching and evaluating community projects as it involves the input of both the community and the researcher and allows researchers to actively test theories.

Lewin (1946: 202) stated that many social change programmes are unclear as to what objectives and goals they strive for and as such "lack… standards by which to measure progress". If no measure of achievement or success exists, it "deprives" practitioners of the "legitimate desire for satisfaction on a realistic basis" if a programme is successful, and learning cannot take place as it is impossible to assess whether "actions led forward or backward" (Lewin 1946: 202). Lewin thus proposes the use of AR to assess and evaluate programmes in that such a process will clearly state the social goals and objectives a programme aims to achieve. In this manner it will not only provide an authentic way to measure progress and success within the community but will also highlight which programme actions were successful in bringing about change.

Lewin categorised his AR activities into four types. Adelman (1993: 13 – 14) lists these as follows: the first one as diagnostic action research, which is concerned with a researcher developing an action plan for an existing situation or crisis. Second is participant action research, whereby community members are involved in the research from the start and ultimately responsible for finding an own solution. Third is empirical action research, which was a theoretical tool used to draw conclusions from certain social groups. Fourth is experimental action research which concerned itself with the effectiveness of the use of identical techniques in social situations with similar characteristics.

Lewin (1945: 205) states that AR has two types of research objectives, firstly one that investigates the "achievement of certain objectives under certain conditions" and secondly one that diagnoses a specific situation, which forms a two-step continual system. Within this system the first step is concerned with the assessment and evaluation of programme activities, objectives and goals. This provides opportunity for investigation into the strengths and weaknesses of a programme, as well as allowing for evidence gathering. This step, through all the information and evidence gathered, allows for informed decision making on what should happen next in a programme. The second step is

cyclical in nature, requiring the repetition of evaluation, fact finding and planning for a programme to develop, grow and succeed (Lewin 1945: 205 – 6).

As Chapter 5 deals with Action Research in more detail and as this section focuses on Lewin's change theory, I refrain from broadening this discussion with more current sources, definitions and applications.

### 3.5.3 The Outcomes Star

The Outcomes Star[65] is based on Action Research and Participatory Action Research[66] Methodology and was developed in answer to the "challenge of outcome measurement" (MacKeith 2011: 98). Triangle (www.outcomestar.org.uk), who developed the Outcomes Star, states that they used a bottom-up approach when designing the star in 2003, improving and retesting it periodically. The Star was originally developed for St Mungo's,  a British charity situated in London that provides housing, training and support for homeless individuals, to measure the outcomes of all their services and programmes and can be used to track individual, group or organisational outcomes.

MacKeith (2011: 98-99) states that outcomes (i.e. that which changes for the user) have become more important than outputs (i.e. what programmes are doing) during the past decade and that the Outcomes Star was created in answer to this shift in focus. She states that the star is designed to "both support and measure change when working with people". The Outcomes Star can be described as a family of stars, with different stars developed for different sectors or organisations, e.g. the family star, the mental health star, the homelessness star and the young people star.  MacKeith (2011: 100) states that there are eleven developed stars and seven in the process of development. The development of a unique star for each sector or organisation fits into Lewin's field theory, in that the individual and their environment is inimitably intertwined and should be treated as such.

MacKeith (2011: 99) explains the use of the star as follows. Every version consists of a number of scales from 1 to 10 arranged in the shape of a star, with each scale having a well-defined expectation

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[65] Refer to Appendix G for an example of an Outcomes Star.

[66] Participatory Action Research (PAR) is based on AR and was developed by Fals-Borde in collaboration with Freire's *Pedagogy of the Oppressed* and is based on three principles, namely empowerment, collaboration and integration. PAR is discussed in more detail in Chapter 5.

of behaviour and attitude. The star is based on a model of change[67], developed separately for each star, which clearly lists the goals and objectives for the journey of change. All aspects of the star are discussed by service workers and the individual and plotted on the star. A subsequent discussion at a later interval will result in a new plotted line and the difference between the two indicates the change that took place. According to the website typical intervals for interviews would be at three, six and twelve months (www.outcomesstar.org.uk/about-the-outcomes-star 2015). The process followed by the Outcomes Star is clearly linked to the two-step continual system identified by Lewin.

The "Inspiring Impact" website states that a lot of expertise and training are needed to use the star (www.inspiringimpact.org/listing/empowermentstar 2017). Costs are dependent on the size of the organisation and vary between £650 and £12 000, with annual licencing fees ranging from £170 to £660, again priding dependent of organisation size (www.outcomesstar.org.uk 2016).

The Outcomes Star can be used to measure applied theatre programmes outcomes and track individual or group changes with success, however the difficulty of using the system, the training needed, and the costs make it an inaccessible option to use.

## 3.6 Social cognitive theory

Social cognitive theory is a further development by Albert Bandura of his Social Cognitive Learning theory which "emphasises the role of observational learning, social experience and reciprocal determinism in the development of personality" (Cherry 2013: online article). Social Cognitive Learning is based on three principles: firstly that "people can learn through observation", that "internal mental states are an essential part of this process" and that "just because something has been learned, it does not mean that it will result in a change in behaviour (Cherry 2013: online report). Social cognitive theory builds from this premise. As some practitioners use social cognitive theory as the basis of their interventionist programmes I will discuss it without using case studies, as the uses of the theory will be illustrated in a later chapter.

Bandura (1995) theorises that a person's system of self is made up of attributes, abilities and cognitive skills which determine how a situation is perceived and how a person behaves in different situations.

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[67] According to Triangle, the model of change can be viewed as a ladder of change, i.e. the steps an individual needs to take to success. The claim is that this model is based on empirical research as well as literature in a particular field. (www.outcomesstar.org.uk/star-model-of-change 2015) Refer to Appendix H for an example of a change ladder.

Self-efficacy is an important part of the self-system. Efficacy, defined by the Oxford Online Dictionary (2013: online) as the "ability to produce a desired or intended result", is the ability of individuals to positively control life situations to allow the attainment of goals and desired futures versus undesired futures. Bandura (1995: 1) argues that such control leads to personal and social security and benefits, whereas the inability to control leads to apprehension, apathy and despair. Perceived self-efficacy is the "belief in one's capabilities to organize and execute the courses of action required to manage prospective situations" (Bandura 1995: 2) and influences the individual's actions, motivations, feelings and thinking processes. Bandura (1998: 51) states that individuals' beliefs in their abilities influence their choices, "aspirations, level of effort and perseverance, resilience to adversity and vulnerability to stressors and depression". In short, the more people believe in what they can achieve the better they are able to cope with everyday stressors, but also able to better function in terms of social and professional sectors by setting more challenging goals and achieving more.

Bandura (1995: 3) identifies four categories that enhance self-efficacy, namely (1) mastery experiences, (2) vicarious experience, (3) social persuasion, and (4) physical and emotional states. Mastery experiences relate to the enhancement of self-efficacy when an individual performs a task successfully, versus the undermining of self-efficacy when the individual fails. Mastery experiences can be defined as the "most authentic evidence" of whether a person can achieve something or not (Bandura 1995: 3). Bandura (1995: 3) warns that mastery experiences is "not a matter of adopting ready-made habits", but that individuals have to develop "cognitive, behaviour and self-regulatory tools" and that repeated triumphs over adversities create a resilient sense of self-efficacy. "Powerful" mastery experience is the best testament to a person's ability or "capacity to effect personal change" (Bandura 2006: 308).

Vicarious experiences provided by social models relate to the observation of peers "succeeding by perseverant effort" which raises self-efficacy, whilst the observation of failure lowers self-efficacy (Bandura 1995:3). The impact is directly related to the perceived similarities between the individual and the model, in other words, if someone similar to myself can achieve something, it convinces me that I can be successful too. Vicarious experience is more than a standard of judgement, but also a manner in which to convey knowledge and skills (Bandura1995: 4). Vicarious experiences can be seen as modelling behaviour.

Social persuasion is the enhancement of self-efficacy through verbal encouragement, but it is easier to undermine the sense of self-efficacy through social persuasion than to enhance it. Bandura (1995:

3) explains that social persuasion is more than just verbally encouraging individuals, but that it is also creating the opportunity and means for such individuals to succeed whilst avoiding "placing people in situations prematurely where they are likely to fail often".

Physical and emotional states are important as a positive mood will enhance and a downcast mood will decrease self-efficacy (Bandura 1995: 4). Bandura (1995: 5) further argues that it is not the "intensity of emotional and physical reactions, but how it's perceived and interpreted". Individuals who are able to reduce stress and negative emotions have more self-efficacy that those who don't. He also theorises that a lack of self-efficacy can lead to depression.

Bandura (1995:6) postulates that four major processes control human functions, namely cognitive processes, motivational processes, affective process and selection processes. Cognitive processes are concerned with how individuals think and perceive and consequently one of the most important processes as "most courses of action are initially originated in thought" (Bandura 1995:6). Part of the cognitive process is concerned with setting goals (Bandura 1998: 57-58). People that have more self-efficacy will set more challenging goals and work harder to achieve them, than those lacking self-efficacy. The perceived outcomes of a person's actions are referred to as an "outcome expectation" and may be "physical, social or self-evaluation" (Bandura 1998: 52).

Motivational processes are important towards achievement and perseverance, and mostly motivation is cognitively generated (Bandura 1995: 6). Cognitive and motivational processes are closely intertwined as goals that have been set, need motivation to realise it. Affective processes are concerned with the individual's ability to "exercise control over stressors" and how it affects them (Bandura 1995: 8). Cognitive, motivational and affective processes all allow a person to create a favourable environment as well as to "exercise some control over those they encounter day in and day out" (Bandura 1995: 11). Bandura states that the ability to affect outcomes "makes them predictable", which means that a person can prepare themselves for a situation. If a person is not able to predict outcomes, it induces apathy and despair. These processes control the "higher order self-regulatory skills" that an individual need to "diagnose task demands, construct and evaluate alternative courses of action, setting proximal goals to guide one's efforts and create self-incentives to sustain engagement in taxing activities and to manage stress and debilitating intrusive thoughts" (Bandura 2006: 308).  Motivation and affective processes are based on self-believe and not objectivity (Bandura 1995: 1). Selection processes refer to the fact that "people are partly a product of their environment", but that they can choose to try and change or accept that environment (Bandura 1995:

11). Bandura (1998: 61) argues that by exerting a choice over their environment individuals control what they become.

The implications of social cognitive theory in applied theatre are manifold. It implies that learning and/or behaviour change can be induced by observation, although there are many characteristics that such a modelling action should adhere to. It furthermore highlights the function of verbal encouragement as well as the importance of concrete experience. It is clear from Bandura's articles and books that change and learning are not as straightforward as merely watching a show. Therefore, adopting new habits, practitioners should be cautious of attributing notions of change to such an over-simplification of the theory. Observation, modelling behaviour, direct action and verbal encouragement are merely steps in the road to change.

The most significant part of the theory to me, is the benefits and possibilities of self-efficacy. In light of the lack of appropriate assessment methodology as well as the scepticism of some practitioners with regards to applied theatre's ability to instigate change, it might be more appropriate if we claim that applied theatre can enhance self-efficacy and therefor can instigate an opportunity for change in the individual that partakes in our programmes.

### 3.6.1 Self-Efficacy Scales

To measure self-efficacy, Bandura developed a paper-based assessment tool called self-efficacy scales which can be created for each unique situation. In this section I will discuss the meaning of self-efficacy in more detail, how the self-efficacy scale should be development and the working of this assessment tool.

Bandura (2006: 207) stresses that there is no one-size-fits-all approach to the measurement of perceived self-efficacy and that generalised questions would serve no purpose as it would be "divorced from situational demands and circumstances" and as such it would be impossible to know exactly what is being measured. He emphasises that *can do* should be assessed and not *will do*, as "can is a judgment of capability" and "will is a statement of intention", just as it should be ensured that questions focus on the present and not the future, as individuals tend to be more confident about what they can achieve in the future than what they feel they can accomplish now (Bandura 2006: 308, 313). Bandura (2006:309) warns that there is a difference between self-efficacy and self-confidence: *efficacy* "is a judgement of capability" whilst *self-esteem* "is a judgement of self-worth".

The perceived efficacy of a person should be assessed in context and against "levels of task demands", which rises or falls to present challenges to achieve a goal (Bandura 2006: 311). If the levels are too low, even those with the lowest self-efficacy will indicate that they perceive themselves able to achieve, and perceived efficacy is very much concerned with ability in the face of a challenge. The level assessment should be able to accurately reflect the "level of difficulty individuals believe they can surmount" (Bandura 2006: 311). The response scale[68] used to measure perceived efficacy is divided in units of ten, from 0 to 100. According to Bandura, this scale is the most effective to use as fewer units will not achieve an accurate measurement. People very seldom choose the highest or lowest possible unit and if there are too few steps in between, the scale will not measure a real sense of efficacy. It is for this same reason that the scale is divided in tens from 0 to 100 and not e.g. 0 – 10 or 0 – 5 (Bandura 2006: 212). Questions should not be ambiguous and subject to vigorous testing before being included in the scale (Bandura 2006: 315). When introducing and explaining the working of the scale to a respondent, Bandura proposes that an example assessment should be conducted which uses the idea of physical weight and the respondent's perceived ability to lift it[69].

The assessment should be recorded privately and without personal identification other than a number to "reduce social evaluation concerns" (Bandura 2006: 314). In other words, an individual should be able to complete the assessment without fear of others judging their answers (others including the assessor as well as the rest of the group or community). When testing a group or community, testing can commence in two ways. Firstly, individuals can complete a measurement on perceived self-efficacy and these scores are correlated to find a group measurement. Secondly, individuals complete tests on the perceived efficacy *of the group*. Once again these scores are correlated to find the group measurement (Bandura 2006: 316).

In summary, social cognitive theory states that an individual can learn through experience, observation and verbal instruction. Self-efficacy is the most important principle in a person's self-system as it is the belief in what one can or cannot achieve. Individuals with high self-efficacy are more motivated, driven and happier than those with low self-efficacy, as they are able to handle day-to-day as well as long-term stressors more efficiently in terms of trying to positively influence situations, but also in managing how stressors effect their emotions. They are able to set challenging

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[68] Please refer to Appendix H for an example of an efficacy scale as developed by Bandura and published in his 2006 article "Guide for constructing Self-efficacy scales".

[69] Please refer to Appendix I for an example of a practice efficacy scale as developed by Bandura and published in his 2006 article "Guide for constructing Self-efficacy scales".

goals and have the motivation and perseverance to realise these goals. Mastery experiences, vicarious experiences, social persuasion and enhanced physical status all influence levels of self-efficacy. Self-efficacy functions through cognitive, motivational, affective and selection processes. Bandura (1998: 52) theorises that "efficacy beliefs, are therefore, the foundations of actions". When measuring self-efficacy, assessors should measure the perceived efficacy of a current situation, use well-tested questions and only test perceived efficacy of the present. The efficacy scale used to measure should be divided in steps of ten between 0 and 100 in order to obtain the most reliable score. Bandura (2006: 317) emphasises that the measurement method used should not "change what is measured".

### 3.7 Assessment tools based on social cognitive theory: Rickter® scale

The Rickter scale is an example of an assessment tool and methodology based on Bandura's efficacy scales. The premise of the Rickter® scale is very much the same as Bandura's efficacy scales[70], except that users use a slider to appoint value to a question[71] instead of marking it down with a pen on paper. It was developed in 1993 by Rick Hutchinson and Keith Stead in order to measure soft-indicators[72] and distance travelled by an individual. According to the official website of the Rickter® scale, it is a model that focuses on "goal setting and action planning" and measures "self-confidence, self-esteem and self-efficacy", indicators that the company states are "likely to bring about generative and lasting change" (http://www.ricikterscale.com/ 2017). It is defined by the Scaling New Heights group (2012: 5) as an "assessment and action planning process".

The Ricker® Scale is a hand-held board with a marked magnetic overlay on the left-hand side and sliders marked from 1 to 10 on the right-hand side[73]. The magnetic overlay is divided into various headings like e.g. employment, accommodation or money. During the first session a person will be asked to assess their current feeling regarding a theme using the slide, e.g. money, and will then be asked to use the scale to indicate how they want to feel regarding the theme. The practitioner and

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[70] Keith Stead Associates, the company who designed and owns the Rickter® scale, only mentions Bandura as an influence in passing, indicating that other theorists and theories also influenced the production thereof. The similarities between their scale, methodology and theory and Bandura's writings are, however, more than just passing coincidence.

[71] This indicated value on the slider is recorded by the facilitator, referred to as a *Rickter practitioner*, during the evaluation session. Practitioners are trained for one day by Keith Stead Associates to become an "accredited" Rickter practitioner.

[72] The Scaling New Heights group (2012: 5 – 6) defines *soft change* as the "outcomes from training, support or guidance such as increased confidence or better time management, which unlike hard outcomes such as qualifications and jobs, are likely to describe an individual's journey rather than their destination". Soft Skills development garners momentum until a saturation point where the soft outcomes become hard outcomes.

[73] Refer to Appendix J for a photo of a Rickter® scale.

participant will then work on an action plan to reach the goal. During the second interview the participant will be asked to indicate how they currently feel about money. This indication will then be assessed using their answers of the first interview and any change would be acknowledged and this process will be repeated until the desired goal is reached.

Hughes (2010: 2) indicates that the Rickter® scale measures five levels of change: (1) resistance to change ("obliviousness, unconscious incompetence or outright resistance"); (2) "contemplating a change at some vague point in the future"; (3) readiness to "set goals" and/or "formulate a plan"; (4) "readiness to take the necessary action"; and (5) "acceptance" that a situation needs review and "respond[ing] appropriately". These levels of change help to pinpoint where an individual is in relation to desired change and aids with the development of action plans and goal setting. Individuals are also required to employ their personal history of what worked and what didn't in various life stages in support of a workable action plan and as such, the Rickter model is described as a process which allows individuals to make sense of their own lives and identities (Scaling New Heights 2012: 9).  Rickter practitioners are schooled in ways to support, develop and aid participants towards achieving and setting goals and Hughes (2010: 3) claim that this collaboration enables participants to achieve more than they would have on their own.

Advantages of the using the Rickter scale is that it "measures what it intends to measure" and that it seems an effective method of communication (http://www.rickterscale.com/ 2017).  A disadvantage is the fact that it is hard to contribute change to any one event or methodology and that Rickter practitioners should be wary of claiming change solely due to using the Rickter scale (Hughes 2010: 5). Practitioners should also keep in mind that answers can be interpreted in a variety of ways.

The main problem with using the Rickter scale is the cost. Costs quoted on the company's website indicate that every board costs £85, every customised overlay costs £25, and training is costed at £100 per individual with a minimum of eight persons trained. In my opinion the same advantages of using the Rickter scale can be achieved by using Bandura's efficacy scales, a free option that can be employed in various applied theatre settings using paper and pens, flipcharts and stickers, or by simply putting pebbles in a hole to indicate a value[74]. I also feel that the Rickter scale's claims of change is unsubstantiated, but that it could be an excellent model for goal setting and action planning.

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[74] This method has been used to great effect by applied theatre practitioners in rural settings using Participatory Monitoring and Evaluation. Refer to Chapter 5.4 Participatory Monitoring and Evaluation.

## 3.8 Theory of change

*Theory of change (ToC)* is a tool originally used by those working in the social science field to develop "solutions to complex social problems" (Anderson 2005: 1). Anderson (2005: 12) offers the following definition of TOC: "a theory of change is the product of a series of critical thinking exercises that provide a comprehensive picture of the early- and intermediate-term changes in a given community that are needed to reach a long-term goal articulated by the community". Weiss (1995:66) simplifies this definition by stating that ToC is the theory that explains how and why a programme works. In this section I will investigate the definition of theory of change, how it can be implemented and the implications for applied theatre programmes.

Anderson (2005: 1) explains that in its most simplistic form a ToC explains how short and medium-term results will produce sustained long-term change; a more complex ToC will stipulate the processes necessary for the change to occur, how short and long-term outcomes will be documented, as well as attempt to explain why these processes will produce change. Weiss (1995: 69) states the ToC serves four purposes, namely that it: (1) "concentrates evaluation attention and resources on the key aspects of a programme", (2) "facilitates aggregation of evaluation results into a broader base of theory and programme knowledge", (3) "asks programme practitioners to make their assumptions explicit and to reach consensus with their colleagues about what they are trying to do and where, and (4)  that "evaluation that address the theoretical assumptions embedded in programmes may have more influence on both political and popular opinion". Weiss (1995: 72) adds that ToC ensures that evaluations are "good reflections of the things that matter". In short ToC attempts to explain why change occurs, maps how change occurs, document the short and medium-term change that will result in long-term change, aids with useful evaluation and programme direction and may legitimise programmes socially and politically by basing it on well-devised theory.

The "Community Builder's Approach to Theory of Change" (2005: 3) argues that in order to develop a ToC, practitioners or facilitators should be able to answer "exactly who or what is going to change, over what period of time, and by how much, at every single step in an often complex process" and how resources and processes will be used to create short and medium-term changes that will constitute in long-term change. Once this is established, a *pathway of change*[75] is created that maps out the purposed change from inception to end. The pathway of change links actions and outcomes and draws associations between different outcomes. Each long-term outcome or goal will have its own pathway

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[75] Please refer to Appendix K for an example of a pathway of change.

of change drawn up (Community Builder's Approach to Theory of Change 2005: 3). Specific terminology is used to map out change in the pathway of change. *Precondition* constitutes everything on the pathway to change, as a specific outcome has to be realised for the next logical outcome in the sequence to take place and this is especially relevant in terms of medium and long-term outcomes. *Outcomes* are the short and medium-term changes necessary to reach the final goal. *Indicators* are the measurements of success of outcomes and goals and can be quantitative or qualitative. *Interventions* are the action(s) taken to realise outcomes and goals and can consist of an action, programme or change initiative.  *Assumptions* are the explanations or theories of why the change process will be successful, an assumption thus explains why a particular sequence of outcomes will produce the desired change and can be either theoretical or practical. (Community Builder's Approach to Theory of Change 2005: 5-7) (Anderson 1995: 35)

To create a ToC the following five steps are required: (1) identifying long-term outcomes, (2) developing a pathway of change, (3) operationalising outcomes, (4) defining interventions, and (5) articulating assumptions (Anderson 2005: 10). Step 1 is concerned with the process defining of the long-term outcome(s) of the programme. The process should be democratic, inclusive and attended by all stakeholders or their representatives (Anderson 2005: 17). After the outcome(s) are defined, the decision should be made operational by answering the following questions: "What indicator(s) will we use to measure success on this outcome", "In what population will we look for a change in these indicators", "What is the current status of our target population on the indicator(s)", "How much does our target audience have to change on these indicators in order for us to feel that we have successfully achieved the outcome" and "How long will it take the target population to reach our threshold of change on the indicator(s)" (Anderson 2005: 19).

Step 2 is about developing a pathway of change. This step plans the intended change step by step and should be inclusive and representative of all stakeholders. The most important question to continually ask through this step is: "What are the necessary and sufficient preconditions for" an outcome to succeed? (Anderson 2005: 19). The pathway should move in a logical sequence, starting with short term outcomes and moving towards the long-term goal. It is important to try and keep the pathway as simplistic as possible without ignoring outcomes integral to the programme (Anderson 2005: 21).

Step 3 concerns operationalising preconditions and may be a very time-consuming stage, especially if a lot of outcomes have been identified as every outcome has to be dealt with separately. Helpful questions to aid operationalising for outcome(s) include: "What indicator(s) will we use to measure success for this outcome", "Who or what do we expect to change", "What is the current status or our

target population(s) on the indicator(s)", "How much does our target population have to change in order for us to feel that we have successfully reached the indicator(s)" and "How long will it take the target population to reach our threshold of change on the indicator(s)" (Anderson 2005: 22).

During Step 4 the various programme interventions are devised, which means that actions, programmes, policies and/or strategies are mapped out for every outcome. It is important that participants realise that they will not have control over all the outcomes originally identified and that they focus on devising interventions for the ones which they are able to control. Every outcome also must be categorised as one dependent on outside influences (i.e. out of the control of the programme), one dependent on previous outcomes (i.e. one outcome in a chain of outcomes), or one for which an intervention can be devised (Anderson 2005: 23).

Step 5 is concerned with articulating assumptions and consists of participants reviewing all the theory of change elements to ensure that the correct pathway exists to reach every outcome or goal. During this step participants have to decide whether the ToC created is feasible, plausible and testable. A plausible ToC has a pathway of change that will lead to the long-term goal of the programme. A feasible ToC implies that the programme has the necessary resources and capacity to achieve the required outcomes of the pathway of change. A testable ToC means that success can be clearly measured, that indicators for outcomes and goals are clearly defined, and that progress can be reliably tracked (Anderson 2005: 25). The questioning of assumptions is an important part of the process as a wrong assumption means that change cannot and will not take place.

Weiss (1995: 87) identifies four main problems with ToC, namely theorizing, measurement, the problematic nature of theory testing, and interpretation. The problem with grounding a programme on a theory is the sheer "inherent complexity of the effort" (Weiss 1995: 87). It is a difficult task to analyse all assumptions, outcomes, indicators and so forth that makes up the theory, especially as all stakeholders are involved in decision making. The development of "techniques for measuring the extent to which each step has taken place" (Weiss 1995: 88), can be problematic as some of the outcomes are not easy to measure in conventional terms. It is also not always possible to measure everything in quantifiable ways, although that would be the ideal. The testing of theories is problematic due to the theoretical nature of assumptions (Weiss 1995: 89). It is difficult to know whether a theoretical assumption will hold true in practice. The problems with interpretation is concerned with the generalisation of theories and Weiss (1995: 89) questions whether it would be possible for a theory that worked for one community will work for another, especially in terms of if the same logic is followed, whether the same outcomes will be achieved. The success of any theory

is questionable, as it is very difficult to attribute outcomes specifically to interventions, and (unmeasured) external influences and conditions could be responsible for changes observed.

Hollister and Hill (1995: 128) refer to the "counter factual", that which "would have happened in the absence of the programme initiative". The establishment of the counter factual is problematic – whether before or after interventions and initiatives – as communities are in a constant state of change with various non-related and related internal and external influences. Methods such as input and output benchmarks, and/or comparison groups (which are used with regularity during programme evaluation and assessment) are not infallible and have pitfalls (Hollister & Hill 1995: 129 – 147).

In conclusion, the theory of change methodology allows practitioners to draw up a detailed map of the desired change in conjunction with stakeholders. ToC is a democratic process which asks of participants to clearly define the long-term objective(s) or goal(s) of a programme. Participants are further required to identify short and medium-term outcomes of a programme, the necessary indicators to measure it, and the interventions that will create the desired outcomes. The change is sequential and everything in a pathway of change is considered a precondition. The entire process is based on an assumption of why and how the change will be brought about. If this assumption is wrong, the process will fail.  Practitioners of ToC should be aware that theory cannot necessarily be generalised and that it is difficult to contribute specific change to specific activities or strategies. The process is extremely time consuming at the start and some training is required to implement the process.

In terms of applied theatre programmes, the theory of change would be an asset if long-term change is the desired objective of a programme or project, as it would allow practitioners to map out the pathway to change, identify outcomes, indicators and interventions. The measurability of the indicators will go a long way to satisfy funders' requirements for proof and as short-term, medium-term and long-term goals are identified, practitioners will be able to substantiate claims of change at these intervals. The inclusion of all stakeholders is also in accord with the desired inclusivity of applied theatre. Some knowledge with regards to the process is required, but this can be obtained from various guides on the subject.

The negative aspect of ToC is that it is very complex to draw up and extremely time-consuming at the start of a programme. The complexity of the pathway cannot be detoured, as skipped outcomes will result in a non-sequential pathway and a wrong assumption.

## 3.9 The experiential learning cycle

The applied theatre process, especially searching for methodologies appropriate to programmes, lends itself to Kolb's experiential learning cycle[76] (1984). Kolb theorises, based on the research of Gressler (2013: 140), that theatre is entirely based on experiential learning as it incorporates all the elements of the cycle in order to effectively communicate with the audience. The cycle consists of four stages which are in constant circular motion. Even though the experiential learning cycle is not a change theory, it is a very effective learning tool and correlates with some of the change theories and change management systems discussed in this chapter. I will briefly discuss the working of the cycle and the implications thereof for applied theatre practitioners.

The experiential learning cycle forms part of Kolb's experiential learning theory which is based on six core principles which are: "learning is best conceived as a process, not in terms of outcomes", "all learning is re-learning", "learning requires the resolution of conflicts between dialectically opposed modes of adaptation to the world", "learning is a holistic process of adaptation to the world", "learning results from synergetic transactions between the person and the environment", and "learning is the process of creating knowledge" (Gressler 2013: 6 – 7). The cycle and learning theory is therefore based on a person's learning of knowledge, the understanding of the knowledge, the interpretation of the knowledge and how a person acts on the knowledge.

Kolb (1984: 38) defines learning as "the process whereby knowledge is created through the transformation of experience". The four stages are concrete experience, reflective observation, abstract conceptualisation and active experimentation. The first stage, concrete experience (i.e. the actions undertaken) leads to reflective observation, which allows the learner to evaluate the actions undertaken in terms of failure or success, etc. Reflective observation leads to abstract conceptualisation, where the learner builds on what s/he has learned during the first two stages, by acquiring new knowledge, reflection or comparisons to come up with new ideas or theory, finally arriving at active experimentation where the learner plans how to put the new theories into practice, before starting at stage one again to test the ideas.

The learning cycle, especially seen in the light of change theories such as social cognitive learning, lends itself to becoming part of the change theory of an interactive process based applied theatre programmes or productions. Participants go through all the elements in the cycle, perhaps more than

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[76] Refer to Appendix J for a diagram of Kolb's learning cycle.

once and Bandura's theory states that this type of learning and experimenting provides the impetus for change.

## 3.10 Resistance to change

One of the main difficulties of any change process is the resistance to change by individuals, communities and groups. Any change process is traumatic, whether this change is positive or negative. Kotter and Schlesinger (2008: 3) state that even "positive or rational change" involves "loss and uncertainty". Slater (1991: 10) states that "change is always inconvenient". In this section I will briefly discuss why people are resistant to change and the implication thereof for applied theatre.

Resistance to change can be broadly categorised as passive or active resistance. Passive resistance is the continuation of old practices and behaviour despite knowledge and training in the newly required practice and behaviours. Active resistance takes the form of arguments and challenges from individuals regarding the imminent change (Hultman 2003; HEFC Good Management Practice Project 2014).

The HEFCE Good Management Practice Project (2014: 32) argues that people are resistant to change, because they feel as if it "devaluate[s] previous experiences". People react emotionally to losses they attribute to change. The change process has been psychologically linked to the grieving process, with people going through the following five stages: "shock and denial, distrust, anger and guilt, depression, anxiety and stress, regret and acceptance" (The HEFCE Good Management Practice Project 2014: 49 – 50).

Kotter and Schlesinger (2008: 3) identify four reasons why individuals resist change. Firstly, they experience the "desire not to lose something of value", Kotter and Schlesinger (1979) refer to this step as "patriarchal self-interest" stating that it concerns the "what is in it for me" mind-set, i.e. I will only change if it benefits me personally. Secondly, individuals resist change because they misunderstand the proposed "change and its implications" (Kotter & Schlesinger 2008: 3) and experience a "lack of trust" (Kotter & Schlesinger 1979). Thirdly they are of a "belief that the change does not make sense" (Kotter & Schlesinger 2008: 3) and have a "different assessment" of the situation (Kotter & Schlesinger 1979). Lastly individuals might have a "low tolerance for change" (Kotter & Schlesinger 2008: 3). Kotter and Schlesinger (2008: 4) conclude that all "human beings are limited in their ability to change".

To overcome resistance to change, Kotter and Schlesinger (1979) identify six approaches that deal with the issue. Firstly, education and communication should be employed to educate and inform people before the proposed change takes place. Participation and involvement encourage people to become part of the change and thus empower them to take ownership of the change. Facilitation and support encourage the implementer of change to actively listen and address the worries and fears of those going through the change and to support them as needed. Negotiation and agreement propose the possibility of compromises and incentives. Manipulation and co-option are about the symbolic inclusion of those resisting change in decision making. Lastly, explicit and implicit coercion is the use of threats to get a quick result, although this is a high-risk approach.

The NHS Northwest Leadership Academy (2011) lists five basic principles of change that must be understood to effectively manage change. Firstly, they conclude that "different people react differently to change" (NHS Northwest Leadership Academy 2011: 1). Every individual has their own change preference, whether that be stability or constant change or somewhere in between. When individuals are involved in a situation that challenges this preference, e.g. if a person who prefers stability and, as a consequence dislikes change finds themselves in a fast-changing environment, they will resist the proposed change.

The second principle of "everyone has fundamental needs that have to be met" (NHS Northwest Leadership Academy 2011: 1) are based on Schutz's FIRO[77] theory of behaviour and implies that all individuals have the desire to be included, to be in control of something and the need for openness. This means that throughout the change process individuals desire to be included in the decision making process, that they want to feel that they are in control of a certain aspect thereof and that they are part of some social interaction with regards to change. If any of these needs aren't met, a person will resist change.

Thirdly NHS Northwest Leadership Academy (2011: 2) states that "change often involves a loss, and people go through the loss curve", as described in the grieving process earlier. "Expectations need to be managed realistically" (NHS Northwest Leadership Academy 2011: 2) are the fourth principle identified and is concerned with the relationship between reality and change. Individuals cannot be

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[77] Schutz's FIRO theory was published in 1958 and is an acronym for Fundamental Interpersonal Relations Orientation. FIRO theory categorises human behaviour on three levels, each with three types of behaviour. Behaviour consists of inclusion, control and openness. Feelings consist of significance, competence and likability. Self-concept consists of aliveness/self-significance, self-determination/self-competence and self-awareness/self-like (www.thehumanelement.com 2016).

promised unrealistic outcomes or benefits as this will cause resistance and negativity. Lastly the fifth principle is that "fears need to be dealt with", an issue which is described earlier in this section (NHS Northwest Leadership Academy 2011: 2).

To conclude, the change process is always difficult, but can be managed to diminish the emotional response and loss people experience. It is important that enough support and time are allocated to persons in the change process. It is also vital that people understand the reasons for change and that communication about the change process is successful. Applied theatre practitioners should be aware of the resistance to change, the reasons for resistance and the approaches to manage resistance. It is understandable that when a cultural change takes place that communities will mourn the loss of a way of life, especially, at the risk of sounding patronising, if the old way is deemed wrong or incorrect, e.g. traditional practices of female circumcision or child brides. Practitioners should be sensitive to this sense of loss as well as to the emotional response to the loss and allow for enough time and support to aid acceptance and closure.

## 3.11 Summary

Change can be fleeting, short-, medium-, or long-term or permanent and can affect everything from context, situations, awareness, attitude, behaviour, beliefs, values, norms, tradition, culture, knowledge, feelings, empowerment, education to actions. Change is categorised in different forms. Change can be driven or organic, developmental, transitional or transformational, planned or emergent and episodic or continuous. With change differentiations can be made between social, organisation and individual change. Social change is concerned with changes in the social structure of a community and all social groups experience a continuous evolution of change, with or without interventions. Social change strategies can be divided into three categories, namely, empirical-rational, power-coercive and normative reeducative. Organisational change is about changes in big businesses and is often not successful. Individual change is concerned with changing the individual in order to change the group.

Various change models and theories exist in an attempt to explain or manage change. A theory is a set of generalised statements, whilst a model is the application of a theory. Several behavioural change theories and models exist, including social norms theory, the health belief model, diffusion of innovations theory, social cognitive theory and the transtheoretical or stages of change model.

Lewin's theory is based on positive and negative forces that either push people towards change or away from it. The change happens in three phases, namely, unfreezing, moving and refreezing. Lewin's change theory focuses on individual change to create group change and stipulates that all aspects of a group must change in order for lasting change to take place. It highlights that an individual cannot change in isolation from the group and that change must be sustained for a long time for it to become permanent. Lewin is also the originator of Action Research. This chapter only dealt with Lewin's original thoughts on Action Research, as the theory and models are investigated in more detail in Chapter 5. Many of the myriad of change theories and models are based on Lewin's theories.

The ADKAR change management model is an example of a model based on Lewin's theory. ADKAR is an acronym that stands for awareness, desire, knowledge, ability and reinforcement; the five sequential steps identified in the change process. Unfortunately, the ADKAR model is more business orientated than community orientated, but many elements of the model can be used in applied theatre programmes, e.g. their assessment tool.

The Outcomes Star is an example of a measurement model based on Action Research as well as Participatory Action Research, a type of research that developed from Action Research. The star was developed to measure outcomes and creates a change ladder which indicates what steps an individual should take to achieve the desired change. The Outcomes Star is developed exclusively for every organisation and as such, is very expensive and training is required to use it. It also requires the payment of yearly licencing fees. The Outcomes Star is a possible measurement tool for applied theatre projects, but its costs eliminate it from a feasible option.

Bandura's social cognitive theory is based on three principles, namely that people learn from experience, that a person's internal mental state is very important to the process and that something learned does not automatically lead to behaviour change. Self-efficacy is a very important part of social cognitive theory and is concerned with an individual's belief in his or her own capabilities. Those who believe they can achieve, achieve easier than those who don't. Bandura developed self-efficacy scales to measure self-efficacy.

The Rickter® scale is a model based on Bandura's theory and is very similar to his self-efficacy scales, the main difference being that the Rickter® scale is a hand-held board that uses a slider to indicate a value on the scale instead of using a pen and paper. The Rickter® scale states that it measures five levels of change, namely resistance to change, contemplating change, readiness to set

goals, readiness to act and acceptance of change. The Rickter® scale is very expensive, inflexible and requires training. The answers are also open to interpretation.

Theory of change is a model that defines and maps out actions, interventions, outcomes, indicators, goals (short-, medium-, and long-term) and assumptions. It is a very good tool as it forces the careful planning of change step by step and provides measurable indicators of change. It is, however, complex and time consuming to use and, if the assumption on which the pathway of change is based is wrong, the programme will fail. Theory of change is a useful model for applied theatre practitioners to use as they can find how-to manuals on the internet and learn how to use the model for free. It is also an advantage to know how and why proposed change will happen, as well as being able to measure it.

The experiential learning cycle is not a change theory, but correlates with some of the change theories discussed, e.g. social cognitive theory. The cycle consists of four elements, namely concrete experience, reflective observation, abstract conceptualisation and active experimentation.

Most people resist change as it is uncertain and unknown. Losses brought about by change can result in emotional responses and the change process has been psychologically linked to the grieving process. Various principles identified by theorists will aid practitioners with smooth transitions and understanding why people resist change.

Few applied theatre practitioners are knowledgeable in change theories and models as the absence thereof is demonstrated in various books and articles on applied theatre. However, if we as a group claim that our programmes, projects and performance can result in change in any form, it is our responsibility to know the how, why and wherefore thereof. Change assessment models will also allow for more credibility as measurable outcomes of change can prove practitioners' claims of change. The problem with measuring what we want and what others want can be solved with accurately and validly measuring the pre-identified outcomes and objectives of the programme and by being realistic about what the programme can achieve. As Bare (2005: 6) states: "measure what you value and other will value what you measure".

**Chapter 4: Assessment and evaluation in the social sciences**

**4.1 Introduction**

The social science field define *assessment* and *evaluation* slightly different from other fields such as education, as the term *assessment* is used by practitioners when they initially gather information and diagnose which intervention strategy or strategies will benefit the person or group they are working with. This strategy (or strategies) is/are then *evaluated* after the completion of the intervention to see if it was successful and to judge the impact there of, if any. In fields such as education, *measurement* is the term used to refer to the process of collecting evidence, *assessment* is the process which determines whether goals and objectives have been met and *evaluation* refers to the judgement of the difference between that what was achieved versus that which was planned (Kizlik 2016: online source).  However, despite a slight difference in terminology, there are many similarities between the evaluation and measurement processes of the social sciences field and those of applied theatre.

Green (2000:134-135) asserts that community development *assessment* produces sets of quantitative and qualitative data to aid decision making, which can also help a community to create a platform for dialogue regarding problems and issues, possible solutions, informed decisions and plans for the future. Social science practitioners usually draw up an assessment plan that details the steps of the assessment, what information is available, what evidence needs to be collected and so forth. One of the main advantages of such a plan is that it involves and represents all stakeholders. Once all the information is gathered and collated, an informed decision is made concerning the best intervention for a situation and the best outcome for all stakeholders. In applied theatre, a formal "assessment plan" is not a prerequisite[78] for the creation of a programme or show.  The different programmes are facilitated by both internal practitioners (who create programmes or shows based on their own personal experiences of their communities) and external practitioners ('outsiders' who facilitate a programme in a community), therefore information gathering differs from programme to programme.

The importance of *evaluation* in the social sciences is highlighted by Phillips and Pitman (2000: 284) when they argue that evaluation aids with the improvement, enhancement and progress of communities in ever evolving environments. Therefore, evaluation should not be a one-time occurrence, but rather continuous and occurring at specified intervals in order to successfully measure progress and define the evaluation and evolution of any implemented strategies, systems, processes

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[78] The lack of a governing body, ethical guidelines and/or guidelines for programme evaluation and monitoring for applied theatre as well as the lack of set standards or good practice is discussed in Chapters 2 and 5.

or programmes. A continuous evaluation process will ensure that an intervention programme is on track with the set targets and outcomes. Such a continuous evaluation process will be advantageous to applied theatre programmes for the same reasons stated.

Challenges to assessment and evaluation are common in the field of social sciences and often correlate with those problems experienced with the assessment and evaluation of applied theatre programmes. The difficulty of accurately evaluating or measuring what change, if any, an intervention programme wrought is a recurring topic in social science literature. Tropman (1995: 293) describes some challenges in the evaluation of social work interventions, when he states that it is difficult to measure some of the interventions initiated and that some interventions don't make a difference to people's lives. Washington (1995: 296) adds that assessors have no control over some of the indicators measured and that this may influence an evaluation. Tropman (1995: 293) laments that "evaluation is perhaps that area where we have been most neglectful".

An important factor in successfully measuring progress and change is the correct design of the programme, and this includes planning the evaluation method or technique that will be used to do the evaluation. The identification of such a methodology or tool could aid with the clarification of programme outcomes and goals. The importance of programme design is highlighted by various theorists. Tropman (1995: 293), for example, identifies four critical steps that should be kept in mind during programme creation. First, to monitor, i.e. the "data or record keeping aspect of the programme", second, to oversee, i.e. "looking for gaps, problems and difficulties", third, assessment, i.e. the "occasional review and judgement about personal or organisational performance" and last, appraisal, the "final stay or go conclusion [on] what is being evaluated". Washington (1995: 296) hypothesises that any effective programme and/or evaluation design should at the minimum: "measure change, i.e. demonstrate effect", "include procedures which rule out hypotheses which might alternatively explain the noted effect" and "describe how and why the change took place".

Birdsall and Manela (1995: 321) argue that programme design should follow four logical steps in order to support a successful evaluation process, namely a "needs assessment", the "design or choice of intervention", the "analysis of immediate impact" and the consideration of "long-run consequences". A needs assessment should be a logical and integral part of the design of an intervention programme as it would be short sighted and unethical to start a project in a community without determining what needs to change in the community, if anything. Such a needs assessment cannot be done standing on the outside looking in. Meetings with community members, development workers, representatives and leaders will prove valuable in identifying needs as well as in gathering

data. Davidson (2005: 233) asserts another benefit of doing a needs assessment is that the information gathered can "double as base-line data[79] that will help with evaluation later".

The method of intervention will determine what evaluation methodology or tools will be used and this should be included at programme design level, as this in turn would influence how goals and objectives are described and stated. Chelimsky (1995: 338) affirms that the advantage of knowledge about the evaluation during the design phase helps to "improve reasoning behind programme purposes/goals; [it] identifies problems to be addressed, select[s] the best point of intervention [and shows which] type of intervention is most likely to succeed". Washington (1995: 297) is of the opinion that having a change/intervention theory on which a programme and its evaluation is based is beneficial due to the fact that the "outcome imply directed social change". It also "identifies what constitute desired change to be measured and provides… clues as to how change should be measured".  Frank and Smith's (1999: 1) remark regarding community development programmes that "no one approach will work in all situations" is hence also applicable to applied theatre programmes.

Short term and long-term impact is an important part of change assessment and is discussed in full elsewhere in this study[80]. Komives, Wagner and Associates (2009: 15) posit that the continuous efforts required for observable social change is the result of integrated contributions from various people, systems and institutions on many levels. If a programme accounts for various persons' or groups' contributions, as well as keep in mind that various stakeholders' needs are to be met, it is understandable that Birdsall and Manela (1995: 321 - 322) urge that "careful measurement and analysis is necessary at every step". They also postulate that to successfully measure progress, assessment should be "grounded in [the] understanding of [the] client's perspective of her/his needs and desired outcomes".  The problem with attribution is illustrated in Figure 1.

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[79] Base-line data are often referred to as benchmark data. This is the "reference point or standard against which performance or achievements can be assessed". Evaluators often do a base-line study which is an "analysis describing the situation prior to a development intervention against which progress can be assessed or comparisons made (OECD 2010: 17).

[80] In short: short term attitude or behaviour change does not necessary translate to long term or permanent attitude and behaviour change. Refer to Chapters 2, 3 and 5.

Figure 1: The problem with attribution (UNESCO 2009: 11)

I will use this chapter to investigate and discuss some of the methodologies, theories and tools applied by social science practitioners to evaluate and assess programmes. Due to the nature of applied drama projects, some social science subfields, e.g. community development will feature more strongly in this chapter as many of the views and desires expressed by practitioners, correlate with those practising applied theatre. In this chapter I will look at evaluation theory in the social sciences and will concentrate on methodologies used in the subfields of community development and social work. In the field of community development, I will concentrate on the Community Development Evaluation Storymap, Most Significant Change (MSC) technique, and Participatory Impact Assessment (PIA) as these evaluation methodologies and tools offer the greatest possibility for adaption to evaluate and assess applied theatre programmes. I will also discuss the Programme Outcome Model from the field of social work for the same reasons. Lastly, I will deliberate any similarities to applied theatre as well as the possibility of applying these theories and ideas to the applied theatre field.

## 4.2. Evaluation theory

Specific social science fields favour specific techniques or methodologies because they are more suited to their specific programmes, but most of these uniquely applied methods employ commonly used evaluation tools, methodologies and theories to achieve measurement of programmes. This section will briefly look at the basic evaluation theory that underpins the methodology and techniques used by practitioners in the social sciences, as well as investigate the various techniques, theories, methodologies and approaches used by social science practitioners to ensure a successful evaluation.

Evaluators in the social sciences use the term "effectiveness" instead of success for favourable outcomes of a programme. I think that *effectiveness* is an apt term to refer to the successful outcomes of a programme as it incorporates so much more than a simplistic 'pass' or 'fail' as the word 'success' suggests. Effectiveness hints at the more complex outcomes of all community-based programmes, and as intervention programmes aim to bring about some sort of social change, effectiveness is more descriptive of the desired objectives I will use the term to the same effect in the rest of this study.

### 4.2.1 What is a social science evaluation?

What exactly is the meaning of evaluation? Scriven (1991: 1) defines evaluation as the "process of determining the merit, worth and value of things" and evaluations as the "product of that process". Pittaway and Swan (2009: 285) add that it is a "systematic determination" of the value or merit of a programme. Patton (2010: 4) describes it as an "applied inquiry process for collecting and synthesising evidence that culminates in conclusion about the state of affairs". UNESCO's (2009:10) guide on community development programmes outlines evaluation as the process whereby project data is systematically gathered to judge its effectiveness by comparing actual outcomes with anticipated outcomes. Many developmental agencies, e.g. the IFRC (International Federation of the Red Cross) or the Austrian Development Agency, subscribe to the OECD/DAC's[81] (DAC 2010: 21 – 22) internationally accepted definition of evaluation as "the systematic and objective assessment of an on-going or completed project, programme or policy, its design, implementation or results. The aim is to determine the relevance and fulfilment of objectives, development efficiency, effectiveness, impact and sustainability". The consensus found in the various definitions is that evaluation is a

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[81] The Organisation for Economic Co-operation and Development (OECD) is made up of 35 nations and aims to "promote policies that will improve the economic and social well-being of people around the world" (OECD Website: 2017). The Development Assistance Committee (DAC) is a branch of the OECD that aims to reduce poverty and improve development in developing countries, to "help ensure better lives for people in the developing world" (OECD Website: 2017).

methodical measurement or judgement of how well a project or programme was initiated, implemented and performed based on certain criteria and evidence gathered.

All officially recognised evaluations done in the field of social sciences are formal and systematic in order to be as objective as possible. Shaw, Green and Mark (2006: 2) argue that all individual informal evaluations of programmes are coloured by the expectations, beliefs and preferences of those who conducted it and that it is seldom implicit on what such conclusions are based on. A biased evaluation does not yield realistic, honest and, in consequence, usable data that accurately mirrors the impact, advantages, success and disadvantages of a programme. This in turn results in a programme with an inability to grow, improve, or serve the needs of the stakeholders, which, apart from the dire impact on the programme, further implies that the resources and time invested in the evaluation was wasted. Pittaway and Swan (2009: 284) conclude that evaluation should not be a one-time occurrence, but a continuous process throughout a programme. An effective evaluation should thus be incorruptible, formal, systematic, ongoing and useful.

Milstein, Wetterhal et al (1988; 2000; 2017) identify four standards for a good evaluation as part of their evaluation framework[82]. This framework consists of two dimensions: the first dimension is concerned with drawing up an evaluation design, and the inner dimension is concerned with the standard of the evaluation. They identify four standards, namely utility, feasibility, propriety, and accuracy that must all be present to present a well-balanced evaluation. An example of an imbalanced evaluation would be one that would be useful, but too difficult to carry out. Utility[83] is concerned with the usefulness of the evaluation, feasibility[84] ensures that the evaluation is logical and pragmatic, propriety[85] is concerned with the ethics of the evaluation and accuracy[86] refers to the preciseness of findings.

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[82] Please refer to Figure 2 in Section 4.2.4: Evaluation Design for an illustration of the evaluation framework.

[83] Seven standards form part of the Utility standard, namely stakeholder identification, evaluator credibility, information and scope selection, values identification, report clarity, report time-lines and dissemination and evaluation impact. (Milstein, Wetterhal et al. 2017: Online)

[84] Three standards form part of the feasibility standard, namely practical procedures, political viability and cost effectiveness (Milstein, Wetterhal et al 2017: Online).

[85] Eight standards form part of the propriety standard, namely service orientation, formal agreements, rights of human subjects, human interactions, complete and fair assessment, disclosure of findings, conflict of interest and fiscal responsibility (Milstein, Wetterhal et al 2017: Online).

[86] Twelve standards form part of the accuracy standard, namely programme documentation, context analysis, described purposes and procedures, defensible information systems, valid information, reliable information, systematic

Evaluation in the social sciences can therefore be defined as a methodical measurement or judgement of how well a project or programme was initiated, implemented and performed based on certain criteria and evidence. Evaluation should be continuous, systematic, transparent, objective, valid and reliable to be useful. A good evaluation design should have utility, feasibility, propriety and accuracy.

### 4.2.2 Types of evaluations

It seems that every social science theorist has his/her own classification system of the types of evaluations based on personal experience and understanding of evaluation, e.g. Davidson (2005) lists holistic evaluation, component evaluation and dimensional evaluation as the three types of evaluation. Alkin (2013) refers to prescriptive and descriptive evaluations and Pittaway and Swan (2012) identify participatory evaluation, empowerment evaluation and ethical evaluation as the three types of evaluation. I will shortly explain and discuss the various types of evaluations identified.

 Davidson's (2005:233) classification of evaluation types is concerned with whether the quality and value of the evaluand is determined as a whole, as separate components or against predetermined indicators. A *holistic evaluation* is when the quality or value of an evaluand is determined, without breaking it down into dimensions or components. In opposition a *component evaluation* is when the quality or value of an evaluand is determined by first breaking it down in several component parts. With a *dimensional evaluation* the quality or value of an evaluand is determined by first identifying the dimensions that distance good quality or value from poor quality or value. Davidson's classification is concerned with that which is evaluated and is not so much focused on those who participate and how the participation is conducted.

Alkin's classification of evaluation concerns the difference between an approach that dictates the actions of the evaluation versus an approach that describes the outcomes of evaluation. A *prescriptive evaluation* is the most customary type of evaluation model, approach or theory that consists of a "set of rules and guidelines" which defines what a good evaluation entails and dictates how an evaluation should be conducted (Alkin 2013:3). The evaluation models themselves are the best practice examples of the approach. A *descriptive evaluation* is an evaluation model, approach or theory that constitutes a "set of statements or generalized actions that describe, predicts or explains evaluation

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information, analysis of qualitative information, analysis of quantitative information, justified conclusions, impartial reporting, meta-evaluation (Milstein, Wetterhal et al. 2017: Online).

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activities" and offers "empirical theory" (Alkin 2013: 4). A descriptive evaluation would thus accurately describe the outcomes given a predetermined set of evaluation activities (Cardin & Alkin 2012: 103). Cardin and Alkin (2012: 103) state that such an accurate description is a scientific improbability, due in part to programme complexity and unpredictable and/or varied evaluators' actions, and that, in the absence of an empirical approach theorists are only left with prescribing a set of actions as to their personal belief of how an evaluation should be conducted. Alkin's classification gives an arresting insight into the problems of assessment and evaluation and goes some way to explaining why it is so difficult to accurately measure the effectiveness of a programme. If all evaluation methodologies and theories are subjective, can any evaluation be objective? It further raises the question if any evaluation methodology or theory will ever succeed in accurately measuring the effectiveness of programmes. The sheer amount of literature on finding appropriate evaluation methodology in the fields of social science and applied theatre gives some credence to these questions.

Pittaway and Swan's classification of evaluation into participatory, empowerment and ethical evaluations is more concerned with the participants of the evaluations – who partakes, how they partake and how they are characterised – than with the mechanics of the evaluation itself. They assert that with a participatory evaluation, stakeholders are involved in all aspects of the evaluation; they give and receive feedback, give input and help with the evaluation activities (Pittaway & Swan 2012: 21). The four pillars on which a participatory evaluation rests are participation, negotiation, learning and flexibility (UNESCO 2009: 62). *Participation* refers to the inclusion of all stakeholders in the evaluation process, and *negotiation* to the consensus of the methodologies to gather, interpret and use the data collected, as well as on what to be evaluated. *Learning* is the agreement as to how information will be utilized, and *flexibility* is concerned with the changeable nature of community projects which demands a certain changeability in terms of evaluation methodology (UNESCO 2009: 61 - 62). Many practitioners in the social sciences field, as well as in the applied theatre field, make use of this type of evaluation and it will be discussed in more detail later in the chapter. The importance of ethics in relation to programme design and intent has been discussed in Chapter 2 and evaluation ethics is of equal importance. If any evaluation is not ethical, Pittaway and Swan (2012:23 - 27) argue that the actions might lead to trauma and/or harm to the participants or those evaluated and as such identify four principles guiding ethical evaluations: informed consent, confidentiality, reciprocal behaviour and participation. Informed consent implies that all participants are aware and fully comprehend that they are participating in an evaluation and that they have agreed to participate. Consent can be verbal in informal evaluations or written in formal evaluations. Confidentiality refers to the use of the information to ensure anonymity of participants. Reciprocal behaviour is concerned with the benefits

of partaking in the evaluation and evaluators should be able to identify how the evaluation process is beneficial to all stakeholders involved before the inception of the evaluation process. Participation centres on the empowerment of all participants to have equal power and opportunities to voice opinions but is also concerned with ownership of the evaluation process by all involved.

Pittaway and Swan (2012: 22) explain that an empowerment evaluation "emphasises self-evaluation", "community participation" and "open discourse". Fetterman (1996: 4-5) defines this type of evaluation as one "designed to help people help themselves and improve their programme using a form of self-evaluation and reflections" through the use of "evaluation concepts, techniques, and findings to foster improvement and self-determination".  Put simply, this means that evaluation(s) are undertaken by the programme stakeholders themselves, often with an outside evaluator serving as a "coach or additional facilitator" (Fetterman 2004: 585). Pittaway and Swan (2012: 22) list ten principles or steps that guide an empowerment evaluation, namely improvement of the programme, community ownership, inclusion, democratic participation, social justice, community knowledge, evidence-based strategy, capacity building, organisational learning, and internal accountability. Fetterman (2004: 585) simplifies by listing only three steps: "establish a mission or vision statement regarding the programme", "taking stock" and "charting a course for the future". Rogers and Williams (2006: 86) explain taking stock as to "identify and prioritise the most significant programme activities" which are rated by stakeholders as to how well the programme is doing in each. They clarify the third step as one where goal and strategies are set; goals referring to that which stakeholders want to see happening and strategies referring to plans on how to achieve these goals (Rogers & Williams 2006: 86).

Although empowerment evaluation underwrites the inclusive nature of applied theatre projects, it will not be a suitable methodology to adapt to all programmes, as it does not dictate how or why change occurred (Rogers and Williams 2006: 86-87).

Pittaway and Swan (2012: 28) differentiate between a further three types of evaluations, namely a process evaluation[87] which assesses whether programme actions were appropriate and contributed to programme objectives, an outcomes evaluation which assesses programme outcomes to see if objectives have been achieved and an impact assessment which evaluates whether the project brought

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[87] UNESCO's (2009: 54) guidelines for evaluation of community-based programmes list the following information that can be gained from a well-designed process evaluation: the logical flow of activities from inception to end including all modifications, the structure and context, quantifiable data (e.g. number of participants), benchmarks and resources used.

about sustained and noteworthy changed to the target community. Hagger-Forde (2012: 09) defines a process evaluation as progress of a project, i.e. its activities and the evidence thereof. Outcome, impact and summative evaluations are described as determining whether the programme did what it intended and the efficiency thereof. Outcome and summative evaluations measure long-term change, with impact assessments measuring short and medium term change (Hagger-Forde 2012: 09). Successful evaluation methodology should combine all these processes to accurately measure the achievement of objectives.

### 4.2.3. Qualitative, quantitative and mixed evaluations

Evaluations can be quantitative or qualitative or a combination of both. Quantitative evaluations tend to focus on data that can be scientifically measured by means of graphs, charts, numbers and fractions. UNESCO (2009: 56) describes quantitative evaluation as that which "involves the systematic collection of evidence that can be numerically counted and coded". Hagger-Forde (2012: 8) explains that methods employed for quantitative data collection revolve on the counting and measuring of all information acquired, for example the use of statistics. Quantitative evaluation is traditionally seen as more "scientific and objective" and as such has risen to the preferred method of evaluation. (UNESCO 2009: 56). As seen in other chapters of this thesis, funders quite often demand quantitative indicators of a programme's success, which are at odds with the type of projects that are facilitated by applied theatre practitioners, as well as those in the social sciences. Practitioners argue that many outcomes and objectives cannot be measured numerically and that a quantitative evaluation will not be a true reflection of the nature of the programme.

Many theorists oppose the opinion that quantitative evaluation is superior to qualitative evaluation. Flick (2007: 2) defines qualitative evaluation as that which

> uses text as empirical material (instead of numbers), starts from the notion of the social construct of realities under the studies, is integral in the perspective of the participants in everyday practices and every day knowledge to the issue under study.

A more simplified definition is offered by UNESCO (2009: 56) stating that qualitative evaluation is the use of non-numerical data to judge a programme or project asking questions such as how, what and why.  Hagger-Ford (2012: 8) explains that the impetus of methods used to collect qualitative data, pursues the comprehension of human behaviour and includes interviews and observations. Flick (2014: 16) identifies one of the main advantages of qualitative evaluation that it investigates and

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represents a wide range of perceptions, which in turn allows the evaluator to gather wider information about the workings and effect of the programme. He cites as an example, a project on mental illness where using only quantitative methods will give you an account of the illness in terms of how many people made use of the services, what ages the participants are, what the financial situations of the participants are, etc. He also states that qualitative measures will give the evaluator insight into what it is like living with a mental illness, what mental illness means to sufferers, what it is like to live with a person with a mental illness and the day-to-day coping by participants and their families. This broader information will in turn aid with the development of programmes, as the needs of the participants are better understood (Flick 2014: 16).

Schwandt and Burgon (2006) refer to measure orientated and experience orientated evaluation instead of using the terms qualitative and quantitative. They define measure orientated evaluation as that which deals with criteria and standards, whilst experience orientated evaluation deals with persons and their experiences (Schwandt & Burgon 2006: 99). They refer to measure orientated evaluation as more "science-friendly" as collected data can be "measured, quantified and identified", while experience orientated evaluation is designated for use where measure orientated evaluation would not work. Collected data includes "opinions, perspective and experience" which allows evaluators to interpret the "lived experience" of participants (Schwandt & Burgon 2006: 100). They refer to the collection and interpretation of the "lived experience" as telling the stories of the participants (Schwandt & Burgon 2006: 208).

Rossi (2004: 30) warns about the dangers of totally dismissing quantitative measures when he states that evaluations "cannot blithely dismiss scientific concerns in evaluation" as any evaluation done still needs to be valid and credible. Weis (2005: 1) reminds us that evaluation is "more than application of social science methods to study social problems". Evaluators need to regularly interact with programmes and stakeholders to assimilate empirical evidence to the required standards and values before judgements and decisions are made to reach an evaluatory conclusion about a programme's successes or failures. In light of these two statements, it seems that a mixed method approach to evaluation would be the best solution for evaluation programmes in the social sciences. Rossi (2004: 30) states that a balance must be found between scientific and pragmatic and Cook (1997: 43-44) believes evaluation should use a variety of quantitative and qualitative social science tools to examine social programmes.

In conclusion, an evaluation consisting of a mixed method approach should satisfy all stakeholders and afford decision makers and stakeholders an in-depth view into the programme, not only in terms of numbers, but also in terms of the perceptions and experiences of those involved.

### 4.2.4 Evaluation design

There is, unfortunately, no "one size fits all" methodology to evaluation and practitioners should weigh the merits of each method and technique to see whether it would be of value to their programmes. Rossi (2004: 44) argues that no two programmes can be alike, as the context of each programme is unique. This implies that an evaluator cannot apply the same evaluation theory or methodology to every programme and that the unique circumstances of each project should be taken into consideration. Shaw, Green and Mark (2006: 23) state that specific programme evaluations in the social sciences are mostly a mixture of "methodologies and methods from other discourses and traditions in the social sciences" and that there are only a "few distinctive evaluation methods"[88]. I will use this section to discuss the possible design and structure of evaluation in the social sciences.

Most theorists reach consensus as to the steps needed to plan and execute an evaluation. The International Federation of the Red Cross (IFRC 2011: 27, 31, 48, 57, 69, 73) lists the following six steps to design evaluation:

1 identify the purpose and scope of the evaluation[89],

2 plan for data collection and management,

3 plan for data analysis,

4 plan for information reporting and utilization,

5 plan for the monitoring and evaluation of human resources and capacity building and

6 prepare the monitoring and evaluation budget.

Baker (2010: 3) asserts that any evaluation design should include the following: information on the evaluand and the purpose of evaluation, evaluation questions, how data will be collected, who will collect, analyse and manage the information, when data collection will occur, what will happen to the analysed information, the evaluation time-line and the estimated cost of the evaluation.

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[88] Shaw, Green and Mark (2006) identify these methods as Most Significant Change (MSC), Multi-utility attribution technique, log frames and logic models, values inquiry, weight and sum technique. Of these methods, MSC and log frames and logic models are discussed later in this chapter.

[89] This include the review log frame, the identification of the needs and expectations of shareholders, the identification of evaluation requisites, and the evaluation capacity and purpose (IFRC 2011: 27).

Millstein, Wetterhal et al. (2017) identify six connected steps to follow for successful evaluation. They stress that, although the steps can be followed in any order, it is more logical if they are followed in sequence as earlier steps provide the basis for subsequent steps. These steps correlate loosely with the steps ascribed by the IFRC. Millstein, Wetterhal et al. (1988; 2000: 221-222; 2017) argue that these steps form part of an evaluation framework, which apart from steps in evaluation practice, also include standards for "good" evaluation[90], namely utility, feasibility, propriety and accuracy. Figure 1 provides an illustration of their evaluation framework:



*Figure 2: Evaluation Framework (Millstein, Wetterhal et al 2017)*

Many theorists and guidebooks do not have a checklist of steps for evaluation design but give a more descriptive explanation of how to design evaluation structure. The following description of the process of creating an evaluation structure or design is based on both explicit and explanatory recommendations from theorists and practitioners in the field.

First and foremost, the purpose of the evaluation should be identified, as this will influence evaluation methodology, tools and techniques used. Rossi (2004: 39) highlights the importance of knowing the purpose of the evaluation, the programme structures and circumstances, and the resources available

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[90]Please refer to an earlier section *4.2.1 What is a social science evaluation* for a discussion of the four characteristics of a "good" evaluation.

when developing an evaluation plan. The purpose of the evaluation will determine the evaluation methodology used, as certain techniques and tools are more suited to certain types of evaluations than others are. The importance of the context of the programme or project in relation to evaluation has been raised earlier in this chapter, as the circumstances of each programme or project are unique, so should the evaluation design be to accurately determine worth and effectiveness. Cronbach (in Shrinkfield 1983: 357) refers to this as the art of designing an evaluation methodology, as "each design has to be decided according to its appropriateness to each new undertaking". The knowledge of available resources is crucial to evaluation development and design, as this will influence the duration, type and quality of the evaluation. A short time frame and very little money available would for instance not suffice for an in-depth impact evaluation of whether sustainable change occurred in a specific community. Once the purpose of the evaluation has been identified, evaluators and programme designers should ask themselves questions regarding the programme to design and structure an appropriate evaluation. Theorists vary as to the specifics of the questions, but in essence, all the questions relate to the same information.

Pittaway and Swan (2012: 77 – 78) identify seven steps that evaluators and programme designers can follow to plan a successful evaluation, which correlate with the five questions Milstein, Wetterhal et al. (1998, 2017)) identified as a pre-requisite to an evaluation framework[91]. Rossi (2004: 38-39) however, succinctly prescribes that evaluators should only ask themselves three questions before the start of research design. Please refer to *Figure 3* below for the proposed questions and/or steps of these theorists.

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[91] Please refer to section *4.2.1 What is a social science evaluation.*

| Pittaway and Swan (2012) | Millstein, Wetterhal et al. (1998, 2017) | Rossi (2004) |
|---|---|---|
| •1. Setting the project goals and objectives; | •1. What will be evaluated; | •1. What questions must be answered by the intended evaluation; |
| •2. Clarifying evaluation purpose and scope; | •2. What aspects of the program will be considered when judging program performance; | • 2. What methods and procedures will be used to answer the questions posed; |
| •3. Defining the evaluation questions; | •3. What standards must be reached for the program to be considered successful; | •3. What will be the nature of the relationship between shareholders, evaluators and evaluation? |
| •4. Identifying the information you need; | •4. What conclusions regarding programme performance are justified by comparing the available evidence to the selected standards; | |
| •5. Deciding on data collection methods; | •5. How will the lessons learned from the enquiry be used to improve effectiveness? | |
| •6. Deciding on data analysis techniques; | | |
| • 7. Deciding how to report and use the findings. | | |

*Figure 3: Evaluation Design Steps and Questions*

Rossi (2004: 38-39) views the first question as a "needs specification of a central issue or problem" and suggests that evaluators and programme designers ask questions like what is the objective of the programme, how will the stakeholders' needs be "adequately served" and what is the desired impact of the programme. The second question provides the answers to the first question, but it is important that the answers should be practical. Rossi (2004: 38-39) states that the information gathered should be "useful, timely and credible". Evaluators and programme designers should also ensure that they identify a technique or method for each question, and not use a generic methodology to answer all questions. The third question is concerned with how evaluators will make the "most effective use" of the findings and will determine who, what and when of information sharing (Rossi 2004: 38-39).

After the answers to the questions listed above have yielded the necessary information, the next step is to identify the evaluation questions. The evaluation questions are the questions that stakeholders want the evaluation to answer, e.g. is the programme effective, how many people benefit from the programme, etc. These questions need to fulfil the following criteria as enumerated by Patton (2010: 52): the answers should be empirical in nature, the questions should be open ended with more than one possible answer, the shareholders should care about the answer, i.e. the answer should matter to them, the need for answers arise internally and not externally and the shareholders should be able to indicate how they would use the answer. NeighborWorks America (2006: 5) maintains that evaluation questions will ensure that the necessary data is collected, but that evaluators and programme designers

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should keep in mind that there could be more than one possible answer to every question. It should therefore be clear how the information will be used and whether the evaluation focus can change if the programme direction changes.

The identification of evaluation questions can be done with a *logic model*[92]. A logic model is a device, developed during programme design, which summarises the operation of a programme, including the intended results, indicators and authenticity of measurement criteria and outcomes (IFRC 2011: 27). It provides links between the outcomes and programme activities, processes and hypotheses that the programme is based on (UNESCO 2009: 26). The logic model provides specified information about programme outcomes, activities and input, as well as clarifies and aids in programme planning, evaluation and development (Baker 2010: 15-16). It reveals certain expectations regarding the set conditions for successful programme outcomes, and can serve as a frame of reference for the evaluation of the programme (Millstein, Wetterhal, et al. 2017).

The logic model uses certain terminology to describe the operations of the programme and does not have a prescribed look; it can resemble a flowchart, diagram, etc. The four main categories used are *objectives* that which the programme aims to achieve, *indicators* describing how any change brought about will be measured, *means of verification* which is concerned with how the information will be gathered and *assumptions* which relate to all the other influences and factors that can play a role in programme outcomes and objectives (IFRC 2011: 92). Each main category consists of four subcategories which correlate with three other subcategories to determine a logical flow of operations. Figure 4 illustrates the logical flow of operations in the logic model as well as how the four main categories and 16 subcategories interact and correlate with each other.



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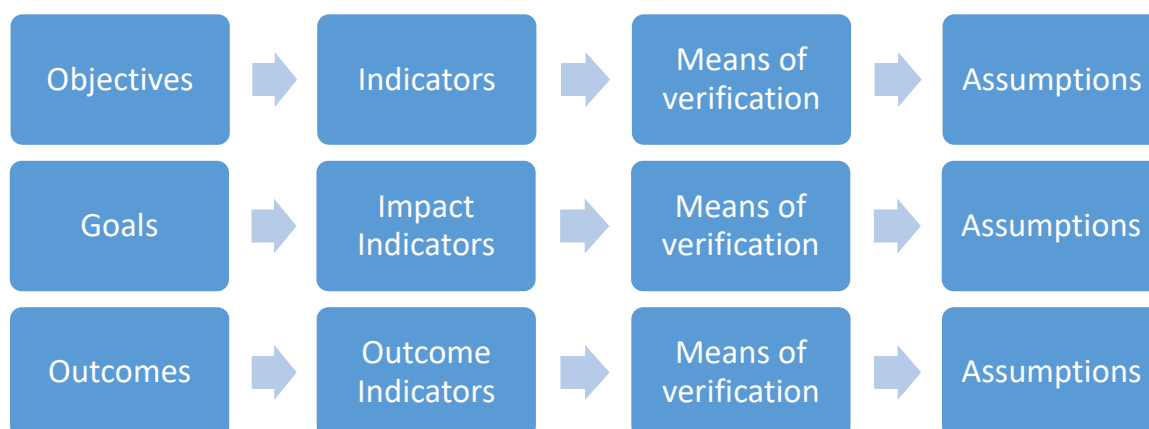
[92] Please refer to Appendix M for an example of a logic model.
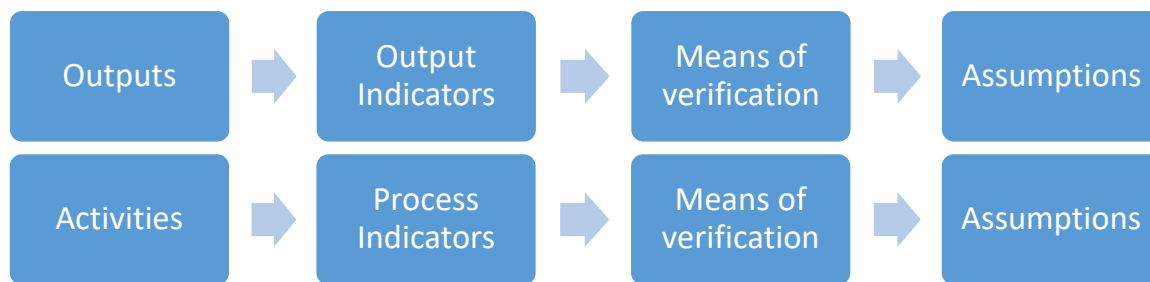
*Figure 4: The interaction and flow of the logic model.*

Objectives are divided into *goals* – the desired long-term effect a project aims for, effects which can also be the result of external factors, *outcomes* – the main effects a project strives for, usually changes in attitude, knowledge, skill, status or behaviour, *outputs* – the processes that lead to desired outcomes and *activities* – the group of tasks that will have to be achieved to attain outputs (IFRC 2011: 92). Baker (2010: 19) defines indicators as "special measures or changes that represent achievement of outcomes" and the indicator category is subsequently divided into impact indicators, outcome indicators, output indicators and process indicators, terms that clearly correlate with the subdivision under the objective category. The means of verification category is also subdivided into four sections but uses the same term for all sections and is concerned with how the data is collected for each indicator. The subdivisions under the assumption category do not have separate terminology but are distinguished by purpose. The assumption for goals is concerned with the external conditions that must exist for the goal to be achieved and in turn aid with the next intervention level. The assumption for outcomes are concerned with the external conditions that must exist but which the programme has no control over. The assumption for outputs is the external factors which can hamper the effectiveness of the outcome achievement, but which are outside the programme's control and lastly, the assumption for activities which is concerned with external factors outside of the programme's control which can hamper the progress of the programme (IFRC 2011: 92).

At first glance it appears that logic models and the Theory of Change (TOC), as discussed in the previous chapter, are similar in terms of mapping out the operations and processes of a programme, but there is one big difference between them. The TOC's attempts to explain and describe *how* change will be brought about, apart from merely describing the operational aspects and details of a programme as with a logic model. A TOC will also "show underlying assumptions and clarifies necessary pre-conditions that must be achieved before long-term outcomes can be reached" (Baker 2010: 16) and provides a direct link between activities and outcomes in an attempt to explain and justify how change will be brought about. Baker (2010: 16) identifies four main dissimilarities

between a logic model and a TOC. A logic model doesn't show why change occurs, whereas a TOC necessitates the validation of every step or action to rationalise the occurrence of change. A TOC requires identifying indicators about the required amount a precondition needs to be satisfied for a successful outcome, whereas a logic model does not require identifying indicators. A logic model is descriptive as opposed to the explanatory nature of a TOC. Lastly, a TOC states why you are doing something in opposition to the logic model's statements of what you are doing.

It makes sense for programmes that aim to bring about change to draw up both a logic model and a TOC during the design phase of the programme or project. Both will help with the planning, design and clarity of a programme and allow for stakeholder input and participation and in consequence ownership, which will ease evaluation as well as encourage active participation (UNESCO 2009: 27). Furthermore, a logic model will aid with "reviewing the assumptions on which a programme is based" as well as with ongoing evaluation (UNESCO 2009: 27). A TOC will also aid with planning for change.

Once the purpose and scope of the evaluation have been determined and evaluation questions set, programme designers and practitioners should move on to the evaluation design, or as defined by Baker (2010: 3), the planning of the evaluation structure. The evaluation structure includes the collection, management and analysis of data, the assimilation and distribution of information, as well as the time frame and cost of the evaluation.

The collection and management of data is therefore the next step practitioners and programme designers should determine. Decisions regarding the use of qualitative and/or quantitative collection methods should be made and the design should ensure the collection of valid data for each outcome or objective, as invalid data will make it impossible to assess outcomes or objectives. Data should be appropriately stored in keeping with necessary confidentiality requirements and evaluation ethics.

Baker (2010: 29) identifies four primary types of data collection, namely record reviews, surveys, interviews and observation. Record reviews are considered secondary data, i.e. data that is collected from other sources, whilst surveys, interviews and observation are considered primary data, i.e. data which is collected by the researcher or evaluator themselves. Primary data is more costly to collect or gather than secondary data.

Record reviews (secondary data) is concerned with the data collection from external and internal sources, e.g. census data, attendance sheets or health statistics. The CCFNRC (Compassion Capital Fund National Resource Centre) (2010: online resource) highlights that the characteristics of such a review is that it is systematic, cost-effective, fast and easy, as no additional primary collection is necessary, although evaluators and programme designers should always first establish the reliability and validity of the sources. They should also ensure that the sources used are up to date. The IFRC uses the following cartoon to illustrate the importance of using secondary data whenever possible.
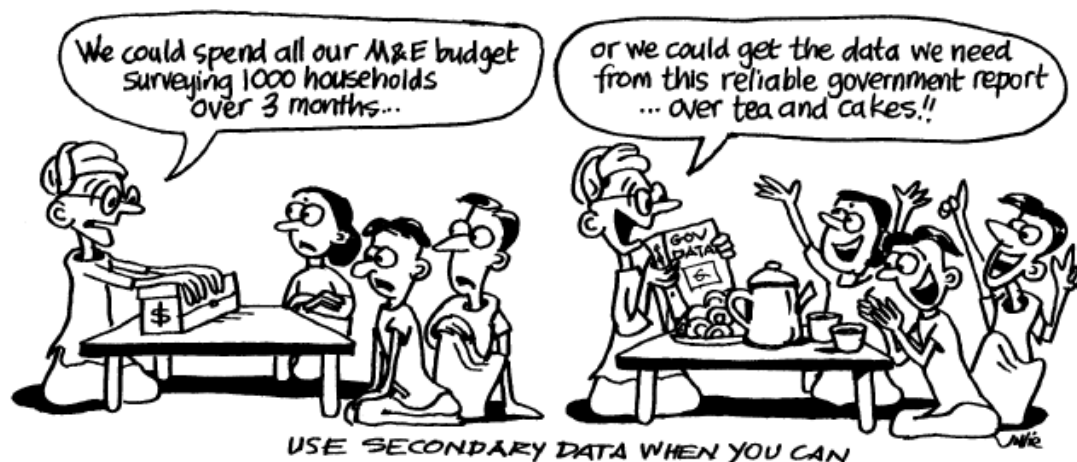


*Figure 5: IFRC Cartoon: the Ease of Using Secondary Data. (2011: 33)*

Surveys (primary data) are generally used for data sampling from a population and its primary benefits include that a large amount of data can be gathered easily, that the analysis of surveys is uncomplicated, that it is quick and that you can explore a variety of ideas. Surveys can include open-ended questions but are primarily a "series of questions with pre-determined responses" (Baker 2010: 36). The disadvantages can be that surveys can be complex and laborious to design (Baker 2010: 36), that written surveys suffer from the drawback of a low report back and that respondents often cannot clarify an answer (CCFNRC 2010: Online). Within the context of data gathering for evaluation purposes, surveys can collect both quantitative and qualitative data and it would be possible to give a survey to a specified group of people participating in a programme to collect specific information.

Interviews (primary data) can be structured, with pre-determined questions; semi-structured, where interviewers only have a broad outline of the questions; or unstructured, with no pre-determined questions. Interviewers can also make use of intercept interviews, where interviews are conducted with people coming from or going to events (Baker 2010: 46). Interviews are more in-depth than surveys, as interviewees have the chance to explore their answers. The disadvantage of interviews are

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the cost and time needed, as well as the fact that interviewers needs to be sufficiently trained to conduct unbiased interviews and to ensure that they ask questions in an appropriate fashion (CCFNRC 2010: Online).

Observations is the active viewing and hearing of programme activities. The resultant primary data will give a complete picture of what has happened during the programme and how it has happened (Baker 2010: 52). It is important that observers are well trained as the information gathered through observation are considered first-hand and unbiased. Observations are a costly data collection method (CCFNRC 2010: Online).

The data collection method used should suit the objective it aims to measure. The use of the logic model and/or a TOC will aid in identifying which method to use where. The amount of money available for the evaluation as well as the time frame will also have an effect of the type of data collection used. As these issues should have been addressed during the first step, evaluators and programme designers will find it easier to decide upon which evaluation tool or technique is the most appropriate.

After data is collected, the next step would be the analysis thereof. This means that the raw data will be interpreted and processed into usable information. The IFRC Monitoring and Evaluation Guide (2011: 33) differentiates between *data* and *information.* Data is defined as the raw material gathered before processing and analysis takes place and information is defined as the processed and analysed data. This information will inform decisions, improvements and measurement of the programme.

The four terms as suggested by the IFRC (2010: 48) that guide data analysis are purpose, frequency, responsibility and process analysis. The purpose and frequency of data analysis are determined by the evaluation question and the time-frame of reporting. Responsibility refers to the person or persons responsible for the analysis of data and the process analysis refers to how the data will be interpreted and collated.

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The IFRC (2011: 48) identifies five stages of process analysis: data preparation, data analysis, data validity, data presentation as well as recommendation and action planning. Data can be descriptive (quantitative) or interpretative (qualitative), with descriptive data explaining what has happened and interpretive data aiming to explain why it has happened. Data analysis looks for trends, clusters and similarities in data sets. It also checks whether expectations have been met, whether progress has been made, whether any additional information is available, whether any changes in assumptions occurred and whether the programme should be changed accordingly (IFRC 2011: 52). It is important that the information is valid and reliable, not over analysed (as this will incur unnecessary cost and time) and that the correct conclusions are drawn. The IFRC uses the following cartoon to explain the importance of drawing the correct conclusions from information.



*Figure 6: The Importance of Drawing the Correct Conclusion. (IFRC 2011: 52)*

The last step of the evaluation design would be the planning of reporting and use of evaluation findings. This includes identifying who will receive the report, who will write the report, the frequency of reporting, as well as the format the report will take (IFRC 2011: 57). Capacity building and/or training for staff can be included during the evaluation design if deemed necessary. Some theorists include the drawing up of an evaluation budget as part of the evaluation design (IFRC 2011: 69-73).

The evaluation design forms part of the initial needs assessment as well as of programme design. Once evaluators, designers or practitioners have clarity concerning the where, what, when, why and how of evaluation, they have to integrate the chosen evaluation methodology with the programme or project design and as such, evaluation becomes a working part of the programme cycle of the project. This will ensure that evaluation does not become a mere afterthought, but that it is done with the

correct purpose in mind, in the correct way and at the most opportune time; and that practitioners will have the best chance to measure those outcomes or changes that they intend.

Evaluation structure, together with the programme operation, needs assessment, implementation, programme design, feedback, monitoring and review which forms part of cycle called a project cycle[93]. A project cycle is a staged process that every programme or project goes through with each stage influencing and affecting others. As evaluation methodology forms an intricate part of programme design and implementation, it is not surprising that it is included in such a cycle.

As an example of a programme cycle, I will look at the cycle UNESCO (2009) proposes for programmes using participatory evaluation methodology. The cycle comprises of *assessing needs, planning the project, implementing and monitoring the project and evaluating the project* which all connects to *feeding back learning to improve programme effectiveness* (UNESCO 2009: 18).
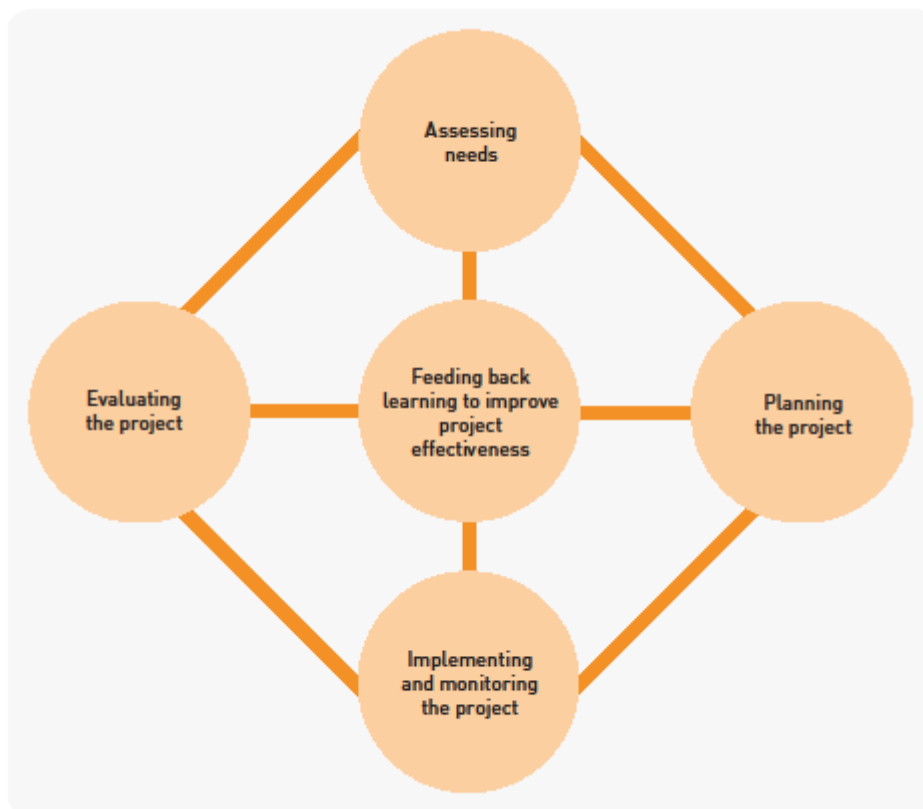


*Figure 7: Programme Cycle. (UNESCO 2009: 18)*

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[93] Traditionally a project cycle consists out of the following seven stages, namely identification, preparation, appraisal, presentation, implementation, monitoring and evaluation (Business Dictionary [online]: 2017). Every project or programme, however, creates a project cycle unique to their context.

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It should be noted that I find this specific programme cycle problematic for two reasons. I firstly feel that the authors of the UNESCO guide do not do justice to the important part *evaluation design* or *planning evaluation* plays in the design of a programme. If one looks at the questions posed by the theorists earlier in this section to develop an evaluation strategy, it is clear that this process can clarify goals and objectives, help determine activities, dictate methodology incorporated to gather information, and decide upon how the programme will be deemed a success and so forth. It is self-evident that practitioners who wish to evaluate or assess their programmes in term of real effectiveness, success and change would need to include evaluation design in programme design and not hastily add it as an afterthought when stakeholders demand proof.

My second problem with UNESCO's cycle is that it champions only one purpose for programme evaluation, namely programme improvement or enhancement. Chelimski (1997:10) identifies three other main purposes for programme evaluation besides improvement such as accountability, knowledge generation and politics and/or public relations. Alkin (2013: 7) puts forth that social accountability, systematic social inquiry and epistemology are the three main reasons that programmes and projects are evaluated, whilst Rossi (2004:40) maintains accountability, the generation of knowledge, politics and public relations as main reasons for evaluation apart from programme improvement.

Despite my reservations, I find that it is a good model to explain a programme cycle to someone unfamiliar with evaluation, due to its simplicity. It demonstrates how all elements and stages are interconnected and dependent upon each other.

Social science theorists use the term *monitor* in relation to evaluation activities. *Monitoring* refers to the continuous collection of data during a programme. The data collection is specific and dependent upon previously decided indicators to assemble the correct information to ensure the measurement of a specific objective or outcome. It also allows stakeholders to gauge the progress and possible success of a programme during the project operation of actions, policies or resources (OECD 2010: 27-28). It is clear from the UNESCO programme cycle that it is listed on the same graphic as the implementation of the programme and as such indicates the importance and integration thereof. Monitoring and evaluation cannot be separated, as monitoring provides the information on which evaluation judgements are made. UNESCO's (2009: 10) guidelines for evaluation of community projects advises that monitoring is an important part of evaluation, as the monitoring process gathers data to be used in the evaluation process. Pittaway and Swan (2012) make the following distinction

between the monitoring and evaluation of projects. Monitoring of a project is concerned with the project activities and is an ongoing verification process of the actions of a programme. Evaluation of a project is concerned with project objectives and is a measurement process at the end of a completed project. This project assesses whether outcomes and objectives have been achieved and, if any change had occurred, whether it can be attributed to the programme (Pittaway & Swan 2012: 27). The terms monitoring and evaluation are often abbreviated as M&E, and whilst I only use the term evaluation, monitoring activities are implied as part of evaluation as the two cannot exist separately.

Within the M&E process, Crawford (2004) identified an M&E data cycle which closely mirrors the five-step process analysis of data described earlier in this section. I include Crawford's cycle as it was developed specifically for the monitoring and evaluation process imbedded in a programme cycle. The difference between the M&E data cycle and data process analysis, is that the cycle is not static in nature. This suggested state of continuous movement advocate that M&E is an ongoing and infinite process for the duration of a programme and project. It also suggests a flexibility within the M&E process, e.g. the ability to measure or assess an unintended outcome. The cycle consists of six steps namely identification, capture, analysis, dissemination, utilisation and assessment. *Identification* is concerned with deciding what data needs to be gathered and can be in the form of indicators. *Capture* refers to all the methods used to gather information from stakeholders, programme activities and so forth. *Analysis* is the process which turns data into usable information and *dissemination* refers to the diffusion of the information to stakeholders. *Utilisation* is concerned with how the information will be used, and lastly, *assessment* deals with whether the utilised information contributed to learning and accountability. I find the last meta-evaluation step of the programme valuable in terms of determining not only whether the data gathered measures the intended impact, outcome or change, but I also think it will serve as a type of control with regards to whether the chosen evaluation method is suitable for the programme or project. Figure 8 illustrates the M&E data cycle.
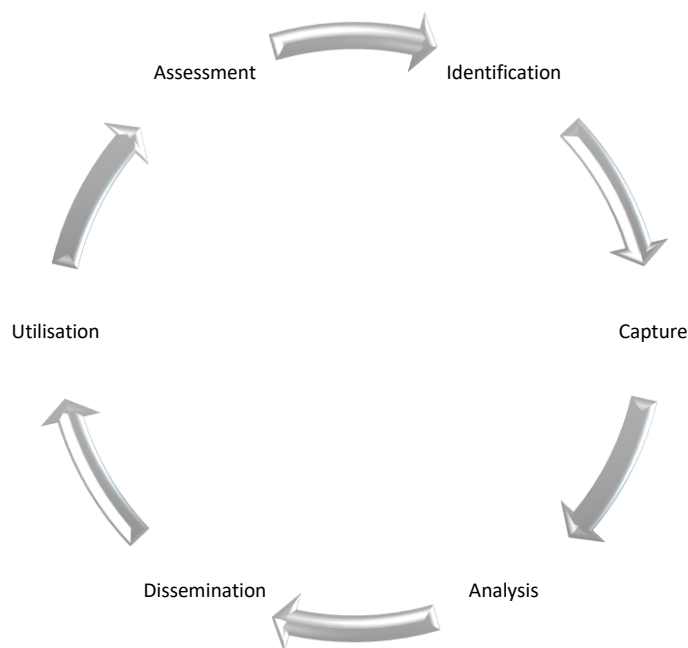
*Figure 8: The Monitoring and Evaluation data cycle. (Crawford 2004)*

Pitfalls that evaluators and programme designers should be aware of during evaluation design include the assurance that they completely understand the evaluation methods and techniques that they are using. "Evaluators dealing with overly-complicated tools that they do not understand will not produce results that are useful and valid" (UNESCO 2009: 11). Too much information on evaluation procedures, methods, techniques and theories can confuse evaluators and programme designers (NeighborWorks America 2006: 2). It is counterproductive to spend time and resources on doing evaluations when the outcomes measured are not those desired, or if it produces meaningless or incorrect information. It should also be kept in mind that the context surrounding each programme is unique, even if many projects address the same issues (Pittaway & Swan 2009: 287). Mark (2005: 3) warns that evaluators should be aware of "becoming a true believer" in any one methodology, as this may cause them to "act like his/her preferred theory fits all circumstances". On the same note Bandura (2006: 317) remarks that "a method of measurement should not change what is being measured".

In conclusion, evaluation methodology and design have far-reaching implications for programme design. Evaluators should acquire clarity about exactly what they want to measure, as well as why they want to measure it. It is important that they know how this measurement will happen, how data will be collected, interpreted and distributed. They can do this by answering the proposed questions theorists have suggested or by following a specific approach or methodology. It can be problematic to decide the specific evaluation approach before the context and needs of a programme have been taken into account, as all evaluation methodologies are not suitable to all projects. The *how, what* and

*why* of evaluation design impact the clarity of goals and objectives, decisions on what actions to take to reach those goals, methods and techniques used to collect data on actions performed and outcomes reached, as well as the manner in how the outcomes will be assessed and used. Evaluation methodology forms an important part of the programme cycle and as such should be designed and created during programme conception and design phases.

## 4.3 Evaluation methodology in the field of community development

### 4.3.1 Introduction

Community[94] development[95] is concerned with empowering communities and improving the lives of individuals living in them, or as Frank and Smith (1999: 03) define it more clearly as the "process whereby community members come together to take collective action and generate solutions to common problems". The community development process often entails the facilitation of skills to allow community members and groups to affect change in their community. Those working within the field of community development understand and work with both the individual and his/her place in the community, as well as groups and their place within the greater and surrounding society.

Hustedde (2009: 21-22) identifies seven popular theories functioning within community development which correlates with the seven biggest concerns community developers face, namely social capital theory (relationships), functionalism (structure), conflict theory (power), symbolic interactionalism (shared meaning), communicative action (communication for change), rational choice theory (motivations for decision making) and Giddens structuration (integration of disparate concerns or paradoxes). I will shortly discuss the seven theories.

Social capital theory, in very simplistic terms, afford all social networks a value and by belonging to such a network, individuals inherently trust each other and the network and are thus inclined to do something for other individuals within the network. Field (2008: 02) sums up social capital theory in

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[94] The use of the term *community* is discussed in the introduction to this thesis. For the purposes of the section on community development, community will be defined as communities of place, communities of interest and communities of identity in accord with the classification of the Community Development Foundation (2016).

[95] The use of the term *development* is fraught with difficulty as development is not necessary always positive. We often associate the term with growth and expansion according to Flo and Smith (1999: 07) and development always imply that a change (or changes) took place. Edwards (2000: 3) asserts that such growth and expansion within a community always come at a cost and can be as varied as the loss of natural resources and the loss of "unique cultural attributes".

two words: "Relationships matter." He continues that through often visited connections, groups of people are able to succeed where individuals would have found it impossible or extremely problematic to prosper. To bring about change, the community developer needs to fully understand all the workings of a network and then introduce the chosen intervention in a way that utilises the network to its fullest extent.

Functionalism is also referred to as systems theory or equilibrium theory and is concerned with the structures in society and how these structures function and to what effect. Hustedde (2000: 23) defines functionalism as how each of the interdependent structures that make up society performs certain roles which is necessary for social preservation. These structures can be organisations or institutions such as hospitals, colleges or businesses and its functions denote its role in society.

Power conflict theory was developed based on Marxist theories in opposition to functionalism and argues that the positive transformation of institutions is due to regular desire for social change stemming from dissent and conflict in society (Holmwood 2010: 127). Hustedde (2000: 24-25) argues that power relates to the control or access of resources and that conflict is imbedded in everyday social life. If people are forced to work together in order to gain access or control of resources and it is to the benefit of the group, conflict becomes constructive.

Symbolic interactionalism focuses on the "role of symbols and language as core elements of all human interaction" (Oxford Reference Online 2017). This theory accentuates the "symbolic nature of human interaction rather than mechanical patterns of stimulation and interaction" (Hustedde 2000:26). The subjective nature of symbols and language forms an important part of this theory (Oxford Dictionary online 2017), in other words, every person sees a situation uniquely as it is created by a participant's anticipation of others' responses, and fixed measurement is thus not possible (Hustedde 2000: 26). Meanings are formed through interaction with others and through the analysis of everyday life, the theory aims to comprehend forms of human behaviour (Scott & Marshall 2009: 750).

Communicative action theory was first proposed by Habermas in his 1981 book *The theory of Communicative Action* and is concerned with action taken because of mutual dialogue and deliberation. Hustedde (2000: 28) defines the theory as one of participation in a "setting where a diversity of voices is heard in order to explore problems, test solutions and make changes to policies when the community finds flaws". The theory uses aims to identify the underlying principles present

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in linguistics in an attempt to create greater understanding to improve communication skills which could lead to the establishment of improved social order (Calhoun 2002: 81).

Rational choice theory concludes that a reasonable person would choose a course of action to best suit his/her needs only after scrutinizing every option available. This theory focuses "on individuals rather than collective" (Hustedde 2000: 30), and states self-interest as the "fundamental human motive" with all social activities traceable to the conscious acts and decisions that produced them (Scott & Marshall 2002: 627).

Giddens' structuration theorises that agency (action) and structure (all the various rudiments that constitute a social system) cannot be separated as suggested by many sociologists and social theories (Marshall & Scott 2002: 11, 740-741). This theory views society as consisting of "large interaction ritual chains" that is made up of individual interaction. Individuals draw on a communal cultural frame of reference to initiate ideas that create a modality. Modality represents rules for behaviour, transformation and reproduction (Hustedde 2000:31). Giddens (in Calhoun 2002: 453) proposes that structure does not exist independent of agency, nor does it govern agency, but that structures are sets of values and rules that exist in society because individuals give them credence (Calhoun 2002: 191).

These seven theories provide interesting structures for the type of change a practitioner or community aims to bring about but does not include proposed evaluation or assessment of the desired change. As Mark (2005: 3) remarks that all theories do not translate well into practice and that various theories often have quite conflicting ideas regarding the how, what and why of evaluation. I will however refer back to these theories during the discussion on specific evaluation methodology.

The need for evaluation in the community development field, as well as the challenges faced regarding evaluation of programmes are echoes of those stated for applied theatre and social sciences. It is, however, interesting to note Kubisch, Weis, et al.'s (1995: 3) specific statement that the challenge to evaluating community development initiatives are due to the complexities thereof, namely "horizontal complexity[96], vertical complexity[97], the importance of context[98], the flexibility

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[96] *Horizontal complexity* refers to the working of a programme across different sectors and systems (Kubisch, Weis, et al. 1995: 3).

[97] *Vertical complexity* refers to the fact that programmes aim to bring about change at individual, community and family level and that these levels interact with each other (Kubisch, Weis, et al. 1995: 4).

[98] The importance of context is concerned with the outside issues which have a direct effect on the success of a programme, but which is impossible to predict or control (Kubisch, Weis, et al. 1995: 4).

and evolving nature of the interventions[99], the breadth of the range of outcomes being pursued[100], and the absence of appropriate control groups for comparison purposes[101]". This statement is affirmed by Grieve (2014), UNESCO (2009) and Brown (1995).

For the rest of this section I will look at evaluation methodologies and/or frameworks commonly employed in the field of community development, namely the Community Development Evaluation Storymap, Most Significant Change technique and Participatory Impact Assessment. I will discuss these methodologies and/or frameworks in terms of how they work as well as with regards to possible use in the applied theatre sector.

### 4.3.2 The Community Development Evaluation Storymap

The Community Development Evaluation Storymap is an evaluation methodology devised by NeighborWorks America for use in community development programmes in response to a desire expressed by more than 250 participants at a 2003 NeighborWorks America symposium on programme evaluation. The symposium participants yearned for a 'map' to show them the way through capacity assessment, performance measurement and outcome evaluation, as well as provide them with the necessary tools to carry out the three types of evaluation listed (NeighborWorks America 2006: 3). In this evaluation methodology the logical narrative mapping out of the evaluation process is juxtaposed against the creative "visual illustration of complex processes" (NeighborWorks America: 2006:3) and this is how the Storymap name was conceived. The Community Development Evaluation Storymap (Storymap) is based on the notion that evaluation is intended to enhance programme efficiency, effectiveness and accountability through an open-minded and unprejudiced learning practice (NeighborWorks America 2006: 2). The Storymap thus aims to provide evaluators with a visual and narrative map to guide them through the process of evaluation.

I include the Storymap as an evaluation methodology in this study for its expansive database of tools, techniques, frameworks and other resources, for its logical but creative approach to evaluation, but

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[99] The flexibility and evolving nature of the intervention refers to the fact that programmes are designed to meet the needs of communities and as these needs change and evolve, so does the programme (Kubisch, Weis, et al 1995: 5).

[100] The breadth of the range of outcomes is concerned with the wide number abstract changes programmes seek to make for which there are often not available or agreed-upon assessments (Kubisch, Weis, et al 1995: 5).

[101] The absence of appropriate control groups refers to the fact that a community initiative seeks to involve all members of the community, some cannot be singled out for the control group. Similarly, it is extremely difficult, if not impossible, to find a comparable group outside the community for control purposes (Kubisch, Weis, et al 1995: 5).

also for the popularity[102] of this methodology. In a case study on NeighborWorks America and the Storymap, Grove Consultants International (2017) describe the methodology as a "key resource" and state that the Storymap narrative has been downloaded 46 000 times in the first three months after publication. To me, however, the main attraction of the Storymap is that it was created over a period of months through a collaborative process between "community-based practitioners, evaluators, researchers, funders, and other community-leaders" (Horne 2015: 9). Due to the wide-range of stakeholder involvement during development, I feel that it is one of the more holistic approaches to evaluation. Stakeholders were included in conception, planning and development and the aim is to provide a 'built-in' approach to stakeholder participation. This is something that is missing from evaluation methodologies such as PAR where stakeholders participate in the evaluation process, without having participated in the design of the methodology. I'm not stating that the Storymap is without faults or that it is necessarily the best or only attempt at equal-opportunity engagement and participation with community development evaluation, but it is certainly one of the most visually engaging, well-thought out and informative endeavours.

Before evaluators or practitioners start interacting with the Storymap methodology, they are required to conduct some groundwork that can be described in two steps. The first step involves the indication of what programme, project (or portion of a project) will be evaluated, and the clarification of the reasons for the evaluation. Secondly, evaluation questions should be created to guide the evaluation together with the creation of an evaluation design. The evaluation design should address the following elements: a concise description of the programme as well as the reasons for the desired evaluation, evaluation questions, data collection methods, the who and where of the evaluation process, how the information will be distributed and the estimated costs of the evaluation (NeighborWorks America 2006: 4-5). This groundwork narrowly aligns with the evaluation design steps and questions as identified by Pittaway and Swan, Millstein, Wetterhal et al., Rossi and summarised in Figure 3[103].

After the groundwork is laid, engagement with the Storymap methodology starts. The Storymap itself is a free, downloadable and printable resource in the form of a 77 page book. Evaluators do a pre-evaluation review that reflects on the role and influence of ten predetermined external and internal factors. This pre-evaluation forms part of the overview map. As this map also contains information

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[102] Storymap is listed as a useful and/or important resource and/or methodology amongst others, by the U.S Department of Health and Human Services (2007), Community Development Learning Guide (2007), Community Wealth's Community Development Corporation Tools (2017), The city of Edmonton (2015).

[103] Figure 3: Evaluation Design Steps and Questions can be found in Section **4.2.4: Evaluation Design** of this Chapter.

on the three different evaluation types offered by the Storymap, namely capacity assessment, performance measurement or outcome evaluation, evaluators are then able to decide what the evaluation focus will be by selecting one, a combination, or all of the stated three evaluation types. Once this decision is made, evaluators will then proceed to the map(s) of the chosen evaluation type(s). Here they will be able to select appropriate evaluation tools and frameworks from a large database. Lastly, by using the tools and frameworks, they will start with the evaluation process.

The Storymap methodology thus basically consists of what is referred to as *four maps* linked to *decision matrices*, a concise information source that aids decision making regarding selecting appropriate evaluation tools, and a *descriptive legend*, which contains additional and contact information regarding the information provided in the decision matrices (NeighborWorks America 2006:4 - 11). Map 1 (or the pre-evaluation review) is an overview of the three types of evaluation used by the Storymap. Its main purpose is to provide a starting point to the evaluation process as well as aid decision making about which and how many of the three types of evaluation – represented by map 2 (capacity assessment), map 3 (performance measurement) and map 4 (outcome evaluation) – will be used to measure the effectiveness of a project. I will discuss the various components of the methodology in more detail, as well as describe their functioning within the Storymap.

The first map, called the overview map, focuses on contextualising the evaluation, the three types of evaluation and how the evaluation will be used to strengthen and/or empower communities. Contextualisation consists of both the internal and external factors which can have an effect on a project and as such five organisational, or internal, factors and five external factors are identified which play a role in the context of an evaluation. Internal factors identified are (1) *mission, value and plans*, which are concerned with an organisation's priorities, the manner in which programmes are structured and how activities are employed to achieve priorities, (2) *resources and capacities,* or the organisation's ability to effectively carry its mission, values and plans, (3) *size and maturity* (4) *organisational history,* refer to an organisation's records of failures and successes; and (5) *prior evaluation experiences*. External factors that influence context are identified as (1) *social and economic factors* of the community in crises or need, (2) *stakeholder relationships*, as the type of evaluation will depend on who requested it, (3) *political and funding climate*, (4) *local expectations for community development,* which involve the expectations of the target community and whether these expectations will act as a restraint or serve as inspiration and (5) *organisational competitors*.

The creators of the Storymap include a definition of the three evaluation categories in the overview. Capacity assessment is defined as an organisation's ability to perform in-house functions such as

management, financial management and resource development; performance measurement as what an organisation does and how effectively it is being done; and outcome evaluation as the identification and explanation of benefits to the community in need. As stated earlier, these three evaluation types can be used on their own or combined and are both quantitative and qualitative in nature. The last part of the overview involves the strengthening of communities, which subscribes to the reasoning that a stronger organisation (through means of evaluation) will lead to better programmes and consequently healthier communities (NeighborWorks America 2006: 7-9). The overview map thus allows the organisation to clarify and contextualise the evaluation's purpose and focus, determining which of the remaining map(s) will be applicable to the evaluation design. Figure 9 is a visual representation of the overview map.
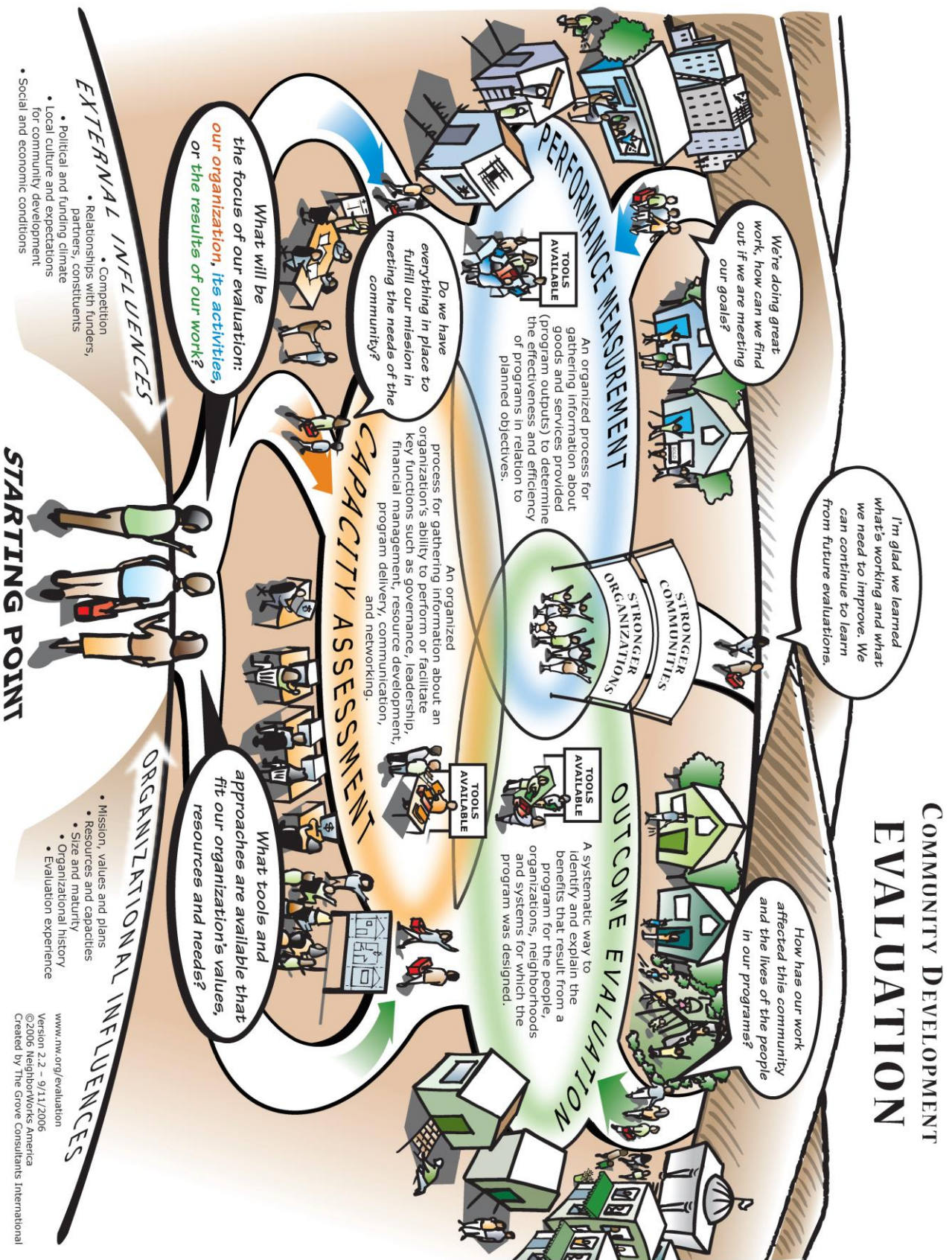
Figure 9: Storymap - the overview map (NeighborWorks America 2006:5)

The second map is the evaluation category of capacity assessment, an assessment that checks whether all requirements are met for effective programme execution and desired outcomes. This can be used to identify and build the weaker and stronger areas of an organisation as well as to measure all internal processes and procedures, from finances to administration. A capacity assessment will provide guidelines as to where funding is needed most in an organisation, e.g. development of resources, but will also indicate how effective previous investment in the organisation was. The map provides a list of various available tools and provides a decision matrix and legend to help evaluators select the appropriate tools to carry out the evaluation (NeighborWorks America 2006: 10 – 12). Figure 10 illustrates the second map of the Storymap methodology.
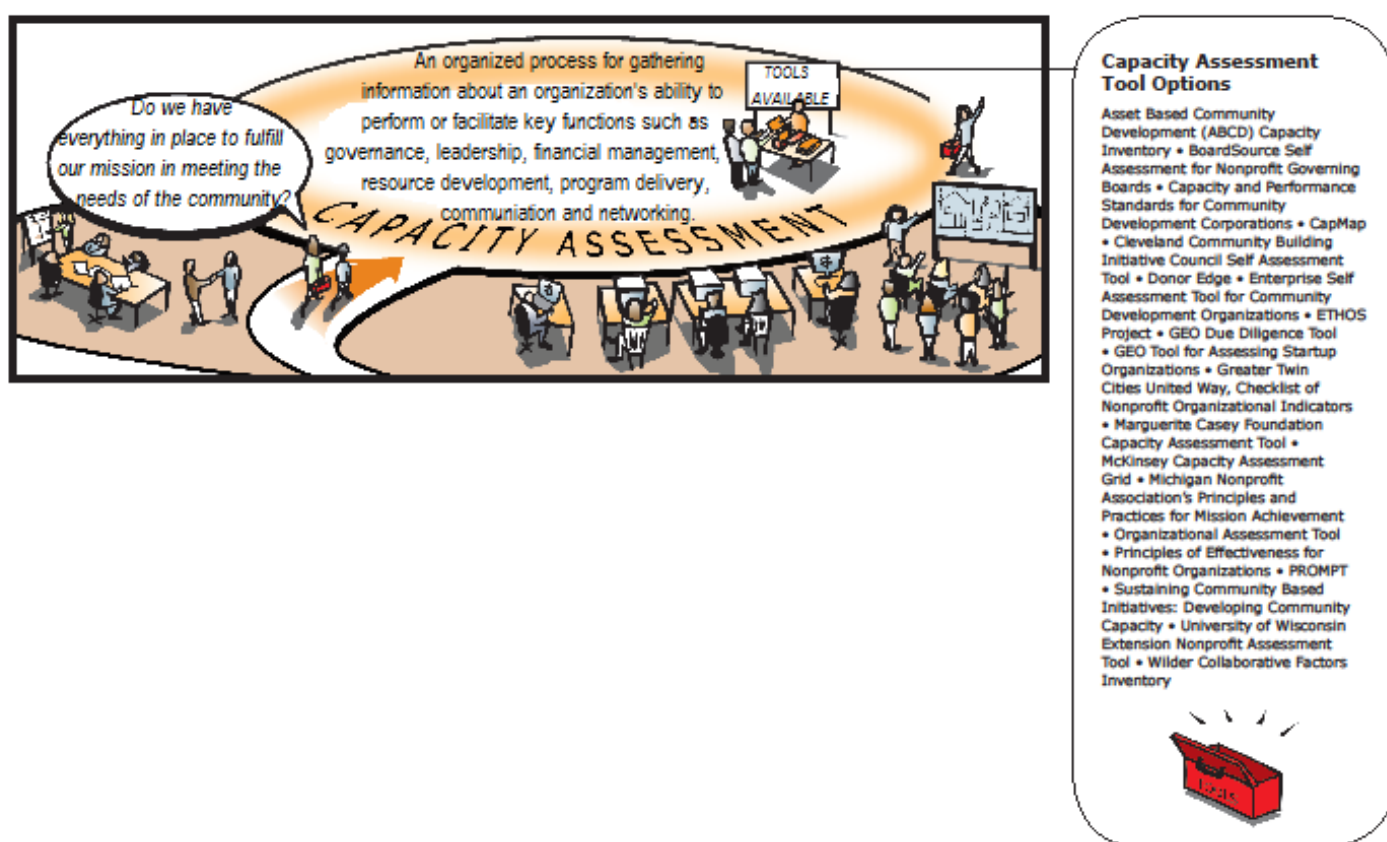


*Figure 10: Map 2 - Capacity assessment map (NeighborWorks America 2006: 10)*

All the decision matrices provided for the different maps, concentrate on the following six elements: focus, format, cost, what is measured, types of data required, types of analysis/reports provided. The information contained within these six elements, enable evaluators to choose an appropriate evaluation tool and/or framework. The decision matrices themselves are divided into eight sub-categories to provide sufficient information on the six elements listed above. These sub-categories are tool/sponsor, what is it, who is it for, cost, who is involved in the assessment process, types of capacity measured/types of comparison probable/types of information collected or available, types of

data sources and standards, and types of reports or analysis. I will use figure 11 to illustrate what the first two lines of the decision matrix for capacity assessment look like.

| CAPACITY ASSESSMENT MATRIX | | | | | | | |
|---|---|---|---|---|---|---|---|
| Tool / Sponsor | What is it? | Who is it for? | Cost | Who is involved? | Types of capacity measured | Types of data sources | Standards and types of reports/ analysis |
| Asset Based Community Development (ABCD) Capacity Inventory *Asset Based Community Development Institute* | **Tool:** Print copies in workbook; example can be downloaded from website | Publicly available | Fee to purchase workbooks | Organization board and staff, community residents | • Individual<br>• Organisational<br>• Community | • Community residents and organizational staffs' responses to surveys<br>• Self-defined standards | Inventories of individual and institutional assets for use in programme planning and implementation. |
| BoardSource Self-Assessment for Non-Profit Governing Boards. *BoardSource* | **Tool:** Online data collection; hard copy available. | Publicly available | Fee for purchase | Organization board members, BoardSource staff | • Ten types not specified | • Board members' responses to survey questions. | Report based on survey responses is prepared by BoardSource |

*Figure 11: Capacity Assessment Matrix (NeighborWorks America 2006: 12-13)*

Together with the decision matrix, an accompanying legend is provided which provides contact information for the tool or sponsor as well as additional information on the tool or framework. The corresponding legend for the above two lines of the capacity assessment matrix is illustrated in Figure 12.

**Capacity Assessment Frameworks and Tools Legend**

**Asset Based Community Development (ABCD) Capacity Inventory**

This link (http://www.northwestern.edu/ipr/abcd/abcdci.html) is to an example of a capacity inventory to be used with individuals to gather information on gifts and abilities. Also useful in capacity assessment are two PDF files that can be downloaded from the website: "Hidden Treasure Toolbox," and "Discovering Community Assets." ABCD workbooks (hard copy publications available for purchase) include other capacity inventory formats that can be used to gather information on community as well as individual assets.

| Contact information for ABCD Institute |
|---|
| Address: Asset-Based Community Development Institute |
| School of Education and Social Policy |
| Walter Annenberg Hall, Room 148 |
| Northwestern University |
| 2120 Campus Drive, Evanston, IL 60208 |
| Telephone: 847-491-8711 |
| Fax: 847-467-4140 |
| E-mail: abcd@northwestern.edu |
| Website: http://www.northwestern.edu/ipr/abcd.html |

**BoardSource Self Assessment for Nonprofit Governing Boards**

Online and hard copy board self assessment tools available for purchase. Tools measure 10 areas of board responsibility. Online tool includes confidential online questionnaires for board members to evaluate board performance and their own individual contributions, and BoardSource staff assistance in assessment process. Survey results are compiled and tabulated by BoardSource and a report of survey results is provided to the organization ($899 for members, $1199 for nonmembers). Hard copy version includes 60 page user guide for facilitators ($269 for nonmembers, $201for members). Custom versions available for foundations. Recommended for use as preparation for a board retreat.

| Contact information for boardsource |
|---|
| Address: BoardSource |
| 1828 L Street NW, Suite 900 |
| Washington, DC 20036 |
| Telephone: 202-452-6262 or 877-89BOARD (877-892-6273) |
| Fax: 202-452-6299 |
| Website: http://www.boardsource.org |
| Link to BoardSource publications: http://www.boardsource.org/Bookstore.asp |

*Figure 12: Capacity Assessment Frameworks and Tools Legend (NeighborWorks America 2006: 24)*

The decision matrix and legend are designed to empower the evaluator to choose appropriate evaluation framework(s) and tool(s) that are uniquely suited to their needs. The broad scope of the decision matrix and additional information contained in the legend, make it possible to make informed decisions. Once an evaluator has made their appropriate choices, they can commence with the evaluation process.

Performance measurement is the third map and can be simply described as outputs measurement. This evaluation method can be used to measure and improve all-round efficiency and effectiveness and provides evidence of programme outcomes, objectives and targets reached. Benchmarks are often used in performance measurement, to track success or failure over a period of time. It can be used to only measure the performance of certain sections or of the entire programme or organisation. A decision matrix and legend are provided in the Storymap guidebook to aid evaluators in selecting the appropriate tools to carry out the measurement (NeighborWorks America 2006: 30 – 32). Figure 13 represents the performance measurement map.
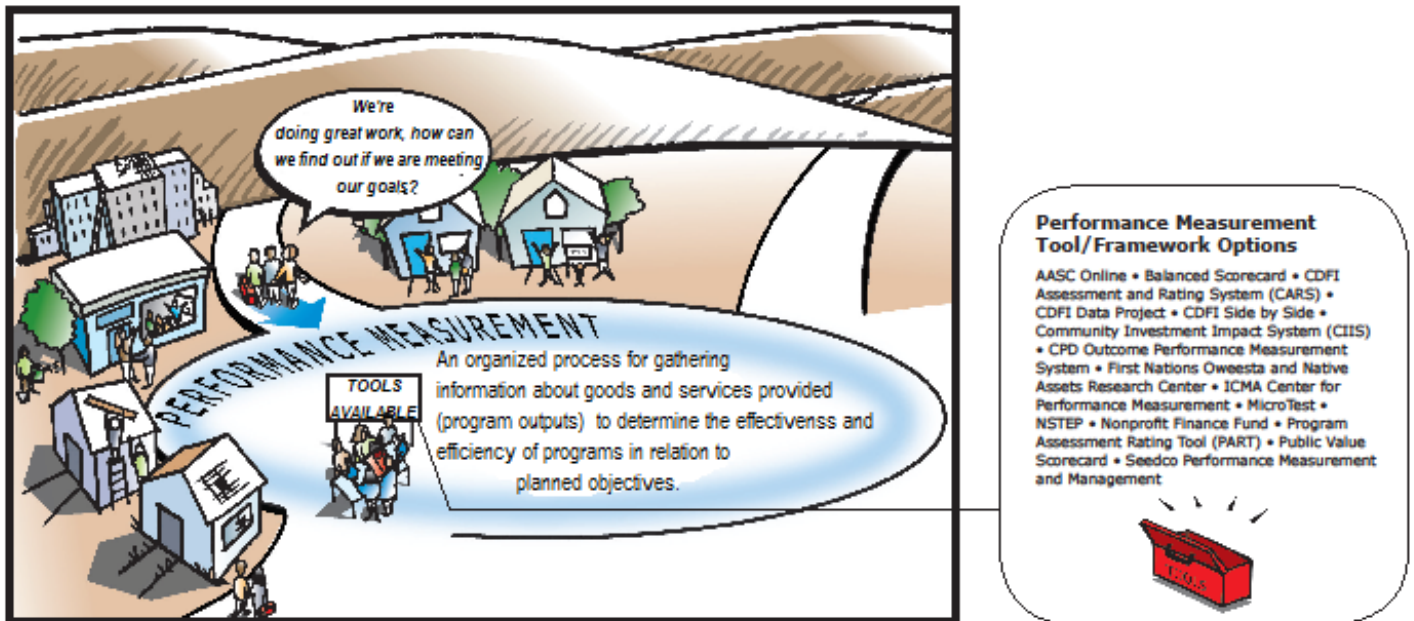
*Figure 13: Performance measurement Map (NeighborWorks America 2006: 30)*

The last map is concerned with outcome evaluation and attempts to show how the programmes and activities have affected the communities and the lives of participants. Outcome evaluation is concerned with demonstrating programme effectiveness, i.e. whether change has occurred in either people, environments or policies, as well as why those changes can be attributed to the activities of the programme. It further indicates which parts of a programme are effective and which parts need to improve. Outcome evaluation is important to provide evidence of changes, to demonstrate results to stakeholders and to identify programme strengths and weaknesses. A decision matrix, together with a legend, is provided which offers evaluations with all the available tools and techniques to complete the evaluation (NeighborWorks America 2006: 44 – 46). Figure 14 illustrates this part of the Storymap.
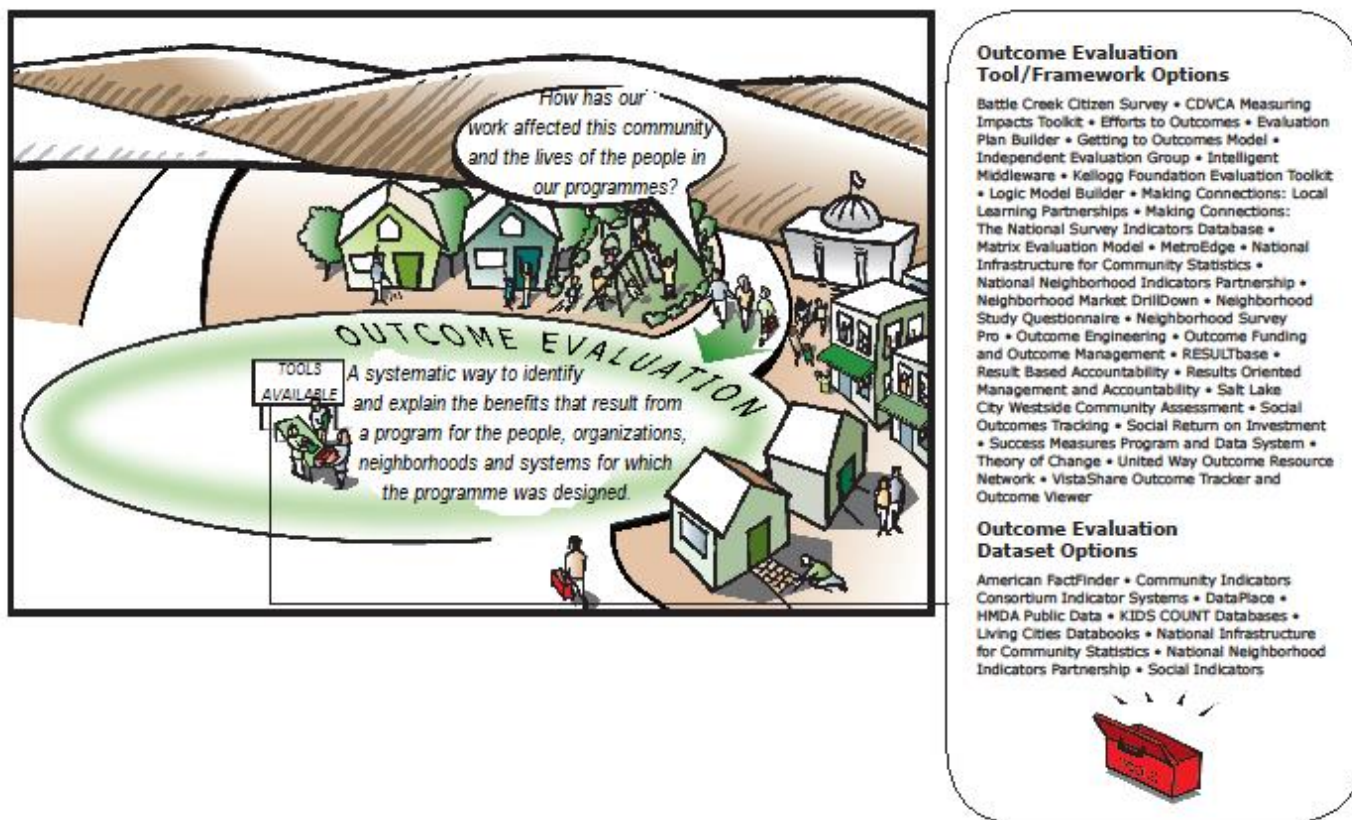
*Figure 14: Outcome evaluation map (NeighborWorks America 2006: 44)*

The Storymap methodology provides a clear visual map for evaluators to clarify evaluation focus and type but lacks in providing any map for conducting the evaluation itself. It does guide the evaluator to find appropriate frameworks and tools but does not offer any enlightenment. Although the methodology to find an appropriate framework and/or tool seems straight forward in theory, it actually requires knowledge of various processes, methods and techniques on the part of the evaluator to be fully realised. The enormous amount of information in each matrix and legend is arranged alphabetically and not according to any type or category which makes finding an appropriate tool even harder. It can be a very time-consuming method to arrive at an appropriate evaluation framework, especially more so if evaluators or programme designers have to research every tool and framework provided in order to make a decision regarding the most effective combinations for their programmes. Horne (2015: 9) highlights that this is a dated methodology, with dated frameworks and techniques and that evaluators would have to do additional searches to find new approaches, frameworks and tools developed since 2006. She defines the Storymap as a conceptual model which must be used together with other resources to evaluate programmes (Horne 2015:9). I agree and would characterise the Storymap as a guide towards evaluation instead of an evaluation guide.

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The benefit of using the Storymap approach is the clarity of the approach to evaluation design as well as the wide-ranging and in-depth register of evaluation frameworks, techniques and tools. Another benefit is the inclusion of outcome evaluation as part of the evaluation types, this would be the type of evaluations that many applied theatre practitioners seek to use, as it attempts to demonstrate change as well as why change has occurred.

The Community Development Evaluation Storymap is rooted in social capital theory, as relationships matter in every way for the evaluation framework. The creation of the Storymap through stakeholder collaboration and the strong statement at the centre of the map (that the strengthening of communities leads to stronger organisations, better programmes and ultimately healthier communities) is to me the personification of a theory that values a society through the well-being of its inhabitants.

### 4.3.3 Most Significant Change technique (MSC)

The Most Significant Change technique (MSC), is a participatory qualitative evidence-gathering monitoring technique, developed by Davies and Dart (2005) to measure the impact(s) of complex programmes. MSC is not a conventional monitoring or evaluation technique and takes a narrative approach to demonstrating the effectiveness of a project or programme. Almost all applied theatre and community development practitioners have one or two 'success stories' that they feel demonstrate the impact of their programmes, but traditional M&E frameworks do not provide for such colloquial evidence. The appeal of this popular method therefore lies in its unconventionality that uses those 'success stories' as the basis of its design.

MSC can shortly be described as a collection of significant change (SC) stories collected at grassroots level of any community, development or change orientated project and filtered through the hierarchy of the organisation running or orchestrating these programmes or projects. This implies that all stakeholders are involved in determining the impact of the project or change that had been made. (Davies & Dart 2005: 8). In practice this means that facilitators, community workers and/or participants (i.e. all those directly involved at grassroots levels of a project or programme) collect stories of what they think demonstrate the impact of a programme. These success (or significant change) stories are then sent to the next level in the organisation – for instance supervisors, project managers or directors. These individuals would read through all the stories and send the ones which they think best demonstrate the effectiveness of the project to the next organisational level, where the process would be repeated until it reaches the highest organisational level. The MSC technique claims

that the stories which reach the top are the ones which truly demonstrate programme effectiveness or significant change.

Engagement with the MSC approach starts with a free downloadable and printable 104 page guide by Davies and Dart entitled *The "Most Significant Change" (MSC) Technique: A Guide to Its Use* (2005) which provides evaluators and community workers with a how-to guide to implementing, using and utilising the technique. In this guide the authors identify a ten-step process to collect and verify SC stories.

Step 1 is *how to start and raise interest* and is used to introduce all stakeholders to the MSC process (Davies & Dart 2005: 10). This step is vital to ensure participation amongst all stakeholders (Hovland 2007: 50-51).

In Step 2 stakeholders *define domains of change* and this simply implies a clarification of the change that is to be measured (Davies & Dart 2005:10). Hovland (2007 50-51) postulates that these change domains are left deliberately vague and open-ended, with no boundaries, indicators or benchmarks set, for the domains to be as accessible and easy to use as possible. The MSC approach in its entirety does not use traditional evaluation techniques such as indicators or benchmarks to measure and evaluate outcomes, as it is more concerned with learning about social change through storytelling than with accountability (Davies & Dart 2005: 12 -13).

*Defining the reporting period* is Step 3 of the MSC process and is concerned with deciding upon the frequency and duration of the monitoring of possible change, i.e. the timeframe during which stories are collected (Davies & Dart 2005:10).

*Collecting SC stories* from the direct participants is Step 4. These stories are collected to demonstrate significant change in the domains identified in Step 2. Hovland (2007: 50–51) states that these stories can be collected through asking questions such as: *What was the most significant change that occurred over the past month in your opinion*? The respondents have to select the change domain to which their story belongs and are prompted to give reasons for why they contemplate that the specific change was the most significant that occurred.

Step 5 is *selecting the most significant of the stories.* During this step stories are analysed and reviewed by different hierarchies or levels in the organisation. Should an organisation be too small to have different levels or hierarchies of management, small groups can be formed to perform the same

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function. Each group or level select certain stories that for them demonstrate the best significant change in a certain change domain (identified in Step 2) and send these on to the next group or level. In this way the stories are narrowed down to the most important ones for the organisation (Davies & Dart 2005:10). Each group has to record their reasons for selecting particular stories and this feedback is shared with all the participants of the MSC process. This repeated process of selection creates a systematic and transparent culling of stories (Hovland 2007: 50-51) until the last level of the organisation or final small group is reached. The stories selected at this level are the ones that demonstrate the most significant change in each pre-determined domain. Davies and Dart use the cartoon in figure 15 to visually demonstrate this step.



*Figure 15: Step 5 - Selecting the most significant of stories. (Davies & Dart 2005: 8)*

Step 6 concerns *feeding back the results of the election process.* After the completion of the time-frame determined in Step 3, a document is produced which contains the SC stories identified and collected at the highest organisation level that best represents the change(s) that occurred during that time in every pre-determined domain. If the development, community or change initiative programme is sponsored by a donor, this collection of SC stories is then handed to the donors of a programme and they are in turn asked to select the stories which best represent their perceived outcomes of the specific project or programme (Davies & Dart 2005: 10).  The stories chosen by donors are presented (together with a short motivation from the donors as to why they chose these specific stories) to programme managers, facilitators or community workers and serve as a check to ensure that the actual

programme outcomes align with those required by the donors. Programmes which are not sponsored by donors can use this final selection of stories to monitor that the programme is still on track.

*Verification of stories* is Step 7 and is done through site-visits to authenticate the accuracy of the reported stories that were selected as being most representative of change in each pre-determined domain and to gather more detail around the stories (Davies & Dart 2005: 10). Site visits also provide the opportunity to observe the development(s) since the reported change occurred (Hovland 2007: 50-51).

Step 8 is *quantification* and investigates the type of change that occurred in a reported story, the degree to which this specific change had occurred, and whether this change had also occurred at other sites (if a programme or project is conducted at multiple sites). This step also allows for the investigation of the monitoring process and the MSC process as a whole (Davies & Jess 2005: 10).

Step 9 is *secondary analysis and meta-monitoring* and concerns the investigation of the monitoring system. It investigates who were involved in the initial capturing of a significant change story, how they influenced the information, and the methodology used to record different types of changes (Hovland 2007: 50-51).

*Revising the system* is the last step, namely Step 10 in the ten step MSC process and involves a critical investigation into the use of the MSC system to see what was gained from it (Davies & Dart 2005: 11). Any good practice can be communicated back to other practitioners to strengthen the reporting and monitoring system and necessary improvements and adjustments can be made (Hovland 2007: 50–51).

The MSC technique is not a standalone monitoring and evaluation technique as it is not concerned with collecting any evidence apart from SC stories. However, it would form a wonderful compliment to traditional evaluations, especially more quantitative-type evaluations as it would offer a more holistic overview of a programme or project. Davies & Dart (2005: 8) refer to MSC as a "form of participatory monitoring and evaluation": *participatory*, as it involves all stakeholders in decision making and data analysis; *monitoring*, due to its permanence in the programme cycle and the imparting of information to aid programme management; and *evaluative*, due to the provision of data on impact and outcomes which can aid the determination of the overall success of an entire programme. Nonetheless, MSC should not be confused with traditional participatory monitoring and evaluation methodology.

Some drawbacks of the MSC technique is that it requires time to implement; most of its success rests on the integrity of facilitators, community workers and grassroots level practitioners (What Works 2015 [online]). Power must be equally distributed among all stakeholders for the technique to work that it can be challenging to confidentiality and ethics (State of New South Wales Department of Education 2018) and finally, that it can be complex and challenging to imbed MSC in traditional M&E cycles[104] (Willets & Crawford 2007).

On the positive side, the MSC technique provides opportunities to record change that is not generally provided for with traditional evaluation practices. Willets and Crawford (2007: 4) remark on the opportunities for learning about a programme or project that the MSC technique creates and as such the possibilities for improvement. As it is a technique devised to record change, positive or negative, it creates an opportunity to record the unintended changes or outcomes of a programme as well as the possible consequences of these unintended changes or outcomes (What Works 2015 [online]). It focuses on those changes that are identified as important to the direct participants, who, after all, are the primary objectives of a programme or project (State of New South Wales Department of Education 2018).

Arguably the biggest advantage of using the MSC technique in an applied theatre setting, would be the possibility of enhancing evaluation and assessment practices if used in conjunction with other evaluation methodology. Because the MSC technique requires no prior training[105], it is an inclusive methodology which can be applied to all applied theatre programmes and projects, especially as it is a useful evaluation methodology for 'bottom-up' approaches. The MSC technique can furthermore be very useful to applied theatre programme or project evaluations as most practitioners, myself included, have a myriad of success stories that 'prove' the effectiveness of programmes or projects without the 'hard evidence' to back up these claims. Through the use of this approach, those stories could be able to demonstrate significant change. Although the MSC technique might not satisfy the usual characteristics of a 'good' evaluation, like validity or reliability, it does provide the opportunity

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[104] Crawford is the creator of the Monitoring and Evaluation Data Cycle discussed in Section 4.2.4 **Evaluation Design** and represented in Figure 8. Willets and Crawford wrote an article describing the challenges to fitting the MSC technique into the M&E Data cycle that Crawford generated as well as suggestions on how to overcome it.

[105] I would like to justify this remark in the light that many applied theatre practitioners do not have formal training or, in some instances, no formal schooling. Responsible practice would be for all practitioners to evaluate programmes and as such, until such a time as affordable and realistic evaluation training opportunities becomes available, it would be prudent to include a form of evaluation that requires no additional knowledge or skills.

to evaluate a programme qualitatively. It is also compatible to the inclusive nature of applied theatre as it allows all stakeholders a narrative platform.

### 4.3.4 Participatory Impact Assessment (PIA)

Participatory Impact Assessment (PIA) is defined as the explicit impact measurement of the humanitarian and development programmes on the lives of the participants by using participatory tools in conjunction with more traditional quantitative models (Catley, Burns, Abebe & Suji 2007: 9). PIA is an extension of the Participatory Rural Appraisal (PRA), a model concerned with the enabling of rural communities to communicate, improve and examine their narrative as well as to plan and take action if necessary (Chambers 1995: 1-2). PRA can be categorised as a systematic approach for gathering information about the existence and circumstances of people living in rural areas and the term frequently implies fundamental change on a personal and/or organisational level (Chambers 1995:12). PIA adopts PRA methodology to assess changes in the lives of rural participants and to investigate what impetus caused these changes (Catley, Burns et al 2014: 5). The PIA approach allows target communities to generate their own indicators of social change (Lennie, Skuse, Tacchi & Wilmore 2008:6). De Jesus and Morgan (2010: online) argue that the main difference between the PIA and PRA approaches is that PIA attempts to assess the "actual impact" of programmes on rural communities[106]. However, PRA is more concerned with empowerment, learning, knowledge sharing and possible actions of rural participants than with actual impact assessment of programme evaluation (Cornwell & Pratt 2009). This is also evident in PRA's recent name change to Participatory Learning and Action (PLA).

PIA is a flexible, inclusive approach that views the community as the experts and as such facilitates participants to assess the impact of the programmes and projects on their own lives by identifying and evaluating own change indicators (Catley, Burns, Abebe & Suji 2007: 9). Lennie, Skuse, et al. (2008:1) add that PIA "seeks to ground communities in local reality".  It should be noted that PIA is not the only participatory assessment methodology available or used for rural evaluation. Guijt (1998) proposes a twelve-step approach for designing a participatory evaluation, which is used amongst others by UNICEF (Guijt 2014). The twelve steps Guijt (1998: 23-25) identifies are:
1. Make the decision to implement a participatory evaluation.
2. Identify stakeholders.

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[106] A statement echoed by Catley, Burns, et al. (2008:9) when they state that PIA is "specifically designed to measure impact".

3. Identify the needs and expectations of participants.

4. Recognise which objectives will be evaluated.

5. Identify and list indicators.

6. Select the evaluation and monitoring methods and techniques that will be used.

7. Frequency, time-frame and who will be responsible to be identified.

8. Organise and test the methods that will be used.

9. Put the time-frame into operation in an organised way.

10. Analyse, manage and store data.

11. Record conclusions and results.

12. Utilise the information.

PIA is however the most widely used participatory assessment methodology. It attempts to answer three questions: whether there have been any changes in the community since programme inception, which of these changes, if any, were as a direct result of the project and whether the changes have made a difference to the lives of the participants. PIA differs from traditional evaluations as its sole focus is on the measurement of the real impact on lives. Traditional evaluation is concerned with measuring objectives and outcomes and analyse why these have or have not been met (Catley, Burns et al 2014: 5).

Assessment consists of two main methods, a scoring and/or ranking system, followed by interviews. Participants are required to score or rank certain indicators, which can then be translated into numerical data. These measurements become indicators of things like e.g. income or health. The more this step is repeated in different locations, the more reliable the outcome becomes. The interviews that follow are open-ended and informal. The data gathered from these are verified through various processes, e.g. repeating questions, the measurement of certain indicators with a wide variety of techniques, or the reviewing of reports. Evaluators also use a before and after comparison whereby the situation at both the start and the end of the programme is assessed. Any difference between the two is classified as change. Comparison groups are used to compare participating communities with non-participating communities to monitor whether change is taking place and whether this can be attributed to the specific programme or project (Catley, Burns et al. 2014: 5-7).

Catley, Burns et al. (2014: 11) propose an eight-step approach to designing a PIA. This approach is presented as linear, although the stages can take place simultaneously. The approach is flexible and can be adapted to suit individual programme needs. The stages are defining the questions, time frame and location, identifying community defined indicators, choosing and testing methodology for

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sampling and change, attribution assessment, triangulation of results and the planning of feedback. This eight-step approach loosely correlates with the twelve-step process as identified by Guijt. Guijt's steps are very closely bound to evaluation design process as discussed in section *4.2.4 Evaluation Design* and is thus a very generic approach. The PIA eight-step approach is very focused on and specific to the rural participants that partake in programmes or projects and the methods and techniques used are designed specifically for use in this sector. As the PIA's approach is rooted in generic evaluation design as referred to earlier, it is easy to spot similarities to that of Guijt. I will proceed to list and shortly discuss each stage or step.

Step 1: *Identify the key questions*. The defining of these questions are similar to the identification of the objectives of a programme and practitioners are advised to limit the questions to five. Too many questions will result in unusable and watered-down results (Lenny, Skuse et al 2008:10).

Step 2: *Defining the boundaries of the project in space and time.* Decide upon the time-span of the project and where it will take place. Participants can draw a physical map to plot out boundaries to ensure better understanding. Such a map can be created using material locally obtainable and can serve as an icebreaker for the PIA process. As this is a visual exercise, it is accessible to both literate and illiterate participants (Lenni, Skuse et al 2008: 13). The creation of a time-line is important as it allows participants to recall certain events that happened during the facilitation of a specific project, allowing for the recording of occurring changes. The time-line may also include external events, which will aid with attribution in a later stage (Catley, Burns et al 2014: 15).

Step 3: *Identifying indicators of project impact.* Indicators are measurements that will assess if change has occurred. The PIA uses two types of indicators: process indicators and impact indicators. *Process (or outcomes) indicators* measure the physical activities of the project to prove activities are taking place and are usually quantitative. *Impact indicators* can be qualitative or quantitative and is concerned with the change that occurred because of the programme. It usually involves an asset transfer to the community, e.g. infrastructure. The target community should, as far as possible, set the indicators (Lenni Skuse et al 2008: 20).

It should be kept in mind that the target communities have their own goals for improvement and their own means of defining and assessing change. In order to record the community defined indicators, evaluators ask participants what changes they expect will result from participation in the project. Alternatively, evaluators can ask participants what changes have already occurred due to participation in the programme. Evaluators should keep in mind that there is a difference between the ownership

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and utilisation of an asset and must carefully record whether an asset has been utilised since ownership of the asset has been transferred. When a target community identifies too many indicators, ranking should be used to whittle it down, as too many indicators will present the same problem as too many key questions (Catley, Burns et al 2014: 18 - 23).

Step 4: *Methods.* This stage is about selecting the most appropriate methodology to assess change and practitioners can choose from a list of participatory assessment methods and techniques. The assessment methods are inclusive and vary according to the skills of the participants, e.g. *ranking and scoring,* which requires participants to assess the importance of different items and can for example be paper, pencil and word based or participants can use beans and pictures to indicate the level of importance; *visual aids and indicator cards,* which requires participants to assess the importance of different items and can for example be paper, pencil and word based or participants can use beans and pictures to indicate the level of importance; and *before and after scoring*, which helps participants to compare situations before and after intervention, e.g. score the quality of water using a score out of ten before the intervention and repeat the exercise after the intervention has ended and compare the results. The use of visual aids is important during all methods, as this includes both literate and illiterate participants (Lenni, Skuse, et al 2008: 26).

Step 5: *Sampling.* PIA makes use of three types of sampling methodology, namely *convenience sampling,* where data is collected from the most convenient groups, *purposive sampling* where data is collected from the most representative groups and *random sampling* where data is collected from randomly chosen groups. The amount of time and money a project has available for sampling will determine sample size as well as the type of sampling. For the most reliable results, sampling should be repeated regularly with the same group, the same indicators and framing the question in the same way. A bigger sample group will also ensure more verifiable results (Lenni, Skuse et al 2008: 44).

Step 6: *Assessing Project Contribution.* Change takes place over of a period of time and during this time-span, communities will experience a variety of external influences, not only the interventionist project's impact. It is important to assess how much the project contributed to the change and how much was due to other factors (Lenny, Skuse et al 2008: 47). PIA makes use of three approaches to explain attribution, namely: judging the importance of both programme and non-programme activities that may have contributed to identified changes, the comparison of both programme, non-programme and different programme activities through participatory methods and comparing the change in programme participants with those who did not participate in the programme (Catley, Burns et al. 2014: 45).

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Step 7: *Triangulation.* During this important stage, secondary data (usually from the project's own M&E practices) are compared to data gained form participatory methods to confirm results independently. The results from different participatory approaches on the same indicator are also compared (Catley, Burns et al 2014: 56).

Step 8: *Feedback and Validation.* This step is concerned with the presentation of the results of the project back to the community. It is also the final opportunity for all stakeholders to authenticate the outcome(s) and provide additional information (Catley, Burns et al 2014: 58).

The following figure is a very simplistic illustration of the various stages in the PIA process.
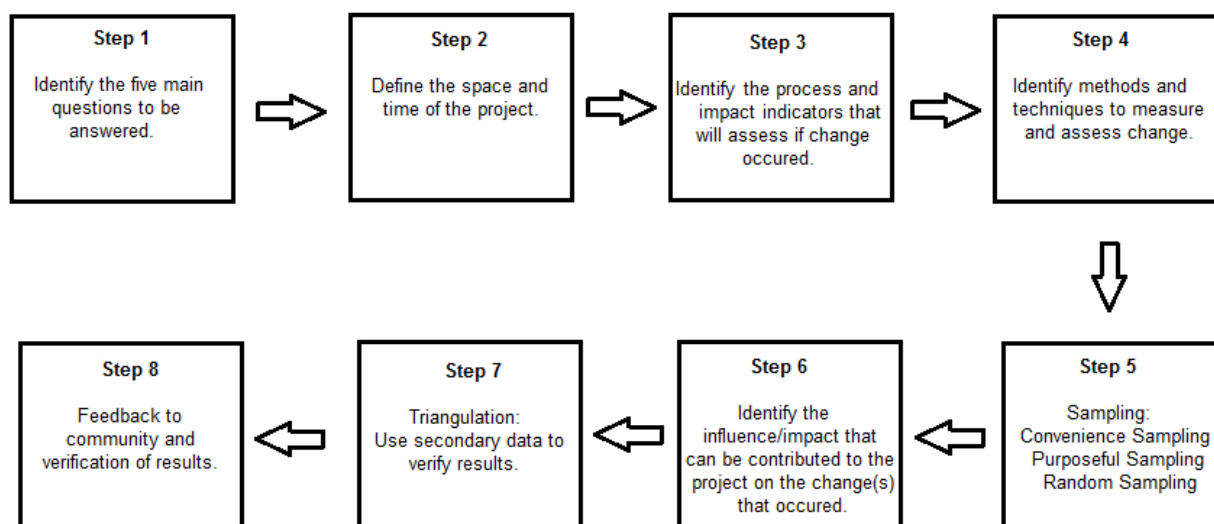


*Figure 16: A Simplistic Illustration of the PIA process*

Using the above framework, I drew up a very simplistic representation of how the process could work within the applied theatre sector:

| Step 1 | Step 2 | Step 3 | Step 4 |
|---|---|---|---|
| 1. How can we decrease the rate of teenage pregnancy. 2. How to promote safe sex practices | The project will take place in a secondary school over a period of a month with assessment taking place over a 12 months | **Process Indicators:** Applied drama programme; performance **Impact Indicator:** Decreased pregnancy rate | Before and after scoring, performance |

| Step 8 | Step 7 | Step 6 | Step 5 |
|---|---|---|---|
| Provide feedback to the community and verify the results. | Look at statistics on Teenage pregnancy, infections and STD's before, during and after the programme. | Use control groups to assess which changes can be attributed to the programme. | Random Sample of scholars partaking in the programme and those watching the performance and attending discussion. |

*Figure 17: A Simplistic Representation of how PIA could work within the applied theatre sector*

The strengths of the PIA approach lie in its inclusivity. The participatory activities circumvent writing, which makes it extremely applicable in situations where participants have low literacy skills. However, the same activities can be presented in a literary format as well. This implies that all participants can partake at a level that suits their needs. Information gathered is a truer reflection of responses as answers are not filtered through an interpreter or scribe. These strengths also make the approach desirable to use within applied theatre programmes. The assessment outcomes are verified twice, which lends it more integrity. Different types of indicators are identified before the project and allow for qualitative as well as some quantifiable measurements. Control groups allow practitioners to know how much the project contributed to measurable change.

Lennie, Skuse et al. (2008:4) identify the following challenges in the PIA approach namely: that it is very complex, it needs skilled researchers, the "lack of connection between content and monitoring and evaluation" and the "quality of data gathered and managed". I agree with their statement on the complexity of the system, the process is time-consuming and expensive to implement. Practitioners will also need to be trained to use it correctly.

### 4.3.5 Application of evaluation methodology as used in the community development field

Evaluation theories are abound in the field of community development, but not that many tested evaluation and assessment methodologies exists. Correlation exists in the fields of applied theatre and community development with regards to the reasons for measuring the impact or effectiveness of programmes; the complexities of and challenges to accurately evaluating programmes and the desire

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to bring about change in target communities.  It is evident from the section on Evaluation Theory (Section 4.2), that evaluation structure and design should be carefully planned during the planning stage of the project and should as such form part of the implementation, monitoring and operation of the programme and never added as an afterthought. Evaluations should be as simplistic as possible in order to ensure valid results and evaluators should understand the evaluation method utilised. These points on the evaluation theory of community development is also applicable to the field of applied theatre and will aid with more accurate evaluations of the effectiveness of applied theatre programmes.

I briefly discussed the three most distinctive and popular community development evaluation methods in previous sections, namely the Community Development Evaluation Storymap, the Most Significant Change Technique (MSC) and Participatory Impact Assessment (PIA). I will now shortly refer to the validity of using these methods for evaluating applied theatre projects or programmes.

The Storymap methodology is a very thorough guide towards an evaluation process with an extensive catalogue of evaluation frameworks, techniques and tools categorised for each of the three evaluation methods namely capacity assessment, organisational performance and outcome evaluation. Although the information on evaluation techniques, frameworks and tools are somewhat dated, it provides a solid starting point for the search for an appropriate evaluation process and it makes the distinction among the three evaluation types crystal clear. Applied theatre programmes or projects will mostly make use of the outcome evaluation, as programmes and projects in this sector are very much outcome orientated as change, whether in attitude, behaviour, knowledge or skills are an integral part of applied theatre programmes. The Storymap approach gives clear guidelines on what this evaluation type entails and provides practitioners with an outcome evaluation decision matrix and legend. The disadvantage of the Storymap approach, is the sheer volume of information practitioners would have to work through to find and select a suitable evaluation framework, technique or tool. Practitioners would need some knowledge of evaluation methodology to utilise the extensive register to its full extent. Practitioners will also still have to design their evaluation methodology based on the information gathered from the Storymap, as the Storymap approach in not an evaluation framework in itself. This, together with the amount of work required before the start of the approach, makes it time-consuming and labour intensive.

The Most Significant Change technique (MSC) is not a standalone evaluation technique but would complement traditional evaluations with a bottoms-up 'personal' approach on what significant changes occurred during the programme.  No formal training is required and it is inclusive, it also

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adds the benefit that the target community identifies what they see as significant change and whether significant change took place. I think it is a great resource for applied theatre practitioners to use in conjunction with another evaluation method, as it is designed to record change, positive, negative and unintended, as well as the possible developments after these changes had taken place. MSC formally keeps a record of those success stories applied theatre practitioners experience and view these as proof of the effectiveness of their programmes but which have no place in traditional evaluation practices. Instead of disregarding these stories, it gives them a space alongside traditional evaluation findings.

Participatory Impact Assessment (PIA) is designed to directly measure the impact of a programme on the lives of the participants. It has developed methods for evaluating programmes and projects that are inclusive and valid. Although PIA methodology is focused on rural communities, it can be adapted to suit urban communities. Applied theatre practitioners would have to slightly adjust the eight-step process associated with the approach, as PIA usually involves the transfer of an asset to community or individual ownership, which also makes the question of attribution easier. The use of the PIA methodology in an applied theatre setting is demonstrated in figure 17[107]. Even if applied theatre practitioners do not find the PIA approach suited to the specific evaluation needs of their programmes or projects, some of the tools and techniques used by the PIA approach can still be used in conjunction with another evaluation framework.

## 4.4 Evaluation in the social work sector

As with the other fields in the social science sector, social workers struggle to find evaluation methods and practices that effectively measure programme outcomes and changes in human behaviours[108]. I will use this section to look briefly at terminology used in the social work sector, the problems faced by evaluators and briefly discuss prevalent evaluation models used and examine the programme outcome model.

The terminology used in the social work sector is the same as that used in the rest of the social sciences. Terminology like e.g. assessment, evaluation, outcomes, indicators, inputs and activities are

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[107] Please refer to section 4.3.4 **Participatory Impact Assessment.**

[108] Mariarity and Manthorpe (2016: 14) remark that only a diminutive percentage of assessments regarding social work concerns the effectiveness of evaluations, but that most evaluations regarding assessment are concerned with how the subject felt about being assessed. Chalk, King et al. (1998: 94) states that there is very little correlation between findings (research) and interventions, and that the link is tenuous at best.

used to the same effect. This should not be surprising, as social workers, like practitioners from other social science fields, deal with changing human behaviour, attitude, knowledge and awareness.

The problems social workers experience with the evaluation of their work also correlate with the difficulties experienced by others in the social science field. Chalk and King (1998: 94) state that the foremost problems facing social work evaluations are the difficulty of single programs with multiple outcomes, the uniqueness of each person and/or community and the problematic nature of attribution. Bergel and McFarland (2015) identify time-constraints, lack of evaluators, and an absence of knowledge as reasons why only a few social service organisations conduct evaluations. The reasons for evaluating work are also similar to those in the other social science fields, namely: to see if programmes make a difference, to measure the impact on participants' lives, to improve programmes and programme effectiveness (Hatry, Van Houten et al. 1996:4), integrity and reliability, responsibility and answerability and sustainability (Bergel & McFarland 2015). Catley, Burns, et al. (2008:7) in addition emphasise the importance to "communicate the effect of impact" as the social science field is under mounting pressure to prove the results of interventions from donors and the public.

### 4.4.1 Evaluation models and methodology in social services

Washington (1995) lists several models[109] used by social science practitioners and I will briefly mention them before I examine the programme outcome model.  I do not discuss them in detail, as they are not systematic approaches that practitioners can use, but broad frameworks in which practitioners can operate. They are also more concerned with the programme operation than the evaluation of outcomes. A point reflected on in the introduction of this section, when I stated that many social work programmes use theories to design intervention programmes without the theories being tested, evaluated, or researched regarding their effectiveness in the field. The models listed by Washington (1995: 296-306) are the conceptual model, the systems model, the goal attainment model, the impact model, the behavioural model and the person-in-environment system. Of all these models the behavioural model, which is discussed in more detail in Chapter 3[110], is most appropriate for adaption to the applied theatre field.

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[109] Generally, a theory is considered a declaration or statement, which has a broad scope, is underpinned by scientific evidence and aims to explain a phenomenon, whereas a model is the particular application of a theory.

[110] Please refer to section 3.3 Behavioural Change Theory of Chapter 3.

The *conceptual model* is based on change or intervention theory and evaluation is carried out in an analytical framework. Rivers (1993: 1) explains a conceptual model as a systematic framework that includes various hypotheses, principles and concepts, and which social workers can use for a wide variety of intervention programmes.

Walker (2012: 5) defines the *systems model* as one that is made-up of all the elements that affect a social system. In social work a family unity is considered a social system and as such, that individual behaviour is shaped by group behaviour and interventions should thus be aimed at the group, not the individual.

The *goal attainment model* is based on the theory of motivation, which examines forces that energise and direct behaviour, as well as Lewinian Field Theory. This model is most commonly used in social work and measures predetermined outcomes or goals. The success or failure of a programme (based on this model) is reliant upon evaluation. Washington (1995: 299) states that it "assumes specific goals can be assessed in isolation from other goals of the programme" and that it is very "useful in measuring abstract goals and functions". The model works from the assumption that an individual grows in an interpersonal and dynamic relationship to reach certain life goals and is reliant upon three spheres, namely the personal, interpersonal and social. Factors which can hamper goal attainment, include stress, space and time (Peptiprin 2016).

Washington (1995: 303) defines the *impact model* as based on the idea that social work programmes are intended to improve the lives of participants and that it consists of theories that need to be tested. These hypotheses should be stated in such a way that it forecasts more beneficial outcomes to participants than conventional programmes. The impact model uses an experimental design, which states its hypotheses as a range of complex activities and effects of particular project inputs.

The *behavioural model* was discussed in detail in Chapter 3 of this study. Washington (1995: 305) states that in social work, the model is based on three behaviour science concepts. Firstly, that the model and its assessment view behaviour as the depended variant and the individual variant that are the elements of the environment which control behaviour. Secondly, that behaviour is viewed as an outflow of environmental impetus and that in order to successfully change behaviour, environmental circumstances and influences should be changed. Thirdly, it states that the social function of a human service programme provides the necessary tools for individuals to manage and survive in their environment. The assessment of this model depends on the measurement of goal attainment, with

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goals defined in terms of the behaviour that a participant should be able to demonstrate at the end of an intervention programme. Unfortunately, the evaluation of this model is not always successful as goals are not always clearly defined, but if evaluation design forms part of the early planning stages it could help to identify and define goals. A further advantage of planning evaluation design is that a data collection method could be set up to gather the appropriate evidence to measure each goal (Washington 1995: 305).

Appelby, Colon and Hamilton (2007:11) argue that the *person-in-environment (*PIE) system was designed to "describe and code client problems in terms of role performance as influenced by problems in the environment". Each individual performs a social role with regards to family life, interpersonal relationships, occupations and general life. An *environment* consists of a person's needs, training, society's systems and support systems (Appelby, Colon & Hamilton 2007: 12). The system was developed to examine and understand the connection between a person, their context and their environment, and draws its information from social functions, mental health-; environmental-, and physical health problems. The PIE system is concerned with the interdependent relationship between the person and their environment, and the mutual influences exerted (Appelby, Colon & Hamilton 2007:17).

### 4.4.2 Programme outcome model

The Compassion Capital Fund Natural Resource Centre (CCFNRC) (2010: 6-7) defines outcome measurement as a simplified methodology that investigates a programme's impact and is separate from more intricate programme evaluations. It examines what a programme does, the envisioned effect on people's lives, and whether the programme attains these desired goals. It does not, however, demonstrate that change is due to the operation of the programme.

The programme outcome model's purpose is to measure the outcomes of a programme after inputs, e.g. it records information of what happens to participants in a social work programme after the completion of a programme. Outcomes are defined as the changes and advantages that occurred after the completion of a programme and relates to changes in attitude, behaviour, knowledge, skill, value, condition, or other personal characteristics (Hatry, Van Houten et al. 1996: 2). Outcomes are the results of the inputs, activities and outputs of a programme. The following diagram summarises a programme outcomes model:

| INPUTS | ACTIVITIES | OUTPUTS | OUTCOMES |
|---|---|---|---|
| Resources dedicated or consumed by the program | What the program does with the inputs to fulfil its mission. | The direct products of program activities. | Benefits for participants during and after program activities |
| **Examples:** money, staff, facilities, equipment | **Examples:** education about child abuse signs | **Examples:** the number of sessions taught | **Examples:** new knowledge, skills increase |

*Figure 18: Summary of a Programme Outcome Model. (Hatry, Van Houten et al. 1996: 3)*

Hatry, Van Houten et al. (1996) devised a model that uses eight steps to design and structure a programme outcome approach. I will list and briefly discuss each step and the various tasks it consists of based on Hatry, Van Houten et al.'s (1996: 12 – 169) descriptions. The simplified steps are: "get ready; choose the outcomes you want to measure; specify the indicators for your outcomes; prepare to collect data on your indicators; try out your outcomes measurement system; analyse and report your findings; improve your system; and use your findings" (Hatry, Van Houten et al 1996: 11).

Step 1: Get Ready. *Assemble and orient an outcome measurement workgroup:* It is important to gather a representative group of individuals as they will not only have insight into the different aims, goals and outcomes of a programme or organisation, but it will disperse the workload. *Decide which programmes to start with:* This step is essential for organisations with more than one programme. Although all the programmes will need outcomes measurement, it will not be possible to do all at once; the workgroup should thus priorities programmes and projects. *Develop a time-line:* The work group should decide on the time frame of the evaluation. It is important that it should not be too tight, as this will result in missed deadlines. *Distribute your game plan to key players:* The design should be distributed to all participating stakeholders to ensure clarity about the process, expectations and deliverance.

Step 2: Choose the outcomes you want to measure. During this step, outcomes should be identified that can be used on a regular basis for measurement. *Gather ideas of what your programme outcomes are from a variety of sources:* these sources can be external and internal and will offer a wider

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perspective of programme outcomes. The group should also try to anticipate negative and unintended outcomes. *Construct a logic programme model:*[111] this is the theoretical design of a programme's operation. *Select the outcomes that are most important to measure:* the programme logic model will list many outcomes and the group's job will be to whittle these down through a process of elimination to the most important outcomes. *Get feedback on your logic model and outcomes selected for feedback:* share your programme logic model and identified outcomes with stakeholders who would be able to provide workable feedback, e.g. those in a managerial role.

Step 3: Specify indicators for your outcomes. This step is the first regarding the measurement of the programme. *Specify one or more indicators for each outcome:* these indicators will demonstrate the effectiveness of the programme. They should be observable, measurable and quantifiable. *Decide what factors could influence participant outcomes:* this task has to do with the problem of attribution. The workgroup should try to identify the conditions that need to be met for the programme to create favourable outcomes.

Step 4: Prepare to collect data on your indicators**.** The outcomes and outcome indicators (i.e. what level of achievement is necessary for successful outcomes) have been identified and the process to collect data on the indicators now commences. *Identify data sources for your indicators:* where will you find the necessary data? *Design data collection methods*: design or source data collection instruments and develop policies for their use. *Develop data collection procedures:* this includes the frequency of collecting data and who is responsible for what. *Pre-test your data collection instruments and procedures:* a test-run will troubleshoot any problems that may occur later.

Step 5: Try out your outcomes measurement system. *Develop a trial strategy:* the trial run must be true to your actual system. *Prepare the data collectors:* allow data collectors to test the collection system and methodology. *Track and collect outcome data:* manage the gathering of the data.

Step 6: Analyse and report your findings. *Enter the data and check for errors:* this process can be carried out manually or via computer. *Tabulate the data:* the data gathered from each respondent on each indicator should be collated. *Analyse the data broken out by key characteristics:* break down the data into certain characteristics for more in-depth data analysis. *Provide explanatory information related to your findings: s*upport findings through explanation and description. *Present your data in clear and understandable form:* visual data aids understanding.

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[111] Programme logic models are discussed in detail in Section 4.2.4 Evaluation design.

Step 7: Improve your outcomes measurement system. The trial run would have provided important information for system improvement. *Review your trial-run experience, make the necessary adjustments and start full-scale implementation:* after the system had been corrected and improved according to the trial run outcomes, this system should be implemented full-scale. *Monitor and review your system periodically:* the system should change as priorities change.

Step 8: Use your findings. The findings can be used internally, e.g. budgeting, staff training, programme improvement or externally, e.g. staff recruitment, funding, or identifying new stakeholders.

The CCFNRC (2010: 13-40) also developed a five-step approach to designing and structuring an outcomes measurement. The steps are more or less the same as the ones described above, just more condensed and with less detail. The first "get ready" stage has been omitted from the steps, but the CCFNRC authors give a lot of information and tasks that should be completed before would-be evaluators move towards Step 1. The steps and a short discussion follows.

Step 1. Identify outcomes and develop performance indicators. This step includes the design of a logic model, a shared understanding and identification of the outcomes and programmes to be measured, and the creation of a corresponding set of measurements for the logic model.

Step 2. Create and implement a data collection plan. This step includes the decision about data collection methods, the validity and reliability of data collected, frequency of data collected, pretesting of the data collection system, and data management.

Step 3. Analyse the data. This step is concerned with how the data is analysed.

Step 4. Communicate the results. This step requires the creation of a plan detailing what information to share, how to share it, and who to share it with.

Step 5. Reflect, learn and do it again. After every evaluation or measurement, the system should be reviewed to improve it.

### 4.4.3 Conclusion

The field of social work shares the same aims for evaluation, the same difficulty regarding evaluations and the same struggle to find an evaluation method that truly measures the impact or outcomes of a programme as other social science fields, as well as the field of applied theatre. Various models and theories are abound, but very little tested evaluation processes are utilised. The outcome measurement or programme outcome model is the evaluation process employed by social work evaluators, which is most suited to applied theatre programmes as it aims to measure the actual impact of the work. The negative side of the model is that it does not show attribution. The model is straightforward and simplistic to use and implement but can be time-consuming to design and implement.

## 4.5 Conclusion

Evaluation can be seen as a measurement of what we do, how we do it, why we do it and what happened after it had been done. The social sciences display the same need to evaluate intervention programmes than applied theatre practitioners, varying from the desire to improve, for transparency and accountability to programme impact. They are also faced with the same problems applied theatre evaluators experience, including program complexity, community and individual uniqueness and context; one programme with various outcomes, and the complexity of human behaviour. The social science sector also uses the terminology assessment and evaluation, but they do not use it interchangeable as in other fields. Assessment refers to the determination of the target community/individual's needs before the start of a programme, and evaluation refers to the determination of effectiveness of a programme after its operation. Other terminology used in relation to evaluation are e.g. base-line indicators, outcome indicators, outcomes, inputs, outputs, activities and effectivity.

Evaluation forms part of the programme cycle and should be designed and structured during the planning phase of a programme. Evaluation design and planning that are done in conjunction with programme design and planning have the advantage of clarifying, focusing and identifying outcomes, goals and purposes. It aids with mapping the appropriate activities for each outcome to ensure success, but also to ensure change. It identifies data collection, management and analysis as well as the monitoring of the project. If evaluation design and planning are part of project conception, time, money and resources will be saved later on in the programme.

An evaluation process should be systematic, continuous, formal, reliable, and valid to be useful. A 'good' evaluation has the characteristics of utility, feasibility, propriety and accuracy. Various types of evaluation methods exist, every practitioner or evaluator should choose the method best suited to

their needs, as no one size fits all. Evaluations can be qualitative or quantitative, but arguably the best evaluations follow a mixed method approach. Attribution of change is difficult, as practitioners have no influence on external or internal factors. Practitioners and evaluators should ensure that they understand the evaluation tool they are using and that it is not too complex, as this will not yield valid, desired, or reliable results.

Various theorists present a variety of steps for successful evaluation design that can be summarised in three steps. First, the identification of the purpose of the evaluation. This includes the setting of evaluation questions, the identification of programme outcomes and outcome indicators, and the creation of a logic model and/or a theory of change model. The second step is the planning of the evaluation and includes the collection, management, analysis, distribution of data as well as the evaluation time frame and cost. The last step involves the planning and writing of the report, feedback and the use of the findings.

Various methodologies used in this sector can be applicable to applied theatre settings such as the Storymap approach, The Most Significant Change technique (MSC), Participatory Impact Assessment (PIA) and the Programme outcome model.

This chapter has dealt with evaluation in the social sciences and the possible use of these models for applied theatre programmes or projects. In the next chapter I will investigate and discuss what evaluation frameworks are currently used by applied theatre practitioners.

**Chapter 5: Assessment and evaluation in applied theatre**

**5.1 Introduction**

As mentioned previously in this dissertation, applied theatre practitioners, like their counterparts in the social science field, often struggle to find appropriate measurement tools to assess or evaluate whether their intervention has brought about change, to measure the impact of programmes, to improve programmes, to appease funders, etc. Many practitioners also have various success stories that illustrate past changes and/or impact, without qualitative proof. Lennie, Skuse, Tacchi and Wilmore (2008:2) assert that whilst practitioners collect accounts of triumphs and use these and other descriptive information to demonstrate programme impact, thorough evaluations of programme operation and outcomes in relation to various stakeholders are sorely lacking.

A mixed method approach to evaluation, which includes a balance of qualitative and quantitative measures, seems the best approach to appease all stakeholders. The method of evaluation should be tailored to the unique needs of a programme, as every programme, community and individual is different. Marshall and Rossman (2011: 6) state that the challenge for evaluation practise designers lie in the creation of a detailed, succinct, graceful and generative evaluation instrument; one that is both flexible and systematic, and one that convinces the reader of the merits thereof.

The choosing of the correct measurement tool can be frustrating and time-consuming. With the enormous amount of information available on evaluation methodology, it is understandable that many practitioners feel overwhelmed when searching for a measurement tool. Some practitioners do evaluations without any knowledge of change theory or evaluation methodology. Often donor organisations adopt a one-size-fits-all approach to evaluation, prescribing the measurement method to all practitioners and programmes funded. The seeming lack of knowledge regarding change theory and evaluation methodology is hampering the field of applied theatre, not only in credibility with regards to programme outcomes and impact, but also in terms of being able to provide the best service to target communities.

This chapter focuses on examining and discussing different methodologies used by a diverse group of local and international applied theatre practitioners to *****. I will examine and discuss the theory underpinning the different models or methods, as well as present case studies of how practitioners utilise the various measurement practices. This will include a discussion on whether the chosen methodology accurately measures the impact claimed by practitioners and programmes. I will also

attempt to demonstrate how each method works by using applied theatre examples separate from the case studies. The methodologies and practitioners discussed are: Action Research as used by arepp, Theatre for life, Participatory Action Research as used by Problem Solving Theatre and Primary Sources Series, Participatory Monitoring and Evaluation as used by Chinyowa and Search for Common Ground and lastly the Logical Framework Approach as used by DramAidE.

## 5.2 Action Research (AR)

Stringer (2014: 1) defines action research (AR) as an analytically methodical process that aids participants to effectively solve problems in daily life, an approach that involves all the intricate tapestry of social context. Kindon, Pain and Kesby (2007: 9-10) describe AR as a research process that actively tests hypotheses through applied interventions and activities. O'Brien (2001) simplifies the term stating that the group identification of a problem, active attempts at solving it, the evaluation of the attempts and experimentation with different attempts until it is solved, is an accurate explanation of AR.

Participatory Action Research (PAR) and Participatory Monitoring and Evaluation (PM&E) form part of Action Research. This section begins with a brief revisit of Lewin's change theory as underpinning theory of AR, as well as change theory's influence on applied theatre. Secondly, the working of AR will be unpacked. Finally, I will discuss arepp: Theatre for life, a South African theatre organisation who uses AR to assess their applied theatre programmes as a case study.

## 5.2.1 The theory underpinning the model: Lewin's change theory

Most scholars agree that Lewin is the father of Action Research. However, many others have pointed out that theorists like Lippit had just as big an influence on the conception of the idea, or that the idea originated in the 19th century as a result of scientific thinking. Kemmis, McTaggart and Nixon (2014: 19) identify Moreno as the originator of Action Research. Lewin, however, coined the term "Action Research".

Lewin's change theory[112] hypothesises that individual change can only occur when the group changes, i.e. individual change cannot occur in isolation form the group. Individuals all experience the world through a reality created by groups and any misconceptions in this reality cannot be rectified

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[112] This will only be a brief discussion on change theory. For a full discussion, containing practical examples of how it may operate in practice, please refer to Chapter 3, section 3.4.

by simply creating awareness or gaining knowledge. For change to occur, strong positive forces should outweigh the negative ones and *push* an individual in the right direction. This is referred to as *unfreezing*. *Transitioning* refers to the learning, internalisation and adoption of new behaviour, attitudes and believes and once these become the norm, an individual is in a state of refreezing. However, sustained change is only possible if the context of the group changes in its entirety. Immediate change after an intervention is highly likely, but immediate change may be short-lived, and individuals may quickly revert to old behaviours and attitudes.

AR was born out of field experiments on change theory that Lewin did with his students demonstrating that productivity increases with democratic participation in opposition to the use of autocratic leadership. AR is a systematic participative active investigation aimed at greater effectiveness and social transformations. Adelman (1993: 8) quotes Lewin stating the characteristics of AR as "no action without research, no research without action". The reason for Lewin's actionable approach was that he disagreed with the social sciences approach to social problems with untested and often experimental theories; he wanted a real solution, i.e. to take action. Waters-Adams (2006) postulates the crux of the AR theory is that research is done about what action would best solve the problem, but once the action is implemented, the action becomes the research. Action and research thus carries the same weight.

Lewin supported AR as the discussion of problems by the group, followed by a group decision on how to solve the problem best. This ensured the active participation of all stakeholders in order to best identify problems, suggest solutions and emphasise possible complications. Once the plan has been put in operation, its activities and course will be closely monitored, reviewed and recorded so that the group can decide, at a given point, whether the implemented solution was successful or not. If the solution did not work, the group will go through the process again, experimenting with a different solution. A successful solution will aid to solve other problems identified by the group (Adelman 1993: 9).

Various theorists have proposed different types of AR. Lewin designated four types, namely diagnostic action research, participant action research, empirical action research and experimental action research. *Diagnostic action research* involves the researcher examining a problem or crisis already in progress and suggesting a workable solution. A type of AR dedicated to the conception of action plans. *Participant action research* suggests that participants who are part of the process from the very beginning are more likely to partake, internalise and change as required as they are thus invested in the programme and also realise the need for the programme more acutely. *Empirical*

*action research* was intended as a minute review and recording of the activities of small organisations or groups to deduct general principles of such organisations or groups. *Experimental action research* was concerned with doing controlled studies of similar social groups to draw inference from observed similarities and/or differences. Participant action research is the most prevalent type of AR (Adelman 1993: 9-10).

Taylor envisions three types, named type 1, 2 and 3. Type 1 action research requires an outside facilitator to manage the process, Type 2 can be done with or without an outside facilitator, but the emphasis is on empowering the individual and Type 3 can use an outside facilitator, but all the power resides with the group (Skinner 2017: 13).

Kemmis, McTaggart and Nixon (2014: 10 – 12) list seven types of AR research.

1. Industrial action research is concerned with improving social systems in organisations and businesses,

2. action science is concerned with the attainment of new knowledge and subsequent improvement,

3. action learning is connected to questions regarding administrative and supervisory practices,

4. soft system approaches relate to the finding of answers through the creation of contextual system models,

5. participatory research involves communities as full research partners,

6. classroom action research revolves around teachers collecting information in order to improve own teaching practices and

7. critical participatory action research combines social analysis, meta studies of self-reflection and transformational action to find solutions.

Theorists have expanded AR since its inception to a more participatory process where the researcher is often either part of the group or left out in entirety. Zuber-Skerrit (2001: 1) ruled the term action research to be neither static nor absolute, but rather dynamic as the definitions and underlying approaches are constantly changing and improving. The biggest difference between current AR and its original form is the focus of power. Whereas the power rested with the researcher during the conception of the approach (even though the process was democratic the researcher was in charge), the power has shifted to rest with the researched, even if outside facilitators or researchers were used. Not everyone, however, agrees that a shift in power has occurred. McTaggart (1997: 1) states that

action research is "implicitly political in character, defining a relationship of advantage and power between the researcher and the researched". This introduces the idea of "us versus them" and goes against the ideal of communities helping themselves and raises the questions of when, how and who identifies a community in crisis as well as the moral implications of intervention[113].

Stringer (2014:5) summarises the AR approach, labelling it with terms such as "systematic, cyclical, solutions orientated, participatory, sustainable", and an approach that improves the well-being of its stakeholders.

### 5.2.2 The evaluation model: How Action Research operates

Action Research (AR) entails the identification of a problem, discussions or research on how to best solve the problem, adoption of the best solution/intervention, implementation of the solution/intervention, observation of the results and reflection to see if desired outcomes were reached. If the desired change has not occurred, the process will start again from the beginning until the outcome is successful. These repeating processes are referred to as cycles. Kemmis, McTaggart and Nixon (2014: 2) refer to these repeating processes as "successive cycles of improvement".

Stringer (2014: 5) identifies three principles underpinning the working of AR: (1) it is directed at the examination of a question or problem, (2) it is a methodical investigation method, and (3) the expansion of solutions will lead to better comprehension of situations, problems and outcomes. The AR method thus enquires, explores, observes, reviews, experiments, evaluates and comprehends. According to Stringer (2014: 9-10), AR can be represented through a look-think-act graphic. *Look* represents the gathering of data as well as the definition of context and situation. *Think* is concerned with analysis and hypothesis and *act* involves planning, implementation and evaluation. Please refer to the figure below for a graphic representation of the look-think-act model of the working of AR. Stringer states that although the graphic is presented in a linear fashion, it should be viewed as a cyclical process.

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[113] These questions are discussed in Chapter 2, section 2.4, Applied Theatre and Ethics of this dissertation.

| look | think | act |
|---|---|---|
| **Gather data:** collect relevant information<br><br>**Define and describe:** Describe the situation | **Analyze:** What is happening here?<br><br>**Theorize:** How or why are things as they are? | **Plan:** Define a course of action based on analysis and interpretation.<br>**Implement:** Implement the plan.<br>**Evaluate:** Assess the effectiveness of actions. |
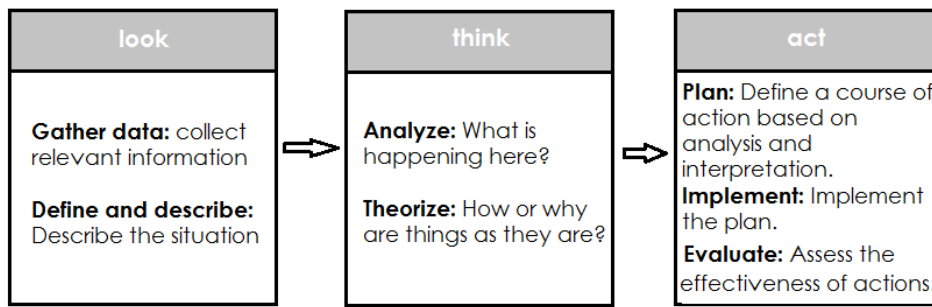
*Figure 19: Stinger look-think-act outline of AR (2014: 9-10)*

Kemmis designed a simplistic model in the 1980s to demonstrate how AR works. I prefer this model to Stinger's model, as it captures and illustrates the cyclical nature of AR more efficiently. Kemmis and McTaggart collaborated in 2007 and made a change to the model, combining *act* and *observe* in a single action. This makes much more sense as it would be difficult to observe an action after the fact. Please refer to figure 20 for both models.



Action Research Cycle
(Kemmis in MacIsaac 1995)

Improved Action Research Cycle
(Kemmis and McTaggart 2007: 278)
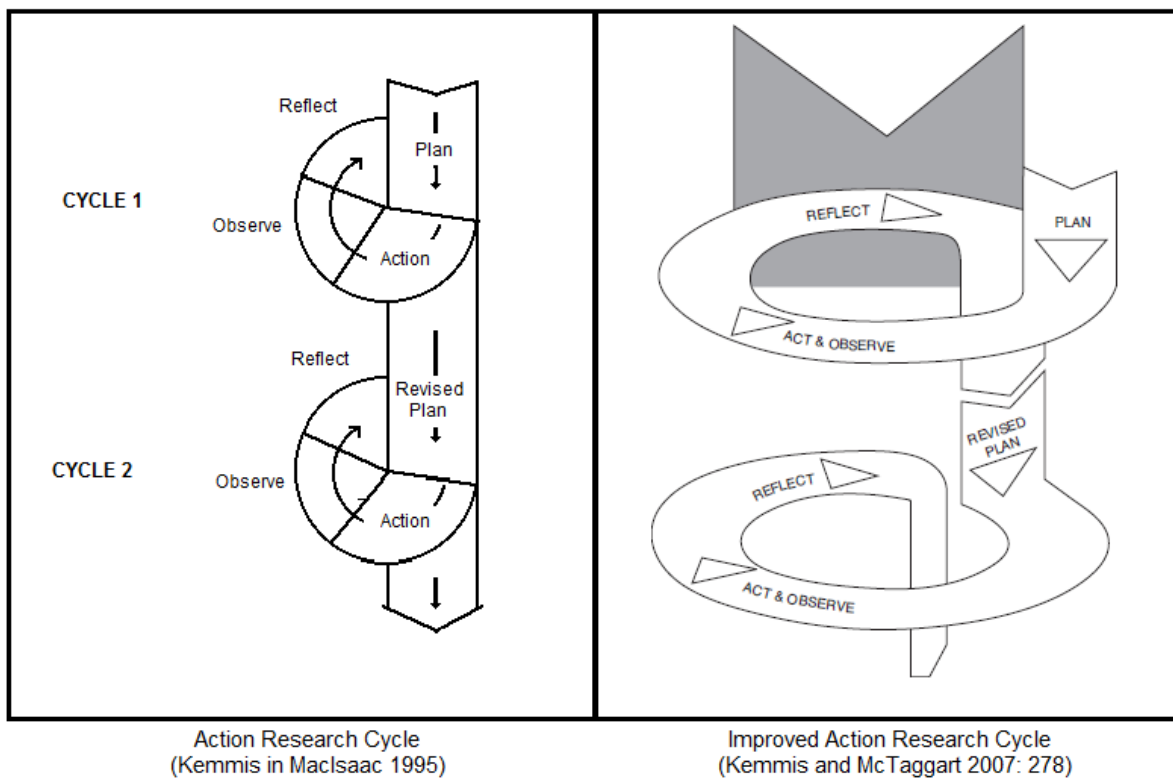
*Figure 190: The action research cycle.*

Theorists are quick to point out that the steps of the action research cycle are not prescriptive, but act as a guide, as the process in reality is never as neat as on paper. Some practitioners might find themselves planning more than once or skipping observation to go directly to reflection. The main

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outcome of AR will always be an attempted solution, as the entire theory is based on experimenting with different ways of doing to find the best fit.

A very simplistic illustration of how AR can work within the applied theatre sector is demonstrated in Figure 21 below. The example will focus on an imaginary applied theatre project that focuses on the rise in teenage pregnancy. It uses theatre performance to create awareness in student audiences in the first cycle and uses theatre performance to test knowledge and understanding gained in workshops in the second cycle. It is implied that research has been done on the statistics of teenage pregnancy in the target community and that this is used as the benchmark for testing to see if the awareness performance has been successful.
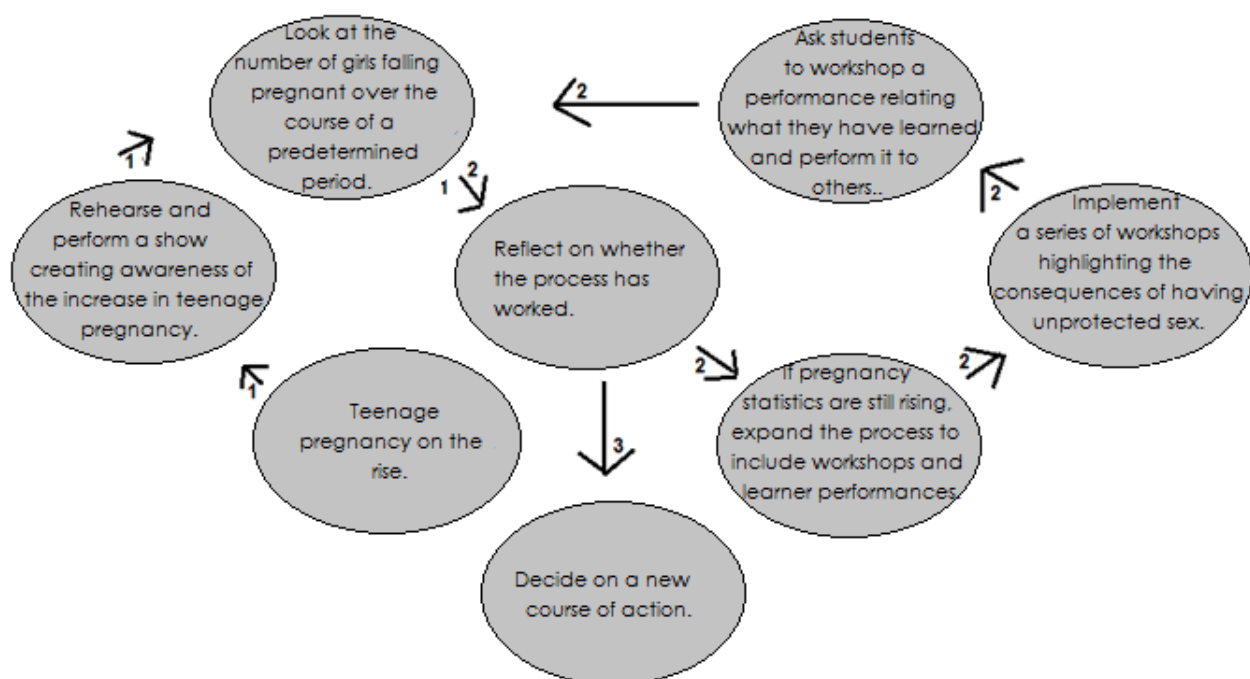


*Figure 21: A simplistic representation of how AR would work within the applied theatre sector.*

Waters-Adams (2006) lists the following as the main weaknesses of using an AR methodology: it is time consuming due to constant data gathering, monitoring and evaluation processes, the research might not have any validity outside the project and can be biased, and some of the researchers may not be familiar with the research methodology.

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A potential weakness of using action research as evaluation methodology[114] is that it would be easy to assess only short term or immediate change directly after the conclusion of an applied theatre programme or performance. The underlying theory clearly states the behavioural change can only be achieved and measured over the long term, but very few practitioners and organisations have the funds or the time available to do long term impact assessments.

Another concern regarding AR is the fact that it is an approach to change, much more than an evaluation or assessment method. As it is cyclical in nature, there will be a continuous gathering of evidence, attainment of knowledge and use of information to improve the programme. However, in terms of identifying indicators, setting benchmarks, validation and reliability of data, measuring outcomes and such, it does not provide much guidance or scope. It is an approach designed to get answers and/or solutions through actions, not one designed to evaluate or assess the impact or success of programmes. If an organisation uses the AR approach for intervention programmes, a case could be made that through the cycles they will gather the necessary information, improve the programme and be able to measure success of outcomes. I, however, still question the validity, reliability, use and thoroughness thereof.

### 5.2.3 Example: arepp: Theatre for life

arepp: Theatre for Life is a South African applied theatre company that uses Action Research as an assessment or evaluation method, stating on their website that "[u]sing an Action Research/Learning approach, research, monitoring and evaluation are embedded in every level of the intervention" (arepp: 2013).

Their evaluation methodology consists of performing an age specific play at a school to an audience of no less than 80 pupils and no more than 250 pupils. After each performance, a discussion is facilitated by the actors, after which a questionnaire is completed by teachers and pupils. The performance team's report together with the questionnaires and recorded discussion session is used as an assessment of impact.

arepp's goal is to effect change through the improvement of what they refer to as the "self-efficacy" of learners. They define *self-efficacy* in two ways, first as the "feelings of competency and control

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[114] Action Research should not be confused with action evaluation, a term coined by Rothman (2003) and which is an approach concerned with conflict resolution.

with regards to specific issues, behaviours, choices of change, of an individual or a group" and secondly as relating to a "person's ability to engage, choose or change attitude and behaviour" (arepp: 2013).

This part of their methodology is based on Bandura's Social Cognitive Theory[115], which "emphasises the role of observational learning, social experience and reciprocal determinism in the development of personality" (Cherry: 2013). Bandura (1995:2) views perceived self-efficacy as the "belief in one's capabilities to organise and execute courses of action required to manage prospective situations" and this perceived self-belief consequently influences the individual's actions, motivation, feelings and thinking processes. arepp's interpretation of self-efficacy thus falls within this definition, as Bandura argues that the better a person's perceived self-efficacy, the better their ability to choose, manage and succeed.

The arepp group declares on their website that the experience of watching a once-off applied theatre performance "satisfies many of the main criteria for the development of self-efficacy through modelling and observational learning, provision of information, portraying and highlighting of influences for comparison and appraisal; and the personalisation of issues through narrative, identification on empathy" (arepp: 2013). They further state that they promote audience members' self-efficacy through the provision of information, understanding, possible influences and expected outcomes, regarding specific issues or behaviour.

arepp explains their methodology by likening the watching of the show to social modulation[116] and mastery experience[117], the participation in a facilitated discussion afterwards as a mixture between social modulation[118], social persuasion[119] and psychological responses[120]. They also claim that participation in the discussion builds feelings of self-worth, agency and competency. Although arepp's definition of self-efficacy falls within the definition of the term as coined by Bandura, I find their explanation of aligning their methodology with social cognitive theory as oversimplifying a very

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[115] Bandura and Social Cognitive Theory are discussed in Chapter 3 of this dissertation, refer to section 3.6.

[116] Audience members "experience" the "choices and outcomes" with peers (arepp: 2013).

[117] "The experience of a show provides a safe means for the audience to experience (and so rehearse) the issues without actually being at risk" (arepp: 2013).

[118] The discussion is facilitated by "trusted peer role models", i.e. the actors (arepp: 2013).

[119] The sharing of understanding during the discussion "raises confidence and self-esteem" (arepp: 2013).

[120] The emotional experience is internalised during the discussion, whilst it also provides an intellectual space for the emotional experience to be contextualised and validated (arepp: 2013).

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complex process. For example, Bandura clearly states that enhancement of self-efficacy through mastery experience can only be achieved through the repeated triumphs of individuals through internalised cognitive behaviour and tools and not through the adoption of readymade solutions or practices. I also question whether a discussion led by actors qualifies as the observation of how peers succeed through perseverance as social modulation is defined by Bandura[121]. I thus question arepp's overall understanding of the approach to change that they adapt for their applied theatre programmes as well as the influence of this perceived lack of insight in their evaluation methodology and practice.

To assess or evaluate a change in self-efficacy, I would have expected a situational analysis[122] or at least an impact assessment done over a number of years, especially seen in light of Lewin's statements on sustained change that seemingly underpin their work. arepp explains their evaluation procedure in the following manner. First, teachers and learners evaluate the presentation through means of a questionnaire. This questionnaire is only referred to as an "assessment questionnaire" (arepp: 2013) and makes no reference to Bandura's self-efficacy scales as I would expect. Second, the discussion following the performance is recorded. In the third place the performance team compiles an evaluation report that comments on the "engagement and interest of the audience", "highlights concern and issues" and notes the knowledge, attitudes and perceived self-efficacy of the audience (arepp: 2013). These assessments are then finally compared to information gathered at other schools.

Although it seems like a thorough evaluation, it lacks in individual change measurement, as a number of discrepancies stand out. It seems that no benchmarks for individual or general audience self-efficacy are taken before the show starts and that a big group discussion as well as a questionnaire is used to assess a change in individual self-efficacy. Self-efficacy 'results' are then compared to information gathered from other schools. I do not see how an increase in self-efficacy can be claimed through the use of this evaluation method. Apart from the problematic nature of the 'assessment questionnaires', the use of group discussion to assess a perceived increase in self-efficacy is difficult. Bandura (1995: 11) states that when an individual says something, e.g. during discussion, it should not be accepted that the individual believes this to be true. He continues by saying that "a resilient

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[121] Bandura and social cognitive theory is discussed in Chapter 3, refer to section 3.6.

[122] Hedström, Swederg and Udéhn (1998: 345-349) describe Karl Popper's theory on situational analysis that to explain social action, the situation in which the action takes place needs to be understood. An analytical model of the social situation is created which consists of the decision-making environment as well as the aims and beliefs of the individual or group and is called the typical situational model. The analysis takes place when the researcher works out what actions are inherent to the specific situation.

sense of personal efficacy does not arise simply from the incantation of capability" (Bandura 1995: 11).

Answers about intended condom use and safe sex practices during discussions or questionnaires, can thus not be seen as a true enhancement of self-efficacy. At the most, it can be viewed as an understanding of the information imparted of what behaviour is expected in a certain situation, and not as an indication of internalising it as part of a belief system, nor as an indication of future behaviour change. The external evaluations quoted by arepp as underwriting the success of their methodology, state an increase in knowledge regarding issues and themes occurring in their performances and, as such an increase in self-efficacy which displays a further lack of knowledge regarding the process of self-efficacy in these evaluations. Another problem arises concerning the performance report, as it is dubious that the performers can assess the perceived self-efficacy through observation. It is an internalised process that takes place over a time, although they might form an idea of the average knowledge and attitudes of the audience through group discussions.

An independent study[123] of arepp's work conducted by Marian Nell and Janet Shapiro in 2005, monitored a group of learners over a period of three years via the means of questionnaires. The group attended three arepp performances over the three years and the researchers concluded that "changes were significant at a 95% confidence level" (Nell & Shapiro 2005: 1). They further found that "if X (the arepp: theatre for life presentation) there will by Y (a change in sense of self-efficacy)" (Nell & Shapiro 2005: 4). The problem with this study is that it once again measured knowledge and awareness instead of the claimed instigation for behavioural change, i.e. self-efficacy. The questions[124] posed also dealt with knowledge, attitude and awareness and not with perceived self-efficacy.

Although I do not question the validity or necessity of arepp's work, I conclude that their assessment and evaluation methodology only measure understanding and awareness. I find that although their assessment methodology and approach are applicable to their situation and applied theatre in general,

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[123] It should be noted that an updated version of this report is currently available online through the arepp website that has been modified from the original version that claimed the programme brings about change on issues such as "celibacy as an option", "condom use" and "homophobia" (Nell & Shapiro 2004: 5), to noting that neither arepp nor "anyone else" is winning the battle on issues such as "Celibacy as a real option", Condom use", "Homophobia" (Nell & Shapiro 2005:4)

[124] Examples of the questions in the questionnaire: "When I'm sexually active, it is my responsibility to protect others from diseases such as HIV/AIDS"; "HIV is mainly a sexually transmitted disease"; "I believe that women can do the same things that men can do" (Nell & Shapiro 2005: 2).

they do not use AR in the manner in which it was intended, especially as they seemingly measure immediate effect and not long-term behavioural or attitude change as claimed. This is corroborated by the findings of other independent evaluations on arepp, such as the Qualitative Evaluation by Evian, Oskowitz and Hlatshwayo (1995), which found that arepp's major impact on audiences is the creation of awareness of specific issues. Similarly, Skinner, Metcalf, Seager et al. (1991) concluded that the performance contributes to knowledge and intended short-term behaviour change. Furthermore, arepp's evaluation method also lacks democratic and participatory process. The cyclical nature of AR is not apparent in the described evaluation and assessment approach. The audience did participate in terms of answering questionnaires and group discussions, but they were powerless. They had no input in any of the processes that originated the programme. AR probably works very well to improve the performance content and elements, as the constant feedback regarding these elements will allow improvement and/or further development of a performance. I, however, do not believe that AR is used to measure impact and/or behaviour change.

### 5.2.4 Conclusion

My biggest critique against Action Research as an assessment or evaluation methodology is that it is an approach to instigate change, rather than a technique to measure whether change had taken place. AR guides you to follow a process that will allow you to evaluate results of a programme, but it doesn't tell you *how* to measure the change, whether that change be long term (behaviour or attitude change), immediate (an increase in awareness), or intermediate (the development of soft skills such as self-confidence).

Critics of Action Research claim that it is a complex and time-consuming process and that the research results are only applicable to the specific situation. It might also be daunting to first time users because AR does not have a set technique. On the positive side, AR is extremely flexible (Small 1995: 942), a necessary characteristic for a successful applied theatre evaluation tool. I firmly believe that it could be used to instigate change, if it is used according to the original principles. I am not convinced, though, that it would be a successful evaluation method. It could rather be used as an applicable approach to solve the problem of finding an evaluation method that is best suited to a particular program.

### 5.3 Participatory Action Research (PAR)

Participatory Action Research (PAR) is a form of Action Research and there are many correlations between the two approaches. As some applied theatre practitioners make use of this specific approach to measure impact and evaluate programmes, I will discuss the PAR approach separately from the AR approach. PAR is a popular assessment method for community intervention development and change that sees *process* as more important than *outcome*. According to Chatterton, Fuller and Routledge (2007:221), PAR builds on Paulo Freire's idea of conscientisation whereby reflection and action are used to cultivate a critical consciousness of the social reality of an individual (Freire Institute: 2009) and that a greater understanding of the factors that affect social reality allows for better informed decisions (Kindon, Pain & Kesby 2007: 10).

Although Freire's ideology of change is often cited with regards to the development of PAR, this approach went through three consequent research generations after Lewin's initial work on action theory and Action Research, with the last research generation including activist researchers from especially Latin America such as Freire, Borda and Swantz. This resulted in a bigger call for action theories and research methodologies that are in line with the social issues of the day (Kemmis & McTaggart 2007: 272-273).

Kindon, Payne and Kesby (2010: 2) refer to the different variations and techniques listed and described by PAR theorists and practitioners as "participatory approaches to action orientated research". Small (1995: 942 – 948) defines the term "action orientated research" as an umbrella term for methods that can collect information and use this knowledge to achieve social change actively. The term consists of Action Research, as dealt with in the previous section and in Chapter 3, empowerment research, feminist research and participatory research. Participatory research consists of research, education and action and is an attempt at social change that also facilitates the target community to be more unprejudiced through participation in the process. The power relationship between the researcher and the researched is more balanced or tipped in favour of the researched. With empowerment research, the empowerment of the community is the end-goal. This type of research aims to give voice to the marginalised, ostracised, silenced and forgotten. Feminist research rebels against the male patriarchal state of society and focuses research on oppressed details of women's lives, female political agendas, and is more concerned with ethics and emotions than the other types of action orientated research methods. McGarvey (2007: 1) explains that PAR fulfils two main functions, it firstly collects data and information about the continuing change process of a programme; and it secondly encourages those directly involved to gain knowledge. PAR in simplified terms can thus be defined as a participatory approach, where the researcher and the researched work

together on equal terms to find a workable solution to a problem through learning, understanding and doing.

Chatterton, Fuller and Routledge (2007:13) argue that all individuals are capable of "reflexivity and self-change" and thus treated as more or less investigative co-researchers (Reason & Bradbury 2008: 2). A successful PAR result depends on both the quality of data collected and the development of participants' skills and knowledge through their involvement in the programme. Reason and Bradbury (2008: 2) state that PAR originates from a desire to "change with others" versus trying to change others.

With the PAR approach, the process becomes as important as the outcomes, unlike many other approaches that focus only on outcomes, as is highlighted by Chinyowa (2008: 1) when he complains that the "evaluation of community theatre for development in Africa has largely been premised on *produc*t rather than *process*".

### 5.3.1 The theory underpinning the model: PAR, AR and change theory

Participatory Action Research (PAR) is a part of action-orientated research and the same theoretical principles concerning change theory apply, i.e. Lewin's change theory. As this was discussed in the previous section, I will focus on the main difference between PAR and AR, the uniqueness of PAR, as well as the different methodology and/or approach used by practitioners of the PAR approach.

The proponents of PAR claim that the biggest difference between PAR and AR is that PAR is a problem-solving approach for the community, by the community. Community or participant involvement is an important and recurring theme in participatory action research, one visited repeatedly by theorists and practitioners in various forms. The reason for this could have its roots in human rights activism, human liberation struggles and neo-Marxist community development ideas (Kemmis & McTaggart 2007: 273). PAR thus seeks to redefine the relationship between the researcher and the researched. Kindon, Pain and Kesby (2007: 1) state that PAR aims to "replace the old researcher and researched hierarchy with one in which the benefits of research accrue more directly to the community involved". PAR endeavours to avoid traditional methods of research where outsiders enter a community, collect their data, leave and aims to find local solutions to issues identified by the communities.

Lennie, Skuse, et al. (2008: 3) define PAR as a process which "seeks participation of all stakeholders, adopts critical perspectives, legitimates knowledge of local community members and the disadvantaged and seeks to identify needs and priorities of people in local communities or organisations". They continue by stating that traditional impact assessment bases indicators of social change on project objectives that were not necessarily identified by the community, whilst PAR "implies that indicators of possible social change are community generated" (Lenni, Skuse, et al. 2008: 3). This allows participants in a PAR approach to identify their own needs and work towards a solution themselves, implying not only ownership, but also internalisation, commitment and empowerment. Vaccarino, Comrie, et al. (2006: 18) emphasise that any generated knowledge and subsequent solutions are context related and of direct importance to all involved. Kindon, Pain and Kesby (2007:9-10) postulate that the action research process provides a "consistency between project means and desired ends" and it ensures that "ends and means [are] grounded in guidelines established by the host community". The downside of this contextual approach to positive change is that outcomes and knowledge are generally not applicable to other situations.

PAR theorists are adamant that the participatory approach is highly distinguishable from other more traditional approaches. I will briefly mention the unique attributes of PAR as identified by four groups of eminent theorists in the PAR field. Stringer (2014: 5) identifies five characteristics that are only attributable to a participatory approach. These are:

1. Only participatory methods allow the researched insight and power into the development of research methods that will be carried out in their specific context.
2. Only participatory methods allow for a narrative platform where both the researchers and the researched can critically engage in matters giving rise to and arising from the research.
3. Only participatory approaches can create a context where joint ownership of development and participation of action and interaction is possible.
4. Only participatory approaches allow for shared relationships to develop with those who will be directly affected and those who will carry out the actions.
5. Only participatory methods create a context whereby information, data and knowledge can be turned into actionably, uniquely applicable, working outcomes for those affected because the practice overcomes issues of unsustainability, irrationality and injustice.

Vaccarino, Comrie, et al. (2006: 19) list two unique attributes that PAR have over other more traditional approaches, namely that the community or group is part of the entire research approach from conception to end, and that this research directly translates to transformative actions.

Kemmis and McTaggart (2007: 281 – 283) recognise seven key characteristics of participatory approaches over other methodologies:

1. PAR should be seen as a social practice, referring to change theory underpinning this approach, emphasising that the individual cannot change in isolation from their social group.

2. The emphasis is on the participatory part of the research, stressing the individual's examination of own knowledge as well as their understanding of their presence in a social context.

3. Participatory approaches are practical and collaborative, not only seeking solutions to identified problems, but also to social injustice, prejudice, irrationality or other social ills experienced by participants through communication and reconstruction actions.

4. PAR is emancipatory, aiming to liberate participants from oppressing social practices that limit the development of self and self-determination.

5. Participatory approaches are seen as critical, as these approaches aim to recover, release and restore individuals by consciously challenging social constraints and toxic contexts.

6. PAR is reflexive as it allows people to explore and understand their everyday experiences and existence to transform it.

7. It is an approach that is aimed at the transformation of both theory and practice, as both theory and practice is seen as interdependent collaborative elements of the social transformations.

Reason and Bradbury (2008) postulate that PAR has five distinctive and interdependent characteristics. These are represented in a cyclical illustration as can be seen in figure 22.
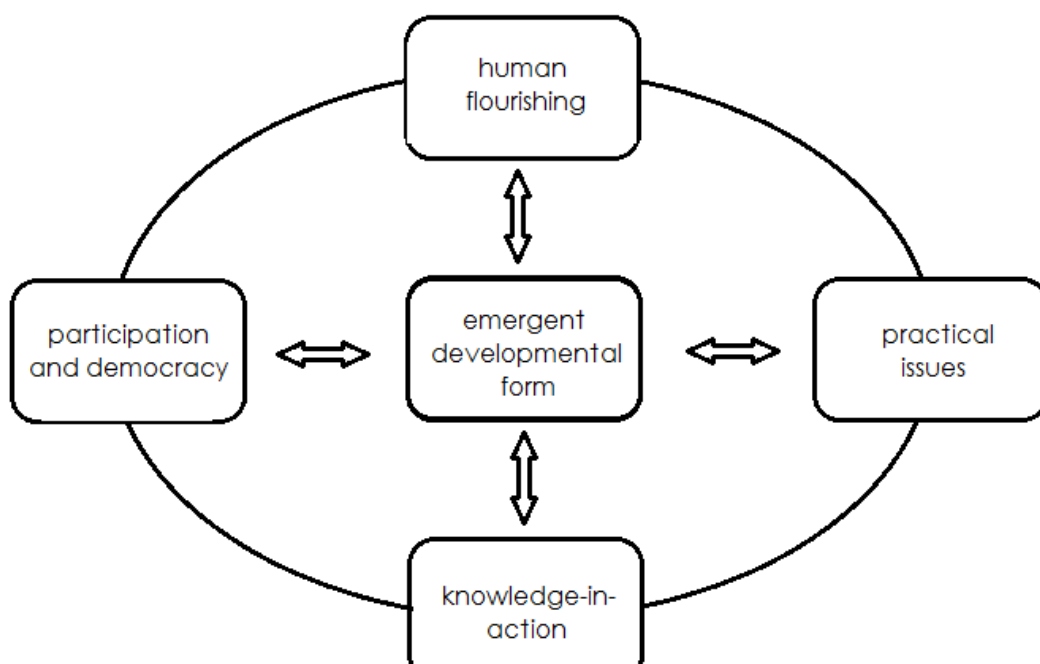


*Figure 22: Five Characteristics of PAR according to Reason and Bradbury. (2008: 5)*

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The first characteristic, *human flourishing*, is defined as freeing human beings from whatever oppression they experience. *Practical issues* deal with the attainment of knowledge for utilisation in every day existence. *Knowledge-in-action* concerns the employment of this knowledge to link and improve the target community with the greater community and environment in which they operate. It is also to educate towards sustainable practices and unbiased relationships with the self and the other, which connects to *participation and democracy*. *Emergent development form* deals with how all of these characteristics work together to make us better people (Reason & Bradbury 2008: 4-5).

The theoretical consensus, between the above mentioned theorists, is that the power balance rests more with the researched than the researcher; and that the researched is empowered to, together with the researchers, actively find solutions to self-identified indicators. The researched simultaneously learn about the greater shared world, and this knowledge aims to rectify social injustices and restore healthy social settings. This is in short that which distinguishes PAR from other research methods.

The PAR approach, like AR, is based on systematic cyclical processes in which both the researchers and the researched partake. These cycles of action and refection are typified by the active testing of the hypothesis by the participants whilst gathering evidence on its effectiveness, followed by sessions concerned with evaluating and planning (Reason & Bradbury 2008: 1). Reflection and learning are continuous and new actions and outcomes can be decided at any time.

Kindon, Pain and Kesby (2007:15) describe the key stages in a PAR process as a continuous cycle of action and reflection which include:

1.  establishment of relationships and agendas,
2.  design of research tools,
3.  accountability,
4.  action on outcomes,
5.  drawing up of a memorandum of understanding,
6.  creation and reflection on research questions,
7.  implementing the research process,
8.  data collection,
9.  action planning,
10. participation in evaluation,
11. needs assessment and
12. identification of options for further PAR projects.

The first step (or key stage) is for all stakeholders to identify problems and/or the "situation in need of change", then to move on to research initiation, taking into account the abilities of the participants and resources of the programme to bring about change. It is important to note that all stakeholders should partake in reflection and learning from the executed action process before continuing to the next stage in the PAR cycle (Kindon, Pain & Kesby 2007: 1). The methods and techniques employed by PAR researchers focus on "dialogue, storytelling and collective action" (Kindon, Pain & Kesby 2007:16). Kemmis, McTaggart and Nixon (2013: 18) describe a three-step recurring approach where the Step1 is planning the change, Step 2: the actions necessary to try and bring about change whilst closely observing the process and after-effects of attempted change. Step 3: stakeholders reflect on these changes, before starting the process at step one again until a suitable change is affected.

In summary, the theory underpinning Participatory Action Research correlates with that which underpins action research, as PAR is an outflow of action research, although it also has roots in social activist theories, e.g. human rights. The main aim is to use actions to solve problems, but PAR actively involves the target community in all aspects of the programme, allowing for learning, empowerment and change.

### 5.3.2. Implications of the PAR approach for applied theatre programmes

The possibilities of using PAR as both a change methodology as well an evaluation approach in an applied theatre programme seems extensive. The process of change is often more important than the product of change during intervention programmes, especially as few programmes have the funding to support sustained change after a project has ended. It is difficult to assess the process of change. Applied theatre programmes that use theatre skills training as pedagogy, often culminating in performances that "demonstrate" process skills (which are difficult to assess) like improved self-esteem, a feeling of self-worth, creative thinking and so forth. Participation in the culminating performance is furthermore often perceived as positive confirmation of programme outcomes. Although such performances are an important part of the programme, the process of change takes place in the run-up to the performance and not in the performance itself. However, most funders require "hard evidence" and, as the demonstration of process skills is difficult to measure qualitatively, a performance often does not satisfy the requirement of 'proof'. Using a PAR approach in which process is more important than product, suits the applied theatre intervention programmes which rely on process and not performance for instigating change.

Applied theatre programmes must often change outcomes and objectives after the start of the project to reflect participant needs or interests. A rigid assessment method and project design are thus not always desirable. With a PAR approach, it is possible to change actions and outcomes at any time.

The strengths of the PAR approach have been highlighted in the previous section, but Walter (2009: 6-7) adds that the main strengths of the approach are that PAR can be seen as applied, collaborative and committed research which initiates from those researched. The implications of these strengths on applied theatre projects include the following: with PAR, the focus is on problem-solving and bringing about positive change, a focus that concurs with the objectives of most applied theatre projects. PAR, just like applied theatre, involves the target community when identifying problems and possible courses of action. Both PAR and applied theatre aim to get the target community closely involved to ensure sustainability and aid understanding and change. The power lies with the target community, as they are participants in every stage of the process.

The PAR approach is thus suitable to applied theatre programmes in many ways. It correlates with the need for flexibility and creating lasting change; it is participatory and process-driven and gather evidence during the process. It also offers a chance for reflection and experimentation. It furthermore empowers communities to help themselves.

### 5.3.3 The evaluation model: How Participatory Action Research operates

I have similar reservations about PAR as evaluation model as I have about action research but will commence this section by illustrating the PAR process in more detail and providing an example of how this can work in an applied theatre setting.

The Participatory Action Research cycle starts with a group of representatives from all stakeholders defining questions about the situation that needs to change. These questions are refined to micro and macro questions and Crane (2011: 9) suggests the use of a question tree[125] to clarify the meta-research question visually. The next step after defining the research question is to plan the required action(s) for change, and determine the *who*, *what*, *where* and *when* of the actions. The implementation of the plan follows, with every participant knowing his/her role as set out in the planning of action(s). The implementation is observed to ascertain exactly what transpires and how that differs from planned

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[125] A question tree is a visual map where the macro question forms the trunk and the micro questions the branches of a tree to clarify the research question.

actions. The next step is reflection concerning what worked, what did not work, and what can be done differently. Everything that has happened is then shared with all involved. If the desired change has not occurred, the process starts again. PAR is time consuming with regards to the documentation needed as proof of research. Every document used during the different stages are kept, and some researchers keep a log of what is discussed, questioned, decided and reflected upon. Figure 23 provides a visual representation of PAR in operation.
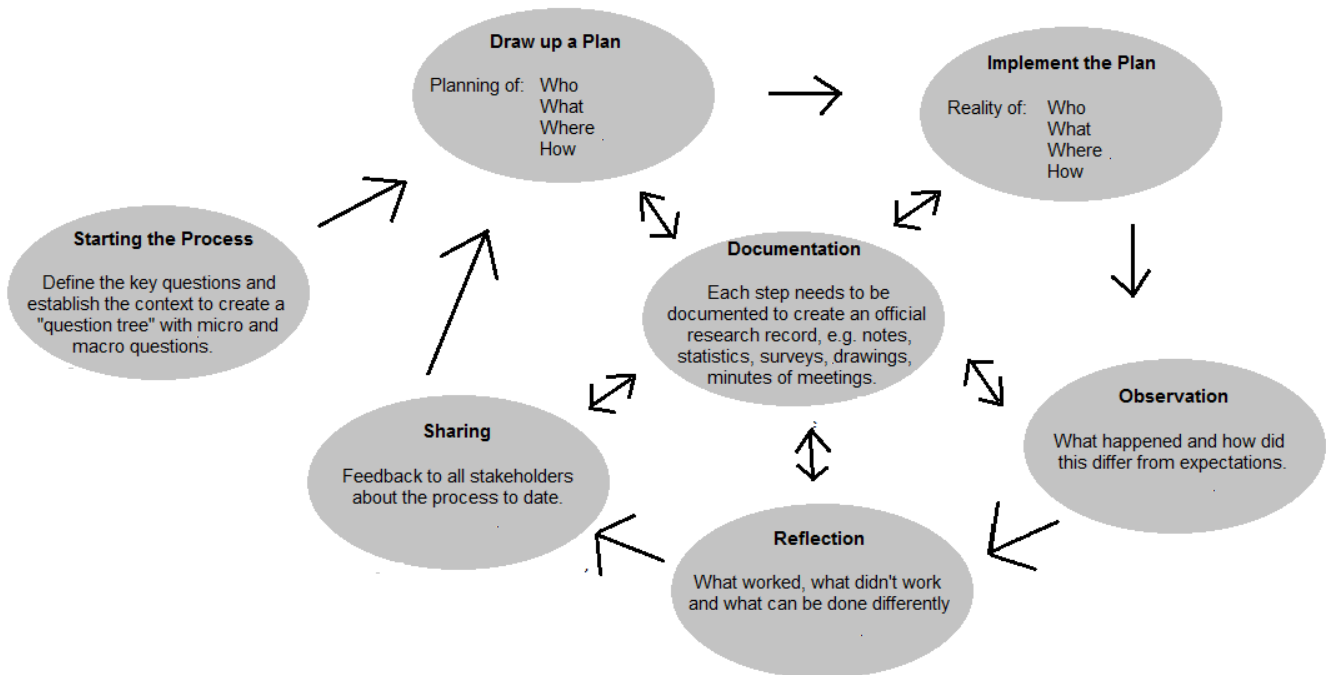
*Figure 23: A Simplistic Illustration of how PAR operates.*

Using the same example – concerning a rise in teenage pregnancy – as I did to illustrate the possible working of an applied theatre programme with an action research approach, the following simplistic diagram aims to illustrate how a PAR approach could work within the applied theatre sector.
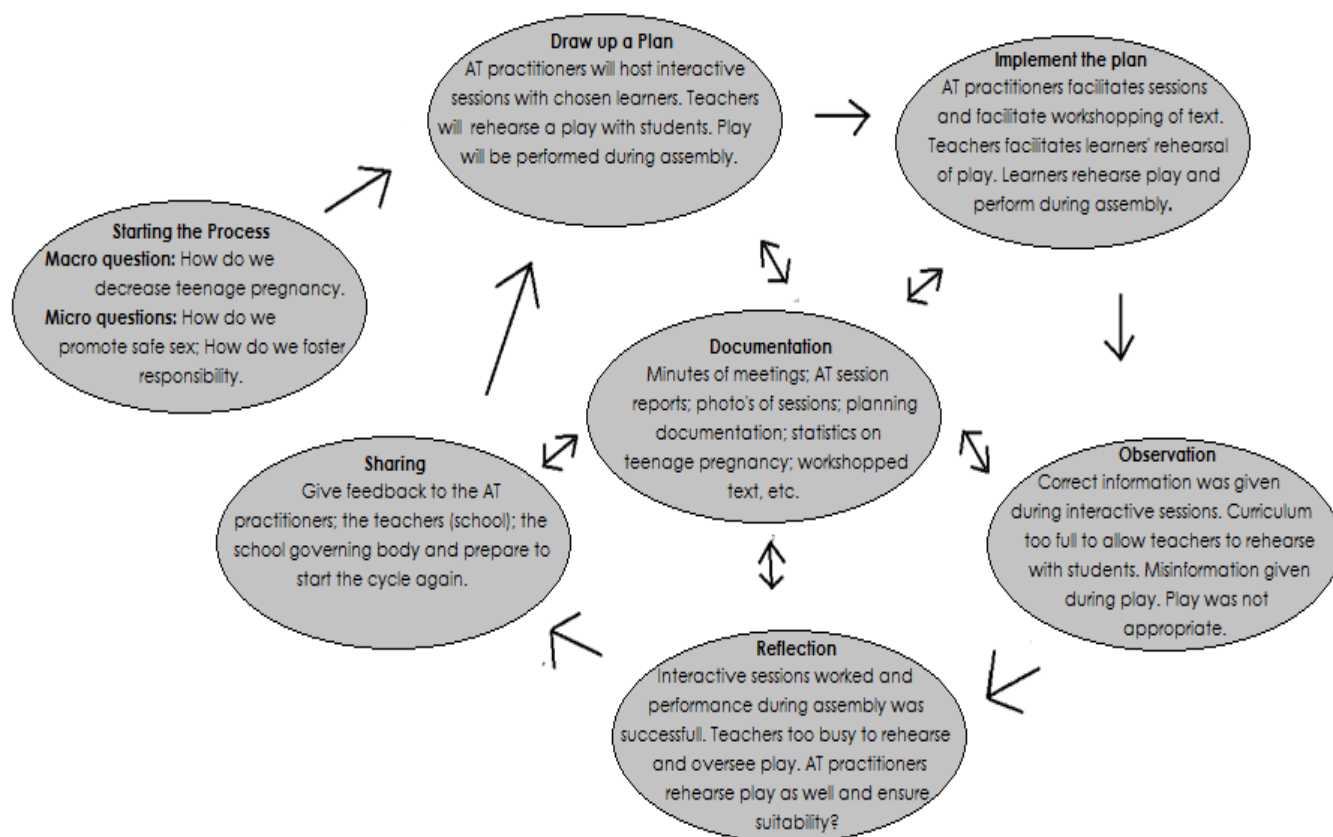


*Figure 24: A simplistic example of how a PAR approach will work in an applied theatre setting.*

PAR has its share of opponents and many of its champions are not blind to potential or actual shortfalls of the methodology. Kemmis and McTaggart (2007: 284) ascertain four misconceptions and/or shortfalls of PAR. The first is that practitioners often overstate[126] what the approach can achieve, especially in terms of empowerment. Secondly, practitioners lack knowledge and understanding of the facilitator role of the researcher, and thereby disturbing the critical power balance of PAR. Third is the false premise of the research-activism dichotomy, where research is seen as knowledgeable, well-balanced, but unemotional, and activism is seen as a zealous and spontaneous

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[126] The overstatement theme is echoed in remarks by both applied theatre and social science practitioners and theorists. It seems that exaggeration of programme outcomes is a shared frustration in all fields dealing with social change and human behaviour. For me, this should not be viewed as calculated malicious behaviour from callous practitioners, but rather as mistakes due to a lack of knowledge (of social science, social change, evaluation, human and group behaviour and how change works), a blind unjustified belief in a certain method or approach (i.e. the belief the method or approach is infallible and that the use of it will automatically constitute change) and/or a desire to bring about positive change.

activity without foundation. The last misconception is the lack of emphasis on the communal and shared aspect of PAR, thereby eliminating or diminishing the all-important participation part of the approach.

Walter (2009) identifies a further three weaknesses of the PAR approach, namely: that PAR has no research leader, that it may be impractical and that it has no timeline. The implications of these weaknesses can be described as follows: without a leader, the intervention process may lack direction and cohesion and it may lead to conflicting research questions. Walter (2009:7) explains the impracticality of PAR as that it is not always possible to reach an agreement as to what the research problem constitutes, or the best course of action to take. The fact that PAR has no timeline, i.e. a set date for finalisation, makes it difficult to know when the problem has been resolved or if the process has become unsuccessful.

Lennie, Skuse, et al. (2008: 4) identify the following challenges in using PAR as assessment methodology:

1. "complexity of approach",
2. it needs skilled researchers,
3. "reality of responding to funders versus ideals",
4. "lack of human resources",
5. "lack of connection between content and M&E",
6. and that the quality and management of collected data can be questionable.

PAR is also more concerned with goals achieved than with measuring impact. These challenges identified are also the same concerns I have about PAR as an assessment or evaluation methodology as opposed to a change approach.

Challenges, as listed above, will have serious implications in an applied theatre setting. A workable assessment methodology must be accessible, easily understandable and simple to use to ensure that practitioners engage with it and implement it within their programmes. If the assessment methodology is too complex, as Lennie, Skuse, Tacchi and Wilmore (2008) suggest, it will alienate practitioners, especially those who are already reluctant to assess their programmes.

Most applied theatre practitioners are not academics or researchers, and many do not have the benefit of a tertiary qualification. An assessment method that requires skilled researchers will thus not be assessable to a high percentage of practitioners. A reported discrepancy between reality and ideals will not please funders who require hard evidence to justify another funding cycle, especially if there

are questions regarding the validity of supporting documentation and a limited connection between the content of the programme and the techniques used to evaluate the programme, monitor progress and evaluate change. If the validity and reliability of data are also questionable, it will not serve a "good" evaluation approach.

For me the biggest weakness of PAR as evaluation methodology correlates with that of AR. As an approach it promotes participation and emphasises programme design, and if used strictly according to the underlying theory, can succeed in instigating change. However, even though PAR does aid stakeholders in gaining better comprehension and knowledge of a problem, it does not guide practitioners on how to go about measuring change, or what change indicators are. The lack of benchmark data and the questionability of evidence (which are not ensured of validity, reliability or even applicability) makes it an unsuitable evaluation methodology. It is easy to set reachable goals for a project, but if those goals are not in line with the main objectives of a programme, reaching or completing these successfully is meaningless. The same applies for gathering evidence. If the wrong evidence is gathered, however diligently, it is meaningless.

It should be noted that various organisations use PAR as evaluation methodology, as will be seen in the case studies in the following section. McGarvey (2007: 6) warns that PAR should not be considered as evaluation methodology where the needs or purpose of the evaluation is social or population data, assessing sustained change, evaluating or investigating programme information for patterns, configurations and various degrees of change, demonstrate the effectiveness of a programme, and comparison and validation of programme results with control groups. He advises the use of PAR as evaluation or assessment methodology for programmes where internal transformation, democratic principles, or empowerment of the group is the goal.

### 5.3.4 Case Study I: Problem Solving Theatre Project (PST)

Emma Durden and Dominique Nduhura describe a participatory theatre[127] project that they were part of during 2003 in their article, *Participatory Forum Theatre for AIDS Education* (2005), called the Problem Solving Theatre Project (PST). PST took the form of a forum theatre play with three actors, which would be performed to around fifty workers at a factory in Pinetown, KwaZulu-Natal. The aim of the project was to "explore practical and personal solutions" to problems caused by HIV/AIDS.

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[127] Often practitioners using participatory action research refer to their applied theatre performances/productions as participatory theatre.

The medium of forum theatre was chosen, as Durden and Nduhura (2005) claim that its transformational effects rival those of long-term interventions.

They started the participatory process by conducting what they termed formative research. This took the form of in-depth interviews with selected employees in the form of a questionnaire. However, low literacy levels and a poor grasp of English forced them to change their research methodology to a focus group and the use of a translator to complete the questionnaires. The answers to the questionnaires formed the basis from which the script for the intended performance was developed. The script's effectiveness was tested by performing it to a test audience consisting of professional nurses, risk managers, applied theatre practitioners, university students and deemed a success (Durden & Nduhura 2005).

During the performance of the piece to the intended audience, the actors realised that their performance would not work if presented in English with only key-points reiterated in isiZulu, and switched the language to isiZulu with main points repeated in English. During the three opportunities for audience members to become part of the action, only one participant per opportunity could be persuaded to take the stage (Durden & Nduhura 2005).

Durden and Nduhura (2005) drew the following conclusions from observing the play and the audience's reaction to it: that the audience enjoyed it and that the piece challenged thinking regarding problems surrounding HIV/AIDS. They conducted (what they termed) summative research two days after the performance with two separate focus groups consisting out of four people each, as well as conducted interviews with management. Management viewed the performance as a success, listing the audience enjoyment and a slight increase in workers with questions regarding HIV/AIDS at the factory's clinic. Responses from the workers indicated that they enjoyed the show, had an increase in knowledge and a verbal promise to attitude change. Female workers voiced that they felt excluded from the action, as all the spectators required to act out solutions on stage were male. Responses from the focus groups convinced Durden and Nduhura that the performance was a success because it encouraged dialogue, it was experienced as enjoyable, participants had a high recall of what happened in the play, participants indicated an increase in knowledge, and were motivated towards behaviour change (Durden & Nduhura 2005).

I had some initial reservations to include this case study, because it is evident that the PAR approach is neither evident in the applied theatre programme nor in the assessment and evaluation thereof.

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However, I decided to include it as it demonstrates various different misconceptions about participation approaches both in practice and as evaluation method.

The participatory process described by Durden and Nduhura lacked various participation characteristics, not the least being equal participation from the target community. Although research was conducted before the scripting of the play to identify needs, they did not take into account the literacy levels, or the language barriers of the target community, an indication that they did not have an intimate knowledge of the community that they wanted to work with. The target community was not consulted about what their needs were; they were only incorporated in the research as research objects, without any attempt of shifting the power balance or acknowledging the superiority of the target audience in being expert regarding their own social issues and context. Instead of becoming part of a process that aims to rectify social ills through participation, the researchers affirmed the status quo.

After the fiasco with formative assessment, they still continued to rehearse the play in English and were fortunate that their actors were able to switch to isiZulu during the performance. The fact that they did not learn or take the lessons to heart is another failure of adherence to a participatory process. The test audience consisted solely of educated individuals, another oversight, as based on the low literacy levels and English language skills observed during the formative assessment phase, very little of the workers were educated to high school level. The test performance, therefore, did not test anything, which not only shows a seeming arrogance on the part of the researchers, but also a lack of understanding, respect and compassion regarding the community they deemed to be in crisis. One of the worst transgressions by the practitioners was the exclusion of certain audience members based on gender. This seeming lack of ethics constitutes a potential situation where the researcher is considered to be all-knowing, "teaching" the community what the "right" way is.

I also found no evidence of feedback to the participants, and information sharing is considered one of the key aspects of the participatory approach. The summative assessment was a data gathering mission and not sessions regarding the attainment of knowledge on both sides. The aim of exploring practical and personal solutions through a participatory approach was entrusted solely to the forum theatre process of which neither context, nor the themes were determined by the participants. The method of involvement of the target audience is more characteristic of a top-down approach than that of a PAR project.

The summative research conducted was lacking in data substantiating the claims of attitude change and motivation to behaviour change. It should be noted that Durden and Nduhura (2005) state clearly that their focus groups were not big enough, but that due to regulations at the factory, they were not allowed more than four workers per group. This statement does not make total sense, as they state that they had a group of ten workers during the formative assessment phase. Despite the above misconceptions, apparent mistakes and transgressions, the practitioners still labelled the programme effective and a success.

The practitioners failed to demonstrate most of the principles of a PAR approach, both in practice and in evaluation. They could not do a satisfactory assessment of the impact of the play. They fell into the trap of measuring immediate outcomes and reporting it as sustained change, as well as documenting intended or promised attitude change as actual attitude change. A more useful assessment of the success of the performance would have been to do the summative assessment again after a month to see how much of the perceived change was sustained.

This programme and its evaluation are unfortunately representative of many failed attempts at using participatory techniques. This is also an example of why a rigorous evaluation design should be created at the start of the programme. It illustrates why practitioners and programme designers should understand the methodology that they are using as well as what evaluation, assessment and change entail. It also demonstrates the misconception between *participatory* and *participation*. The first being a principle or value of an approach or method, and the second being an action. The overstating of what a programme can do is another problem that is highlighted. The transformative claims of partaking in a single isolated performance has been thoroughly refuted in various instances in earlier chapters of this study.

### 5.3.5 Case Study II: The Primary Sources Series

Marie Cieri and Robbie McCauley used participatory theatre[128] as a form of PAR and state that it can "play a vital role in how people think about and act upon social and political relations in their community" (2007:141). The aim of their production of the *Primary Sources Series* was to "explain

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[128] Cieri and McCauly (2007: 142) state that any performance is a form of participatory action research and that any artist, researcher and community can create a participatory theatre performance. They further classify participatory theatre as a vehicle to create dialogue and discussion as well as identify problems.

questions of importance" and to "initiate processes of dialogue and interaction that can affect change at broader scale" (Cieri & McCauly 2007: 141).

The *Primary Sources Series* was a range of productions centred on major events in American history, (e.g. the voting rights struggle in Mississippi in 1960) aiming to explore the lesser-known stories that surround it. They wanted to create a narrative platform for difficult dialogues and long-term social change. Stories were collected from target communities and performances were created in collaboration with the contributors, some of the contributors even became actors in the subsequent performances. After each performance, audience discussions were held, allowing actors and audience to interact (Cieri & McCauly 2007).

Cieri and McCauly (2007:142-149) argue that participation occurred at two levels: first, through performing the stories to the audience and second through the audience listening and discussing the performance at the end. They conclude by stating that they use theatre to "share research and extend awareness of history and charged social dynamics to a large and targeted public".

In my opinion, there is a third level of participation; participation through the collection of stories from the target communities and through creating performance with input and even participation from contributors. This level of participation creates the context of the programme, rooting the important questions in the unique situation of each community and using local knowledge to explain the questions.

The participatory approach followed by Cieri and McCauly empowered the participants, both those who directly contributed and those who were part of the audience. It consisted of learning, feedback, gaining knowledge, making participants part of the process, allowing the researched to create their own meaning and understanding, and contributed to social issues, all attributes of PAR as identified by theorists earlier in this section.

Although Cieri and McCauly did not assess the effectiveness of their intervention by any other means than observation of audience discussions at the end of the performances, they did not make initial claims that the performances would change lives or attitudes. The high rate of audience participation in the discussions "proved" that they succeeded in creating a narrative platform in which stories can be shared and discussion initiated, which, in this case, implies that PAR was successfully used as an evaluation method.

**5.3.6 Conclusion**

Participatory Action Research is a type of action-orientated research with the same origins as Action Research, but it is more activist and participatory in nature. The participatory approach views process as more important than product and is a cyclical methodology that aims at collecting data, gaining knowledge, understanding context and utilising information. It is a participatory approach which includes all stakeholders in all research cycles and in which the researchers and the researched work together in a power balance, which is tilted in favour of the researched. Target communities are seen as experts, and this problem-solving approach allows for community ownership, own identification of problems as well as actively trying to solve it themselves. Several theorists have identified unique attributes of PAR which set it aside from AR and other more traditional research paradigms. These attributes include the restoration and rectification of social injustices as well as healthy social contexts and practices.

There are three steps to the PAR approach that are repeated until a problem is solved satisfactorily. These steps are planning the change, acting to bring about the change whilst observing the process and consequences of the planned change and finally reflecting on the process and consequences. The cycle then starts again with planning the change.  The first case study quoted reflects the cyclical nature of the PAR approach through the summative assessment and test performance, although the researchers did not follow any of the approach's participatory ideals. The second case study does not demonstrate the cyclical nature of the PAR approach, although it illustrates its participatory and democratic ideals.

PAR approaches are suitable for applied theatre projects, especially process driven ones. PAR is flexible, applied, collaborative, committed, problem solving, aiming at bringing about positive change and participative. Participatory theatre claims participation on all levels, with the main goal of discussion periods often to inform and not to change. Feedback during the discussion period thus measures understanding and not impact. In process-based applied theatre programmes, PAR could not only be a successful approach for programme design, but also for evaluation.

However, the PAR approach is not necessarily a suitable evaluation method, especially for programmes specifically aimed at instigating sustained change, as the data gathered often lack validity, reliability and utility. It also needs skilled and trained researchers. The PAR process is all about engaging community participants at every level and setting goals together, but it does not

explicitly measure the change taking place. The process is more concerned with the achievement of goals than assessing the impact that had been created.

## 5.4 Participatory Monitoring and Evaluation (PM&E)

Participatory Monitoring and Evaluation (PM&E) is an action-orientated approach developed and drawing from other participatory and action approaches (Estrella & Gaventa 1998: 3). As with many of the action orientated and participation approaches, there are many correlations, but as some applied theatre practitioners make use of this specific approach to measure impact and evaluate programmes, I am discussing it separately from PAR and AR. PM&E is a participatory process where all stakeholders are involved in the monitoring or evaluation of a programme or project. All stakeholders share control over results, processes, programme and content.

Theorists define PM&E in various ways. According to the World Bank (2011), PM&E offers ways of "assessing and learning from change that are more inclusive, and more responsive to the needs and aspirations of those most directly affected". Bayer and Waters-Bayar (2002: 5) define PM&E as a process involving "multiple stakeholders in the design and implementation of observing, systematising and interpreting processes". Rossman (2015: 1) refers to PM&E as a collaborative effort of articulating questions, data collection and analysis, and the utilisation of what was learned through action. Vernooy, Qui and Jianchu (2003: 23 -24) state that normally an outside expert decides what is best in traditional research, whilst in PM&E the participating community determines the methods of measuring progress and result application.

As a working definition of Participatory Monitoring and Evaluation, I would suggest the following: a participatory approach that systematically, frequently and collaboratively monitors the progress of a programme, evaluate its effectiveness, and actively utilise its results.

Participatory and action orientated approaches have been developed due to the ineffectiveness and shortcomings of conventional approaches experienced by theorists and practitioners. In a major literacy study on PM&E, Estrella and Gaventa (1998) identified five main criticisms against traditional monitoring and evaluation practices. According to the study, conventional methods were experienced as expensive and unproductive with regards to measuring and assessing programme outcomes. Those who were directly involved in the project were left out of the process. Evaluation became more and more dependent on external experts who were far removed from the realities of development planning and programmes. Evaluation was done mainly to monitor and control

programme resources and programmes themselves, ostracising those directly involved in planning, operation and participation. Lastly, an overemphasis on measurability led to a lack of comprehension (Estrella & Gaventa 1998: 15). As is evident in the next section, the principles of participatory monitoring and evaluation rectify these critiques through participation, process orientated approaches and a shifting focus.

### 5.4.1 Participatory Monitoring and Evaluation: Definition and underlying principles

Rossman (2015: 1) explains that evaluation or assessment is often something which is "done to" participants, and that PM&E allows evaluation to be "done with" participants. Goparaju, Shah and Kambou (1998: 18) argue that a participatory approach involves those who will be affected in the entire process of M&E. Participatory monitoring and evaluation is a results-based cyclical approach, which relies on certain principles, objectives and processes that sets it apart from traditional evaluation methodology and other participatory processes. What I find attractive about this approach is that it is not a participatory approach solely aimed at sustained change as an outcome, but that it is primarily a participatory approach aimed at observing and assessing programme progress, processes and outcomes.

At this stage I think it is critical to address the difference between impact assessment and PM&E. Roche (1999: 21) defines impact assessment as an appraisal of whether change occurred and the extent to which it occurred based on stakeholders' perceptions, the socio-economic and political setting in which the intervention programme had taken place. The main difference between PM&E and impact assessment is timing, the analytical level and specificity (Roche 1999: 27). In an intervention programme, monitoring would be a regular feature, evaluation will take place sporadically and impact assessment will only take place at the end or after the completion of a project. With regards to the analytical level, monitoring can be seen as purely descriptive of programme activities, evaluation as an activity which is a bit more analytical than monitoring, but more concerned with the programme processes than the activities, and impact assessment as mostly analytical and focused on long-term objectives or outcomes. Specificity refers to the detail and focus of each of the three processes; monitoring being the most specific, drawing comparisons between a specific activity and its outcomes. Evaluation does the same as monitoring, but also takes into consideration the processes of an intervention programme. Impact assessment concerns itself very little with the programme specifics and also factor in the external influences and events that could have an impact on the outcomes of a programme. It is thus critical that practitioners know the difference between

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impact assessment and M&E when using the terminology as the approaches and methods would differ, but also the results.

Kelleher (2008: 6) explains the fourfold purpose of PM&E as management of programmes in close partnership with all stakeholders, learning with all stakeholders, empowerment of communities and partners, upward accountability (towards the funders) and downwards accountability (towards the community). Coupal (2001: 3) in turn lists the fourfold purpose of PM&E as: capacity building of local participants in terms of reflection, analysis and problem-solving, flexibility of approach through changing actions and processes to ensure outcomes and goals reached are in line with the project development, total accountability on all levels and revelling in and developing successful elements. With slight differences I would venture that the main purposes of PM&E are accountability and responsibility in both directions, empowerment and capacity building of communities, learning from and building on experience as well as close collaboration and flexibility. These purposes can also be seen as elements in the cyclical process of the approach, which allows participants to continuously define, identify, verify, reflect, refine, adjust, take action and revise (Coupal 2001: 3).

For me this approach consists of two parts, the participatory process, and the monitoring and evaluation process. I will first discuss the principles underlying the participatory process, before moving on to monitoring and evaluation. Vernooy, Qui and Jianchu (1998: 23) define *participatory* as various "types and degrees of involvement" and "control over and decision making in an activity". They identify the use of participatory approaches as functional, i.e. increasing evaluation effectiveness through collaboration, and empowerment or social transformation. The latter referring to an increase in communities' ability to make informed choices and their capacity to cultivate a suitable atmosphere for positive transformation.

Grossman (2015: 1) identifies five founding principles of PM&E as participation, negotiation, learning, flexibility, and methodologic eclectic. *Participation* is concerned with the creation of opportunities and procedures to ensure the inclusion of all stakeholders, especially ones that are traditionally ostracised. *Negotiation* is concerned with finding the focus, method and function of research, whilst realising that participants have different worldviews, experiences and work from different frames of reference. *Learning* will take place amongst all participants due to the participatory process and when participants share what they have learnt, it will aid with project development. As PM&E is concerned with change, practitioners should be *flexible* in their approach and methodology and be prepared to alter original planning as the project develops and changes occur. The last principle is *Methodologic eclectic* and refers to the wide range of methods and techniques

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participants can use within the PM&E approach (Grossman 2015: 1). All of these principles are concerned with including all stakeholders in the process, ensuring that their reality, context and needs are emphasised.

In conventional M&E, the community plays a passive part, only providing information when requested, and as a result are treated as subjects. As evaluation outcomes are rarely communicated back to the research subjects, the community stands to benefit very little from conventional approaches, especially since the evaluation purpose and/or questions seemingly seldom address their needs, but rather satisfy the donor agenda.  With participatory methods, the community not only takes ownership of the process, but also sets the evaluation goals which implies that the evaluation undertaken will be of direct importance to them. This information will enable a community to make short-term decisions, or decide upon long-term transformations (Shah, Kambou et al. 2004: 22 – 25).

Programme process is of equal importance to the programme product. Park, Gray-Felder, Hunt and Byrne (2005:7) refer to this as a "set of principles and a process of engagement" which is of equal importance to programme outcomes. They further argue that it can be difficult to distinguish between conventional M&E and PM&E, as external experts are involved in both, but in different capacities. Outside experts control all processes in traditional M&E, whilst they only facilitate the processes in PM&E to empower participants to do it themselves (Park, Gray-Felder, Hunt & Byrne 20075:11). I do not agree with this statement. It is easy to distinguish between traditional and participatory monitoring and evaluation, as the principles on which both are based differ considerably. As discussed earlier in this section, participatory methods ensure the inclusion of participants in all aspects of the process, even in identifying and defining the purpose of the evaluation. Traditional monitoring and evaluation are more often donor driven and follow a top-down approach. Figure 25 compares the characteristics of traditional and participatory monitoring and evaluation approaches.

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| Conventional Monitoring and Evaluation | Participatory Monitoring and Evaluation |
| --- | --- |
| • Uses indicators that are pre-determined by external evaluators. | • Indicators are defined and identified by the participants and/or stakeholders. |
| • External Evaluators | • Community members are trained in the appropriate techniques and assisted by an external evaluator. |
| • Initiated by donor/funder. | • Initiated by community/stakeholder request. |
| • Evaluation is done at the end of a programme. | • Evaluation is continuous and/or regular. |
| • Designed by exernal evaluator based on donor's needs. | • Designed by community/stakeholders to meet own needs. |
| • Outcome in the form of a report | • Outcome in the form of information that can be utilised to obtain results. |
| • Conventional methods used, e.g. surveys or questionnaires. | • Participatory methods used, e.g. testimonials or appreciative enquiry. |
| • Focussed on results. | • Focussed equally on results and process. |

*Figure 25: Table comparing conventional and participatory monitoring and evaluation.*

*(Coupal 2001: 1; Vernooy, Qui & Jianchu 1998: 24)*

Vernooy, Qui and Jianchu (2003: 23) define monitoring as consistent data collection with the aim of identifying and measuring transformation over a defined time-period, and evaluation as the effective analysis or measurement of a programme or project. The second part of the approach deals with the monitoring and evaluation part. Evaluation has been thoroughly discussed in Chapter 4, and the principles and characteristics explored remains a constant in PM&E.

In conclusion, the theory underpinning Participatory Monitoring and Evaluation is the same as that for other action-orientated approaches, namely change theory. However, as with PAR and AR which also originated from Lewin's change theory, it differs somewhat in principles and characteristics based on the main focus of the specific action-orientated approach. Participatory evaluation methodology has risen against the perceived unjustness and ineffectiveness of conventional approaches. The participation of communities on all levels during the process is very important, as

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this gives ownership and invests stakeholders in the process. As communities are direct beneficiaries from a programme, they stand to gain (or lose) the most from M&E and as such, it is crucial that participants are consulted, involved and partnered with. The information or knowledge attained through PM&E allows for short-term planning, long-term interventions and informed decisions. Monitoring and evaluation refer to the systematic collection of data, checking the process of the programme and measuring its effectiveness. In short, PM&E gives oppressed communities the chance to change their own lives.

### 5.4.2 Implications of PM&E for applied theatre programmes

If an applied theatre practitioner is trained in PM&E techniques, this approach can be used as the evaluation design during the planning of the programme, as well as become part of the operation thereof. The continuous data collection and programme monitoring will be useful to measure progress and will assist with an eventual programme outcomes measurement. As with most evaluation methods, it is not a one-size-fits-all solution. Theorists emphasise that it is a change measurement methodology, which shifts the emphasis to *who* measures the change and to *whos*e advantage will it be to learn about the change (Estrella 2000: 6).

With PM&E, it is the community who decides upon the indicators for change. This implies that applied theatre programmes that have not been developed in partnership with the target community, will not benefit from using the approach, as the outcomes and objectives of the programme would have been predetermined by the practitioners or the programme designer and not the participants. A PM&E approach can still be adapted in such programmes to facilitate a PM&E process in which participants monitor their self-development within the predetermined project aims and objectives.

The universal use of PM&Es as applied theatre assessment is advocated strongly by Kennedy Chinyowa as demonstrated in his key note address to the 2008 African Research into Applied theatre Conference entitled*: Walking on a Tightrope: Revising Monitoring and Evaluation Strategies for Applied theatre and Theatre Practice in African Contexts*. He states that traditional social science strategies involve outside evaluators, whilst PM&E is participatory and involves all stakeholders. Janse van Vuuren (2009) quotes him as stating that "conventional methods tend to measure mostly cognitive understanding based on the assumption that behaviour change comes as a result of rational choices, PM&E evaluates the immeasurable aspects of applied theatre e.g. 'metaxis' and 'communitas'", as PM&E makes use of local knowledge and media. Sankar and Williams (2008)

comment that evaluations based on "community development traditions or learning theories … are evolutionary, varied, and participatory and highly context depended".

In conclusion, the PM&E methodology is applicable to a large number of applied theatre programmes, as it can be used as a blueprint to design the programme and monitor programme progress. The monitoring and evaluation principles can be embedded in the programme from the start, ensuring better results all round.

### 5.4.3 The evaluation model: How Participatory Monitoring and Evaluation operates

Different theorists identify different steps for PM&E; apart from small differences, it is important that all stakeholders are involved in all the steps to ensure a successful outcome. Rossman (2015: 3) refers to the PM&E process as a "cycle of enquiry". The implication of this is that, if the set goals or objectives were not achieved, the process will start again either with the comprehension of the goals and objectives of the programme, or with the identification of activities to reach the specific outcomes.

Estrella (2000: 8), Coupal (2001: 7 – 8), Rossman (2015: 3), Kelleher (2008: 19) and Jain and Polman (2003) have all identified and listed several steps in establishing a participatory monitoring and evaluation process. I will summarise their approaches in the following steps:

- Step 1: Plan
- Step 2: Define and identify indicators[129]
- Step 3: Establish baselines and benchmark indicators
- Step 4: Plan for data collection, management, analysis, and conclusion
- Step 5: Utilisation of results

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[129] Measurement indicators (Lenni, Tacchi, Koirala et al. 2011: 2) can be used to measure/assess the progress a programme/project has made. Indicators are not proof of success or achievement, but a way of assessing which objectives or outcomes have been met. Indicators can be quantitative or qualitative, but qualitative indicators are often a more reliable form of measurement. The Equal Access Participatory Monitoring and Evaluation Toolkit (Lenni, Tacchi, Koirala et al 2011: 2 - 3) identifies four types of indicators, namely input indicators (i.e. measure the resources of a project, e.g. funds), process indicators (i.e. measure ways in which project operates, e.g. the amount of performances, number of attendees), output indicators (i.e. measures way a programme is run, e.g. provided platform of discussion) and outcome/impact indicators (measure quantity and efficiency of programme, i.e. decrease in HIV/AIDS infections).

During the planning stage in Step 1, stakeholders should identify the scope and purpose of the programme. Questions regarding who will benefit, who will do the work, what will be monitored and evaluation, and why measurement should take place, have to be answered. Determine whether training is required and who will receive the training. This stage can be time-consuming, as it requires negotiating, collaborative decision-making and the coming-together of different stakeholder groups. Vernooy, Qui and Jianchu (2003: 29) propose the use of the "magic wheel of PM&E" during the beginning stages of a PM&E design, which consists of six interrelated questions. If stakeholders are able to answer all six questions, it promotes a rooted and well-designed PM&E process. According to Vernooy, Qui and Jianchu (2003: 29-51), the "why" question is central because it establishes goals. The "for whom" question identifies the stakeholders; "what" is concerned with what will be monitored and measured, "who" is concerned with identifying the different roles that different people will play, "when" determines the time frame of the evaluation and "how" is concerned with selecting appropriate tools or methods. The wheel is simplistic enough for all to use and if used correctly, will collect all the information needed during the planning stage.
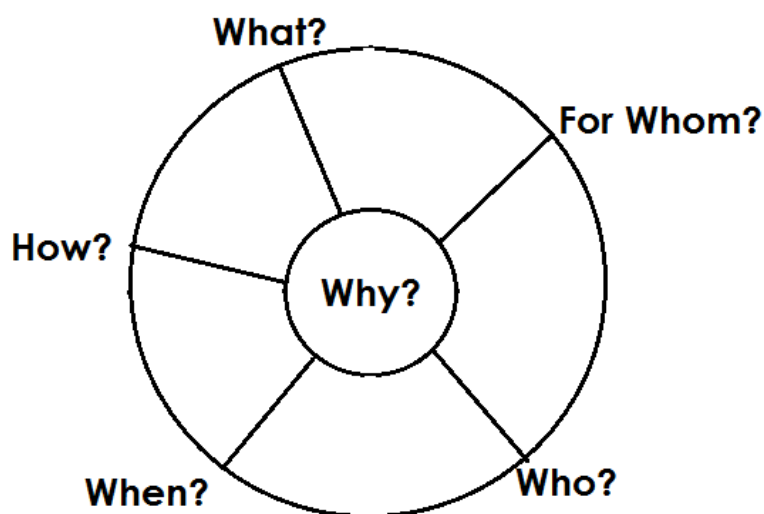


*Figure 26: Magic Wheel of PM&E (Vernooy, Qui & Jianchu 2003: 29)*

Step 2 requires the defining and identification of indicators. Before specific indicators can be identified, the objectives of the evaluation should be decided. It will be a good idea to use the SMART acronym for deciding upon indicators, thus ensuring that indicators are specific, measurable, achievable, relevant and time-orientated. Stakeholders should also indicate how an indicator can be achieved successfully, what has to be in place, needs to happen, or how much has to be measured for achievement.

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Development intervention theorists and practitioners like Roche (1999: 49) and Lenni, Tacchi, Koirala et al. (2011: 4 – 5) suggest that indicators based on the SPICED acronym should be used in conjunctions with SMART indicators for community or development intervention programmes. SMART indicators are concerned with the characteristics of the indicators whilst SPICED indicators are concerned with the application of the indicators. SPICED indicators are subjective, participatory, interpreted, cross-checked, empowering, diverse and disaggregated. SMART indicators are more representative of traditional M&E methodology and if practitioners ensure that these indicators are also SPICED indicators, it would ensure that the M&E approach is more representative of the spirit of PM&E.

Many theorists and/or practitioners argue for the creation of a theory of change and/or logical model during Steps 1 and 2. The use of a logical model will help identify goals, indicators and evidence required, just as the use of a theory of change will help to show which activities will bring about what change and why[130]. The use of these tools will aid with the correct collection of data as evidence, setting SMART and SPICED indicators, clarification and identification of goals as well as positive change.

Step 3 is concerned with baselines and benchmark indicators. These are important as they represent the current situation and will serve as comparison to see if change has occurred. It should be noted that indicators on their own can never serve as 'proof' that change has occurred. Indicators provide information on whether programme outcomes, objectives or targets have been met and can indicate that change is occurring, but indicators do not provide information on how, why or what change is occurring (Lenni, Tacchi, Koirala et al. 2011: 2).

Step 4 is concerned with data. Stakeholders have to decide what data needs to be collected in order to provide evidence for indicators identified. They have to decide how they will collect these data. Decisions regarding where data will be stored, and the frequency of collection has to be made. Stakeholders also have to decide who will be responsible for collecting and managing what. Decisions regarding data analysis must be made in terms of who and how. Finally, the results need to be interpreted and conclusions drawn. The conclusions must be communicated to all stakeholders.

Step 5 is about the utilisation of the data. This is about the actions that will happen as a result of the conclusions drawn from collected data. The process repeats itself if the necessary outcomes had not

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[130] The logical model and theory of change is discussed in Chapter 4, section 4.2.4 and Chapter 3, section 3.8 respectively.

been reached to allow for corrective action, or if stakeholders wish to evaluate the action taken due to the outcomes of the monitoring and evaluation process. The five steps in the approach can be illustrated in a very simplistic diagram, please refer to figure 27 for the diagram.
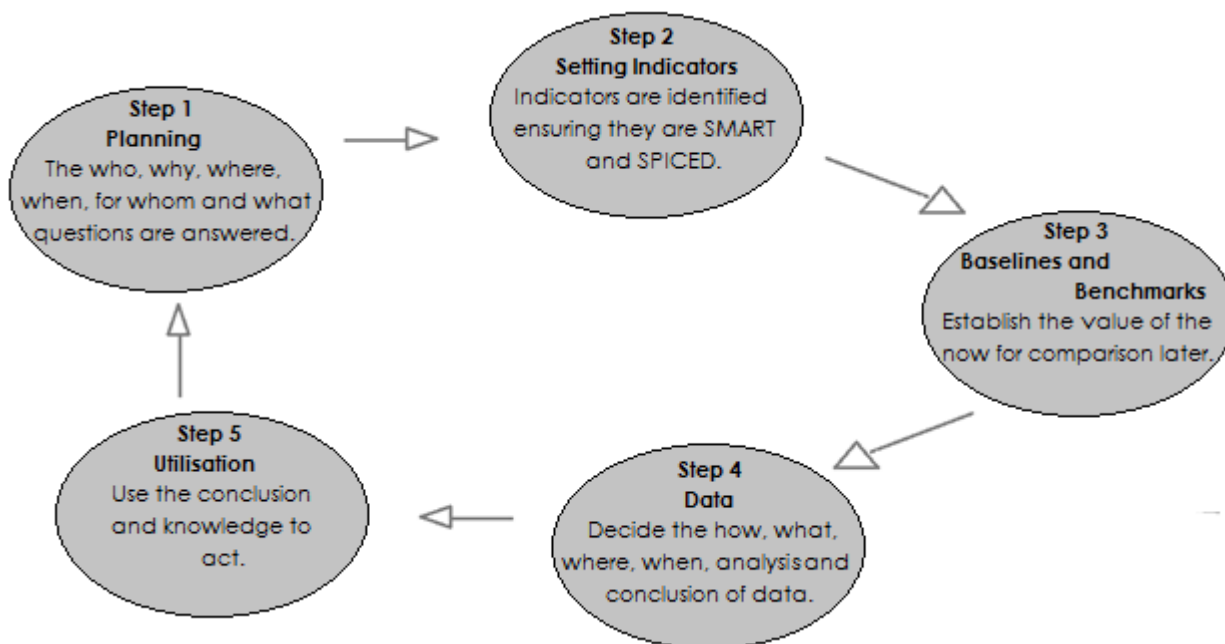


*Figure 27: A simplistic diagram representing the PM&E process*

Figure 28 aims to demonstrate in a simplistic way how this approach could function within an applied theatre setting using the same example of teenage pregnancies as in previous approach illustrations. If the goals set are not achieved after Step 5, the process will start again at Step 1 or Step 2, depending on whether the goals, outcomes, objectives or achievements have changed.
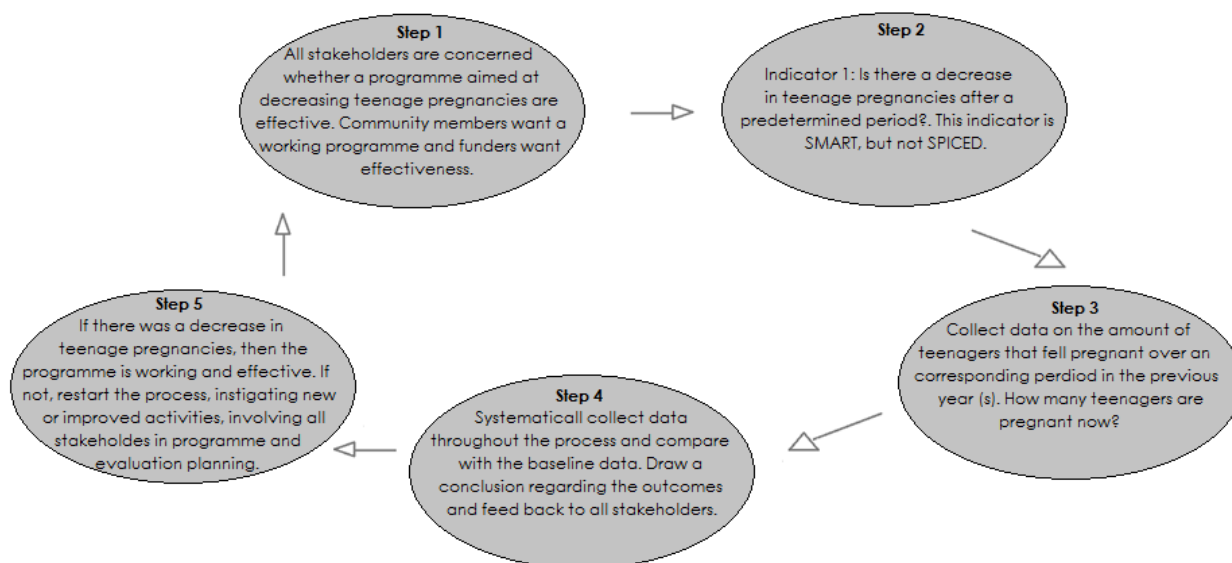


*Figure 28: A simplistic illustration of how a PM&E approach can function within an applied theatre setting.*

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McLoughlin and Walter (2012) list two major weaknesses of the PM&E approach. They argue that calling a process participatory does not guarantee the inclusivity of all stakeholders and that the marginalised community in which the project takes place, may become even more side-lined. This will also have an effect on the authentication of the research findings. Secondly, they claim that if researchers are not sensitive to the local socio-economic-political situation, the process can have negative consequences for the target communities (McLoughlin & Walter 2012: 12). Dillon (2012) adds that PM&E needs skilled researchers to ensure a fair and productive process and that the process can be very time consuming. It is also possible that stronger community role-players can drown out the narrative of weaker members, which can affirm a hostile status quo instead of remedying it, e.g. men drowning out the voices of women. It is also of vital importance that funders support the decision to use PM&E, as it does not use conventional methods.

### 5.4.4. Case Study I: Kennedy Chinyowa and Participatory Monitoring and Evaluation

Kennedy Chinyowa is a Zimbabwean-born applied theatre practitioner who is a great proponent of using Participatory Monitoring and Evaluation for applied theatre projects. He has authored articles on the subject as well as delivered seminar papers. I will look at two examples from his work.

Chinyowa (2011: 346) argues that PM&E is the most suitable approach for applied theatre programmes as the following principles of PM&E correlate closely with that of applied theatre: integrated participation[131], experiential learning[132], mutual negotiation[133] and adaptive flexibility[134]. He continues by stating that the planning and implementation of a project using PM&E methodology are based on local knowledge structures.

Chinyowa (2011: 347 – 352) uses Amakhosi Theatre Productions centred in Bulawayo, Zimbabwe, as an example of how applied theatre naturally uses PM&E methods. He describes the process and methodology used by Amakhosi Theatre Productions in an applied theatre project on HIV/AIDS. Amakhosi Theatre Productions refers to the specific genre of applied theatre that they use as Theatre for Community Action (TCA) (Chinyowa 2011: 347).

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[131] Funders, practitioners and target communities working together to assess outcomes.

[132] Local capacity building and attainment of knowledge.

[133] All stakeholders negotiate to balance own needs with regards to what is important to the project to achieve outcomes or goals.

[134] The approach can change as the goals and/or objectives of the programme change.

The HIV/AIDS project consisted of five events: a community engagement event, the selection and training of local talent, a local community performance, a public policy seminar dialogue and community policy advocacy. The *community engagement* event was an opportunity for stakeholders (practitioners) to empower the local community with organisational and management skills to cope with developing issues like HIV/AIDS education. Chinyowa is not very clear about the role, participation and his definition of stakeholders during the community engagement event, he refers to "initial planning meetings" (Chinyowa 2005: 184) attended by all stakeholders where a strategic plan was created for the community. The 'purpose' of the community event is described as enabling the 'stakeholders' to empower the community (Chinyowa 2005: 184). It becomes quite clear that Chinyowa distinguishes between 'grassroots' (with which he implies the community) and 'stakeholders' (who he identifies as educated outsiders). This is a contradiction to a participatory approach and much more representative of a traditional top-down approach. It also illustrates the miscomprehension that often exists between the terms *participatory* and *participation* as discussed earlier in this section.  Amakhosi performed an HIV/AIDS play entitled *Vikela*, translated as "protect yourself" at this event. The purpose of this performance was to "set ground rules for play" as well as stimulate the community's creativity (Chinyowa 2005: 184).

During the *selection and training of local talent* phase, local youths were selected from auditions and given intensive theatre skills training for four weeks. They then formed a local theatre group. Chinyowa (2011: 348) claims that Amakhosi closely monitored and assessed the groups' theatre skills development for a year, but no explanation of methodology, base-line indicators, measurement, evidence or outcomes are given of how, where and what this assessment was based on.

A *local community performance* afforded the local theatre group the opportunity to stage an adaptation of an Amakhosi play, called Vikela I which focused on the constrictions and limitations of HIV/AIDS prevention (Chinyowa 2005: 202).  The gathering of audience members for the performance was organised by the local district leader. A post performance discussion or a *public policy seminar dialogue* followed which engaged all the stakeholders, although it is unclear whether the funders were present at this interactive discussion. Locally trained peer educators facilitated the discussion. Chinyowa (2011: 351) claims that this discussion is proof of the TCA methodology to "forge an M&E contract between community members and outside experts", although no evidence, elaboration or further explanation of this statement is offered.

During the *community policy advocacy* stage the local theatre group performed a self-scripted play entitled *Vikela II*, also known as "living positively" (Chinyowa 2005: 202). This is a sequel to *Vikela*

*I*, which narrates the community's story and tried to incorporate community concerns voiced during the public policy seminar dialogue. The theatre group toured the production and always followed a performance with a post-performance discussion. The group also aided with the formation of new theatre groups in other communities. Chinyowa (2011: 352) claims that the shared narrative heralds the programme as a success as the audiences are able to reflect and interpret the meaning of experiences with HIV/AIDS. He continues by stating that the evaluation of the project is a process within a process but does not make any further explanatory statements or offer methods or techniques used to measure the claimed audience experiences

PM&E is a complicated and time-consuming, but distinctive, process. The programme process and evaluation process that Chinyowa describes concerning Amakhosi Theatre Productions' methodology falls short of the very descriptive and detailed PM&E approach. He makes many positive statements regarding the success of the programme and its utilisation of PM&E but falls into the familiar trap of claiming success without providing evidence. Unfortunately, the same applies to the applied theatre programme he describes in the article: *Evaluating the Efficacy of Community Theatre Intervention in/as Performance: A South African Case Study* (Chinyowa 2008).

Chinyowa founded the Ikusasa Lakho[135] Theatre Company when he had a meeting with a young woman, Tholakele Mkhize, from the Edendale township in Pietermaritzburg and this spurred the creation of the theatre group. The aim of the group, namely to improve the lives of the people living in the township, was decided upon by Chinyowa, in consultation with his academic supervisor[136] and Mkhize. It was based on Mkhize's original desire for change in her community as offered at the meeting. The objective of the programme was introduced to the youth theatre group which was tasked with collecting stories from the community.

The youths chose to focus on teenage pregnancy and did statistical research on the prevalence in KwaZulu-Natal as well as the socio-cultural stigma surrounding the issue. The workshopped play, *Sbongile*, was a once-off performance that Chinyowa (2008: 8) refers to as an "intervention strategy". The purpose of *Sbongile* was to "create a platform for action that could influence changes in values, attitudes and behaviour among the youth themselves" (Chinyowa 2008:5). Chinyowa (2008:6) used direct observations, personal engagement with audience members and general audience feedback to

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[135] Ikusasa Lakho is Zulu for "the future is yours".

[136] In 2006 Chinyowa took up a post-doctoral research fellowship at the University of KwaZulu-Natal's Department of Drama and Performance Studies and his academic supervisor at this institute organized the meeting with Ms. Mkhize.

assess the success of the production. Audience members were asked questions like, "What did you learn from this performance" and "Do you think performances like this can work as a way of learning". The affirmative answers given were seen as evidence of the transformative possibilities of the performance. Ikusasa Lakho also utilised the performance as a forum theatre text affording audience members the chance to partake in the solution, but this was not deemed as successful as audience members were reluctant to become involved in the process (Chinyowa 2008:10).

Chinyowa (2008: 10) states that it is "difficult to assess the extent to which the interventions acted as an effective catalyst for change", which seems in direct opposition to the statement he makes before describing the play, namely that "performance of the play *Sbongile* became a frame of reference for the youth and the community to take action against teenage pregnancy" (2008: 5). From Chinyowa's description of the process, it seems that not all stakeholders were involved in identifying outcomes and objectives and it is not apparent what these outcomes or objectives were. Chinyowa (2008: 6) mentions the use of direct observation, personal engagement, and audience feedback as assessment methods and through the questions that were used to collect audience feedback it appears that the purpose of the evaluation was to measure audience understanding.

Chinyowa not only makes himself guilty of arguably empty claims of transformation and success, but seemingly also attempts to use and propagate the use of one methodology for all applied theatre programmes, succumbing to Marks' syndrome of the "true believer" who acts "like his/her preferred theory fits all circumstances" (Marks 2005: 3). From the two articles cited above, it is also not clear if Chinyowa understands the principles and steps of PM&E, as mentioned earlier in this section, labelling something participatory, does not make it so. I also find a lack of evidence for the monitoring and evaluation part of the methodology and find it an oversight that Chinyowa only uses conventional evaluation methods, when all the guides, books and articles on PM&E provide a wealth of participatory data collection methods (e.g. mapping, grouping, ranking comparing, sequencing, field notes, visual tools, participatory observation and listening, most significant change technique, outcome mapping). There are oversights regarding baselines and benchmarking – he describes the investigation of secondary data sources concerning teenage pregnancies, but never refers to it again; there is no mention of indicators identified or what they were, negotiations between stakeholders appear to ignore the participation of the target community, close collaboration by all stakeholders and the basic goals of programmes were very vague.

I am not the only one raising credibility issues concerning Chinyowa's work. Ahmed (2007: 209) states, in a rather scathing rebuke aimed at Chinyowa's 2007[137] article, *Helping Them to Help Themselves. Case Study of an Integrated Popular Theatre Approach in Africa,* (describing the wondrous change brought about by the Amakhosi group) that Chinyowa believes that we "should take [his] words in good faith", because he fails to explain or provide evidence of the transformation that took place due to the performance.

Even though the evidence of PM&E techniques and processes is absent from the stated examples of Chinyowa's work, he is one of the main champions of using PM&E for all applied theatre programmes and as such raises four points as challenges facing the use of mainstream M&E in applied theatre (Chinyowa 2011: 353-354). Although I agree with the challenges listed, I do not view this as the main obstacles for practitioners using PM&E in applied theatre. I find it ironic, that considering the above examples of his work, he seemingly fails to demonstrate an understanding of or success in overcoming any of them. The points are:

1.  Practitioners need to adopt monitoring and evaluation to measure impact, as well as satisfy donor requirements.
2.  Practitioners need to find a way to negate the "outsider syndrome[138]".
3.  Applied theatre must be reinterpreted to be a gift and not a poison[139].
4.  Practitioners need to find a way – that are deemed positive by communities – to deal with problem issues, whilst respecting cultural views.

These issues are also raised by other theorists and discussed previously in this chapter. Although PM&E can work within the applied theatre process, Chinyowa fails to demonstrate the working thereof with the examples he cites.

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[137] Chinyowa's 2011 article (*Revisiting monitoring and evaluation strategies for applied drama and theatre practice in African contexts)* that I used as my main source of information on the Amakhozi project, was an abridged version of the 2007 article (*Helping Them to Help Themselves. Case Study of an Integrated Popular Theatre Approach in Africa*) that Ahmed responds to. These 2007 articles were in turn an abridged version of a 2006 article (Why theatre? A theoretical view of its centrality in HIV/AIDS communication) which was an abridged version of part of Chinyowa's 2005 PhD dissertation (Manifestations of Play as Aesthetic in African Theatre for Development).

[138] Practitioners should not view themselves as "saviours" of the community in crises or believe themselves to be more knowledgeable than local participants.

[139] Applied theatre should involve communities to determine needs and wants, the programmes should not be donor driven with regards to content.

**5.4.5 Case Study II: Search for Common Ground and Participatory Theatre for Change**

Participatory Theatre for Change (PTC) is an approach used by Search for Common Ground[140] and UNICEF[141] for conflict resolution. I include the approach in this study as an example of how PM&E can work within an applied theatre setting, not only adhering to all the principles of PM&E, but also with regards to tailoring these principles to meet the needs of a specific programme. Unfortunately, I was not able to find a complete case study of Search for Common Ground's work, but I will use examples of their work to demonstrate various parts of the participatory theatre for change approach.

Herrington (2016: 1-37) describes how participatory theatre for change uses participatory monitoring and evaluation techniques to measure programme effectiveness. Participatory theatre for change is defined by Herrington (2016: 7) as "a creative approach used with and by communities and groups to collectively research and critically analyse their own situation, develop and perform artistic and cultural content that reflects their reality, and actively engage participants in dialogue, analysis, planning, and action towards positive social transformation". Herrington initiates the discussion regarding M&E stating that the impact and outcomes of applied theatre are notoriously difficult to measure and that it is challenging to find evidence to support claims made by practitioners. PTC uses PM&E principles and stages to design and initiate their work, for both performance and evaluation. I will use the rest of this section to briefly discuss the methods employed to overcome the obstacle of assessing the effectiveness of participatory theatre for change (PTC) programmes, as described by Herrington (2016: 1-37).

PTC, which uses Boal's forum theatre as medium for change, includes monitoring and evaluation techniques from the programme design phase, to ensure the principles are embedded in the process. PTC uses the 3R framework to capture different areas of change. The 3R framework consists of *reach,* which is concerned with the *who* of performance and focuses on inclusiveness, *resonance,* which relates to immediate reactions, awareness and how rooted a performance is in reality, and *response,* which is centred on intermediate and long-term impact.

The first step in the PTC approach is to contextualise and analyse the conflict, situation, community and setting. The better the understanding of the context and conflict, the better the PTC programme

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[140] Search for Common Ground is an international non-profit organisation working in various ways to end conflict. PTC is one of the approaches they employ (https://www.sfcg.org/).

[141] The United Nations International Children's Emergency Fund (UNICEF) is an international non-profit organisation dedicated to defending the rights of children and youths (https://www.unicef.org/).

design will be and the greater the chance of instigating sustained and positive change. The context/conflict analysis is a socio-historical and cultural analysis which is not grounded in the current perceptions and impacts of the conflict, this is dealt with in community scans. The context/conflict analysis provides information to create a theory of change for each programme, to state unambiguously which activities will lead to what changes and why this will happen. The theory of change is used to identify outcomes, outputs and objectives. For example, in a 2011 – 2013 PTC programme in Rwanda aimed at reconciliation, the theory of change was based on Allenport's (1954) contact theory which states that when opposing groups meet and collaborate, changes in prejudices and tensions can transpire and a participatory theatre setting enabled the opposing groups to meet in a safe space (Herrington 2016: 18).

Next, stakeholders decide on what data need to be collected as evidence of the desired changes and prove the outcomes and objectives. Indicators are set, and it is decided what must be achieved for the indicator to show success in a certain area. Both qualitative (e.g. photos as evidence of the number of participants) and quantitative data (e.g. most significant change technique to document soft skills) are collected. They collect benchmark data but refers to this as pre-monitoring community assessment scans. These community assessment scans, apart from rooting the conflict in the here and now of the participants, enable actors to familiarise themselves with all the aspects of the target community in order to specifically tailor their PTC performance to address the issues specific to that community within the broader concept of the theory of change.

An example of such a scan can be found in an interactive community assessment which took place in Burundi in 2014 whereby 100 members of various opposing groups where able to gather at the same time to voice their opinions on questions such as 'what are the problems that you face', 'what is the principle problem and what is its root cause', 'Can you give a real life story of when this happened?' (Herrington 2016: 18). Five stories were chosen from those offered and these were dissected and discussed by the entire group, which resulted in improvised performances. The actors who would form the acting troupe for this programme were present the entire time, observing the audience, but also the improvisation. After the improvised performances ended, participants were asked what they had learned and whether they would have changed anything in the improvised performances.

After the M&E design had been structured, it is implemented together with the theatre programme. PTC uses process monitoring and quality monitoring for the systematic supervision of the programme's progress and process. Process monitoring is concerned with data capturing and the

implementation of programme activities, whilst quality monitoring has to do with the artistic merits of the performances and the development of the actors.

Herrington (2016: 31) uses a 2011 programme geared towards reconciliation facilitated in Rwanda in conjunction with USAID as example of quality monitoring. After the programme had been designed and evidence gathered as described above, the actors that would perform in the programme were first observed as actors and then involved in a three-day training session that focused on the development of participatory theatre skills. The actors secondly attended a session with regards to the policies of the Rwandan government on unity and reconciliation for them to be fully informed. At the end of the workshop and information session, actors were required to improvise a PTC performance on the issues that the programme will be dealing with to test their understanding, but also to ensure the artistic quality and integrity of their work. Sketches were developed by Search for Common Ground based on information gathered and strategies decided upon during the programme process. These sketches addressed conflicts between students, either based on the roles their parents played in the 1994 genocide, or due to ethnic differences. Sketches were performed, and participants were able to share and voice opinions as well as help to solve the problem posed in the scenario through active participation in the performance. The scenarios of the sketches were then revised or changed based on participant feedback and observation to ensure the relevance and conflict sensitivity thereof.

The final step is the evaluation of the programme, using data/evidence gathered throughout the process with monitoring activities, as well as answering evaluation questions set at the start. Indicator evidence is analysed and interpreted, data is measured against benchmark data. PTC employs most significant change techniques alongside the more conventional quantitative evaluation methods.

Search for Common Ground and their participatory theatre for change clearly demonstrates an understanding of the PM&E approach and not only embeds it in their programme design, but also as base for their performance creation processes. In addition to traditional PM&E methods, they also use the most significant change technique in a clear validation that they created an evaluation methodology that works for their unique context.

### 5.4.6 Conclusion

Participatory monitoring and evaluation is an action orientated approach in which all stakeholders are involved and share control over all aspects of monitoring and evaluation. It is a results-based approach with roots in activist theories and human rights.

PM&E can be divided into two parts. The participatory part is concerned with the inclusivity and collaboration of the approach, whilst the monitoring and evaluation part of the approach is concerned with the systematic supervision of process and measurement of outcomes. Five principles guide PM&E, namely participation, negotiation, learning, flexibility and eclectic methodology. Process and product are of equal importance in the approach. External practitioners act more as guides and provide training to community stakeholders.

The approach is applicable to applied theatre programmes and can be used as a blueprint for programme design. However, practitioners will struggle to implement PM&E as an evaluation approach if the principles of the programme are not based on participation. It is possible to summarise the creation of a PM&E approach in five steps, namely planning, defining and identification of indicators, establishing baselines and benchmark data, the collection, management, storage, analysis and interpretation of data together with who will be responsible for the various tasks and the conclusions drawn from the data. The last step is the utilisation of the results. A theory of change and/or a logical model will aid with clarifying programme goals and defining indicators, as well as what evidence needs to be gathered. A theory of change will also indicate a direct correlation between activities and change and will explain why a particular activity will result in the identified change, for practitioners to identify indicators to measure change.

Not all approaches or programmes labelled "participatory" are in fact participatory. The example of programmes quoted by Chinyowa shows a lack of understanding of the PM&E system as well as the term participatory. Participatory theatre for change is an applied theatre approach that makes full use of PM&E. It is clear from the PTC approach and guidelines that they understand the principles of PM&E, but also the underlying principles of monitoring, participation, change and evaluation. Search for Common Ground is an example of tailoring an evaluation methodology to suit a programme's unique needs.

The best chance for a valid, reliable and successful evaluation is that the evaluation design form part of programme design and that evaluation methodology is embedded in programme operation. This implies that monitoring automatically forms part of the evaluation methodology.

One of the main problems of the PM&E approach is that it is not an assessment method in itself, but a process to design a methodology and develop appropriate assessment tools. Practitioners without the necessary knowledge and skills will be able to follow the steps, but not be able to come up with

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appropriate techniques for e.g. data collection. As skilled researchers are required, this approach is not amenable to all applied theatre practitioners, an irony in light of its participatory design.

## 5.5 The Logical Framework Approach

The Logical Framework Approach (LFA)[142] is a management tool that is used to design, monitor and evaluate projects. It was originally developed for USAID in 1969 and continues to be a popular tool used by development agencies (Jensen 2010: 2). It is an approach to programme design and evaluation that uses a log frame matrix that is developed during programme inception and is based on theory of change.

The LFA is a tool used for project design, management and assessment that utilises situation, stakeholder and problem analysis (lgausa 2012: online). It summarises the results of a programme as it states what a programme wants to achieve, what activities will be facilitated, the required inputs, potential challenges to the programme and how effectiveness will be assessed and measured (Jensen 2010: 2). Theory of Change (TOC) forms the basis of the LFA approach (Kaplan 2012), and as such explains the why and how of change, but also aids with an understanding of ongoing issues and activities, the clarification of the problem(s) and identification of active solutions (Evaluation Toolbox 2017).

### 5.5.1 How the model works: Logical Framework Approach

The LFA is a complicated approach and in an effort at accessibility, I will start this section with a concise description of the LFA and then continue to explain how it works in greater detail. The LFA makes use of a 4 x 4 matrix called a log frame that uses vertical logic consisting of project activities, outputs, purposes and goals; and horizontal logic that consists of narrative, objectively verifiable indicators, means of verification and assumptions. The log frame is designed through processes of situational analysis, participatory analysis, problem analysis, objective analysis and alternative analysis. During these processes, a problem tree is created which lists the main obstacles or problems the programme wants to address, and which are written down as negative statements. A reversal of the process sees the negative statements rewritten as positive statements and this creates a solutions tree. How to get from the negative statement to the positive statement are the intervention activities

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[142] The Logical Framework Approach (LFA) should not be confused with the logical model or logical framework tool as described in Chapter 4 and referred to in other parts of this chapter. The LFA is a programme evaluation approach and the logical model is a programme design tool.

the programme will undertake. This process creates a means-end relationship between the problems and outcomes. Indicators used to measure the interventions should be factual, plausible, objectively verifiable and independent. After the log frame is completed, its logic should be tested to ensure a workable tool. The log frame is a useful planning tool that creates cause and effect relationships, means-end relationships and assesses change.

The approach works through the creation of a 4 x 4 matrix that is also referred to as the project matrix. This matrix, which is a description of four categories of activities, functions by means of the temporal logic model, whereby actions are directly related to outcomes and a series of connected hypotheses, gives a desired outcome. Norad (2010: 9) explains the temporal logic model as a "casually linked sequence of events".  The LFA approach thus relies on a series of assumptions and hypotheses to reach favourable outcomes or results. The term hypotheses is used to describe the desired outcomes of activities, as a theoretical assumption does not guarantee practical success (Norad 2010: 9).

Umhlaba (2017) uses the diagram in figure 11 to visually illustrate how the LFA works step by step. The basis of the model is that programme activities (or the actions that take place in a programme) result in desired outputs (or hypotheses) and allow for the fact that a combination of activities may be necessary to create one output. The outputs of the activity (or that which can be measured after the completion of an activity) lead to a desired result, and the model again allows for the fact that more than one output might be necessary to instigate the desired result. Once all the desired results of a project have been achieved, the project purposes (or various goals of the programme) are realised which in turn aid reaching the overall objective of a programme. I find the diagram a little confusing as it does not show that various goals (which are labelled 'project purpose') allow for the realisation of the overall objective.

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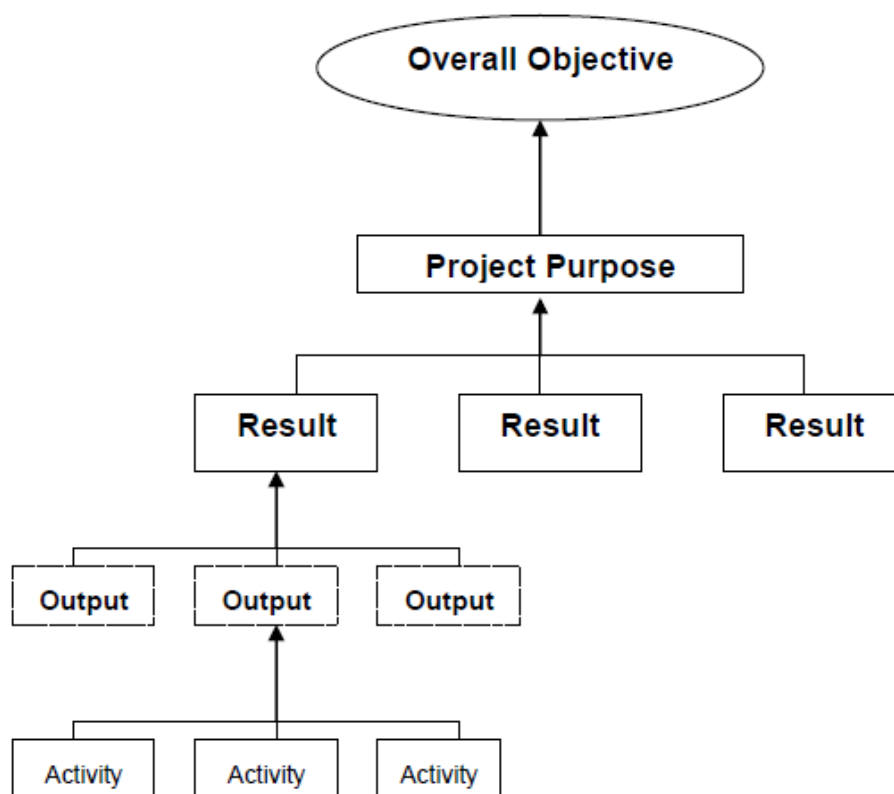
*Figure 29: How the LFA approach works. (Umhlaba 2017:6)*

**5.5.2 The evaluation model: How the Logical Framework Model operates**

As stated earlier, the log frame is a 4 x 4 matrix with four basic columns and four basic levels. The four columns are called the vertical logic which is concerned with the intended activities of the programme, lists assumptions and dangers outside project control, and illuminates causal relationships. The four levels are called: the horizontal logic and is concerned with measurement, indicators, resources and verification (Norad 1999: 7).

The vertical logic contains information on a project's: *activities*, the definitions of the undertaking that must be completed to achieve outputs; *outputs*, the programme services or things that can be measured or observed of the programme and will aid with achievement of goals; *purpose*, the main goals of the programme and *goals*, the main aim of the programme, which can be broken down into goals. The horizontal logic contains information on different types of events such as: *Narrative*, which describes the event; *Objectively Verifiable Indicators (OVIs)*, that should be unbiased and independent and will verify if an objective has been achieved; *Means of Verification*, how and what information will be obtained to measure the OVIs and *Assumptions*, uncontrollable external factors that can have a positive or negative effect on the narrative described. The OVIs or indicators should have the following characteristics; they should be independent, i.e. only measuring or assessing their

related objective, purpose or result; factual, i.e. measurement should be realistic; plausible, i.e. it should be convincing measurement of transformation attributed to the programme and objectively verifiable, i.e. evidence should be provided that they were achieved (Umhlaba 2017: 15).

An explanatory example of a log frame matrix by Jensen (2010) is provided in figure 30.

| 1. Project summary | 2. Objectively Verifiable Indicators | 3. Sources and Means of Verification | 4. Assumptions |
|---|---|---|---|
| 1. Overall Objectives/ Goal<br><br>The shared vision that your project contributes to | The extent of your contribution (not always possible) | How you will measure your contribution (not always possible) | |
| 2. Specific Objective/ Purpose<br><br>What you intend to change during project period | How you will know the intended change has occurred and is sustainable | How you will measure change<br><br>(the basis for evaluation) | Assumptions about *external factors* that need to be in place if project is to contribute to the Goal |
| 3. Expected Results/ Outputs<br><br>Tangible results of each activity intended to bring about change | How you will know the expected results of your project have been achieved | How you will measure results<br><br>(the basis for periodic review) | Assumptions about *external factors* that may affect whether the project purpose is achieved |
| 4. Activities (and processes)<br><br>Groups of tasks needed to achieve each expected result | The means, inputs and resources needed to carry out the each task | Proof that each activity/task completed (what needs to be regularly monitored) | Assumptions about *external factors* that may affect activities achieving the expected results Preconditions (that need to be fulfilled before the project can start) |

*Figure 30: Example of a log frame matrix by Jensen (2010)*

Upon the completion of the log frame, its logic should be tested, and this is done for each intervention. If this activity takes place and the assumption holds true then this specified outcome should happen. If this output takes place and the assumption holds true then this purpose will be obtained. If this purpose is successfully achieved and the assumption holds true, then the goal will be achieved (Kaplan 2012).

The log frame and project design processes are further clarified as follows by the Logical Framework Approach USA (lgausa) on their website and is represented in figure 31. The column on the far left of the log frame is connected by vertical logic and this is the list of objectives of the project. The remaining three columns are called the horizontal logic and are more complicated. Horizontal logic describes the following for a horizontal row of cells (or a level of objective): how objective attainment can be quantified how such information will be gathered and what external factors could hamper or prevent the completion of the objective (lgausa 2012).

| Narrative Summary | Objectively Verifiable Indicators OVI's | Means of Verification MOV | External Factors (Assumptions) |
|---|---|---|---|
| Development Objective | | | |
| Immediate Objective | | | |
| Outputs (Results) 1. 2. 3. | | | |
| Activities 1. 2. 3. | Inputs 1.1 1.2 1.3 | | |

*Figure 31. The Log frame (lgausa 2012: online)*

According to lgausa (2012: online), the log frame is designed during various analysing processes, namely situation analysis, stakeholder or participation analysis, problem analysis, objective analysis and alternative analysis. A *situation analysis* is a document that describes the context of the problem, i.e. the problem situation, stakeholders and effects of the problem and can be a feasibility study, a pre-appraisal report or a specially commissioned report. *Stakeholder or participation analysis* is an investigation into the people, groups and organisations that influence or is influenced by the problem

and any potential solutions and discuss "interest and expectation of persons and groups that are important to the success of the project".

During the *problem analysis* stage, consensus is sought from all stakeholders on different aspects of the problem and problem statements are created which are arranged in a problem tree that demonstrates cause-effect relationships. *Objective analysis* allows problem statements to be transformed into objective statements and are arranged in an objective tree demonstrating means-end relationships that show how a project can achieve the desired outcomes. *Alternative analysis* allows for the selection of the most promising strategy from the objective tree, as all means-end relationships cannot be followed. After the analysis stages the project design enters the activities planning stage where stakeholders identify what activities are required to achieve each objective (lfausa 2012). Once this programme is complete, the log frame can be completed too and will demonstrate the cause and effect of desired change.

Norad (1999: 23) recognises seven steps in the LFA design. He divides the design process into two phases. First, a phase concerned with analysing the situation which consists of participation analysis[143], problem analysis[144], objective analysis[145] and alternative analysis[146]. Second, a phase concerned with designing the project consisting of project elements[147]; external factors[148] and indicators[149]. The Evaluation Toolbox (2010) lists a seven-step approach for designing a log frame, namely stakeholders analysis, problem analysis, solution analysis, strategy analysis, log frame matrix,

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[143] A study done to understand the needs, desires and expectations of all stakeholders (Norad 1999: 24).

[144] The main problems or obstacles are identified, and a problem tree is created to demonstrate casual relationships (Norad 1999: 30).

[145] The problem tree is reversed into a solution tree and the means-end relationships are analysed (Norad 1999: 36).

[146] During this step designers endeavour to come up with alternative solutions to the ones identified in the problem tree, the possibilities discussed and analysed, and consensus is reached about the main programme strategy (Norad 1999: 38).

[147] This step allows for the most important elements identified by the problem/solution tree to be transcribed onto the horizontal part of the log frame matrix (Norad 1999: 42).

[148] Assumptions are conditions that must exist for the programme intervention to be successful, but these conditions are not under the control of the project. During this step all assumptions are identified and transcribed onto the log frame matrix (Norad 1999: 44).

[149] Indicators are the measures of change that will be used to assess the effectiveness of the project. Indicators can be qualitative, quantitative or behavioural, e.g. the number of bathrooms, the bathroom cleaning coalition working effectively and the increased use of bathrooms. The more indicators a certain outcome or intervention has, the more valid and reliable the outcome becomes. (Norad 1999: 48)

activity scheduling and resource scheduling, closely correlating with the approach identified by lgausa. The Evaluation Toolbox provides additional information regarding the following process used by the LFA, a problem tree.

A *problem tree* serves as a cause and effect synopsis of the planned programme and establishes programme context. The problem tree is created by first writing down all the negative ideas and then, through reversal, a solution tree is created by replacing all the negative writings with positive statements. This process creates the synopsis of what needs to happen (intervention) for change to occur. The Evaluation Toolbox (2010) identifies four steps to facilitate the process described above. First, decide what the main obstacle or barriers are, this will form the main instigator of change for the programme. Second, identify grounds and consequence, statements regarding what the causes and effect of the problems are should be written down in negative format. Third, create a solution tree, the reversal of negative statements to positive ones, create a means-end relationship that demonstrates what type of intervention is necessary. Fourth, select the appropriate intervention, this demonstrates what needs to happen to turn a negative statement into a positive one.

Using the same example of creating an imaginary applied theatre programme to create awareness, impart knowledge and possible change concerning teenage pregnancies in schools, I will attempt to illustrate the workings of the log frame. Please note that this is just an attempt to clarify the log frame visually and should in no way be taken to be evidence of an actual programme.

| | Narrative | OVI | Means of Verification | Assumptions |
|---|---|---|---|---|
| Goal | Decrease in Teenage Pregnancy Statistics. | Decrease in Teenage Pregnancy Statistics. | Official School Statistics. | More girls will finish school. |
| Purpose | Increase knowledge and awareness of Teenage pregnancy in the school through the drama group. | Knowledge and awareness of Teenage Pregnancy. | Test knowledge by asking audience to create own plays to demonstrate understanding. | Knowledge and awareness will lead to more responsible choices. |
| Outputs | 10 Scholars complete the programme and create a performance. | Number of scholars in the programme. | Attendance records for sessions and rehearsals. | Scholars apply what they learned during sessions to create a play and perform it to the school |
| Activities | Group of Scholars script, rehearse and perform a play concerning Teenage pregnancy. | Performance of Play | Video Recording of Performance | Enough scholars are prepared to become involved in the programme and perform in front of the school. |

*Figure 32: An example of how the log frame can work within an applied theatre setting*

Eade and Williams (1995: 145 – 146) list the following four strengths of the LFA approach, namely methodical analysis, evaluation of performance, creates a framework for decision and builds a common agenda. *Methodical analysis* or systematic examination refers to the linking of activities, objectives and aims and the relationship to assumptions. The LFA also *facilitates the evaluation of performance* or operation assessment, as the LFA categorises, lists and records objectives and indicators making it useful as a planning, management and implementation tool. As all objectives, indicators and assumptions are listed, decision-making is objective and as such, the LFA functions as a *framework for decision* or a result-based model. As a team uses the LFA, it aids with identifying a *common agenda* or shared plan.

Jensen (2010: 6) argues that the use of the log frame approach is not popular amongst programme planners and evaluators due to its complexity of use, the time-consuming process, inflexible structure, difficult terminology and the fact that it is not participatory. Eade and Williams (1995: 145-146) identify the following weaknesses of the LFA approach. It *concentrates on quantifiable indicators*,

which implies that its use in fields which aims to measure attitude change or interpersonal or soft skills, like for example self-confidence, can be limited as it is difficult to use the log frame with qualitative indicators. The LFA framework is very rigid, may cause an impasse in a project and it is difficult to add new goals or objectives that were not included at the start at a later stage. This is due to the *mechanistic logic* of the LFA. The LFA may *potentially alienate* stakeholders or communities if they were not included in the initial planning stages or if they are unfamiliar with the approach. The LFA is a *large investment* of both time and money. It requires training to be able to use it and will thus require staff to be trained by external experts. Apart from being difficult, too rigid and time-consuming to use, two of the major weaknesses that are listed by the PMM&E Resource portal (2010) is that the LFA limits creativity and opportunity and can only measure predetermined outcomes.

### 5.5.3 Implications of the Logical Framework Approach for applied theatre programmes

The LFA is a very useful, though extremely complicated and time-consuming tool for programme design and allows for measurable outcomes and specific activities. Unfortunately, it can only evaluate outcomes identified at programme design level and cannot adapt or evolve. Applied theatre programmes, no matter how well designed, quite often must be adaptable to unforeseen circumstances, such as community resistance, unintended outcomes and evaluation methods need to be flexible as the programme develops.

Although the LFA seems an excellent programme design tool and evaluation method, which would be able to measure change accurately, it is too rigid and inflexible for use with applied theatre programmes. It is difficult to use and needs skilled researchers.

### 5.5.4 Case Study: DramAidE

DramAidE is a Kwazulu-Natal based applied theatre company started by Lynn Dalrymple that aims to raise awareness, deliver information and build skills in a social activist attempt to change education principles to acknowledge every individual's right to health and well-being. DramAidE differs from Theatre in Education (TIE) initiatives by believing that awareness campaigns are not enough and uses capacity building in communities to arm communities with the means to act and to offer care and support for those individuals who are infected and affected by HIV/AIDS. DramAidE's main purpose is the use of applied theatre and participatory interactive learning methodologies for life-skills facilitation and sex education (DramAidE: 2011). In opposition to the case studies described in

previous sections of this chapter, I will not look at a case-study to illustrate the approach but will rather concentrate on Dalrymple's own criticism of the LFA approach as used by DramAidE.

DramAidE uses the Logical Framework Approach (LFA) in an attempt to measure sustainable change, but Dalrymple (2006: 204-214) states that a lot of training is needed to use the LFA and that this makes it inaccessible to many facilitators. The methods utilised by the LFA is in contradiction of participatory and context-based approaches. She adds that the LFA aids with identifying impact levels and defining change indicators and that this is invaluable in applied theatre programmes. She dismisses the use of case studies to measure impact, as it is problematic to use one case study to generalise results and claim transformation or the effectiveness of a programme. She states that DramAidE has "struggled to find indicators or predictors for its project that are reliable and measurable" (Dalrymple 2006: 204-214). This links to Eade and Williams's supposition stated above, that the LFA does not lend itself to qualitative indicators, a type of indicator necessary to assess attitude and other interpersonal changes.

In conclusion, Dalrymple suppositions that the LFA is a valid and reliable evaluation approach, but apart from its complexity and rigidity, it also struggles to measure qualitative interventions, which is in line with my own conclusions.

### 5.5.5 Conclusion

The Logical Framework Approach is a systematic outcomes-orientated approach that does not allow for participation or ease of use. It demonstrates connections between cause and effect and generates reliable indicators of change that can be objectively verified. It is an excellent theoretical approach to measure change, but unfortunately, the LFA is too ridged, time-consuming and complicated for easy use by applied theatre practitioners. It is not an assessable approach and can be costly to implement. The applied theatre company that uses it, states that they use it for want of a better methodology that offers the same reliability and validity, but that it lacks in various compartments.

### 5.6 Conclusion of assessment and evaluation in applied theatre

Applied theatre practitioners struggle to find appropriate measurement tools to assess or evaluate programme outcomes, effect and impact. Success stories are everywhere, but little evidence exists to back up these claims of transformation. This, together with practitioners overinflating what a programme can achieve, has led to a lack of credibility in the field.

Previous chapters demonstrated that a mixed method approach, using a balance of qualitative and quantitative methods, is the most successful approach. An evaluation design or structure does not have to consist out of one methodology or approach but can be an eclectic approach consisting of various techniques and methods to ensure that specific programme needs are met.

Every programme is unique and as such, every evaluation should be unique. Practitioners need intimate knowledge of change theory, change assessment, evaluation practice and evaluation methodology to design an evaluation approach accurately. This type of knowledge seems lacking in the applied theatre sector as is evidenced through published articles, case studies, botched attempts at evaluation and practitioner and funders' frustration. An evaluation and assessment design should be included in programme design and/or development and should be fully embedded in the programme operations to ensure evaluation that is successful, utilised, feasible, sustainable, reliable and valid.

Action research (AR) is a results-based approach that forms part of action-orientated approaches. AR is based on the change theory of Lewin that states that the individual cannot change in isolation. AR is a cyclical approach, consisting of repeating circles of planning, action, observation and reflection. It is a time-consuming process, which accurately assesses short-term and immediate change.

arepp is an applied theatre company that claims to use AR as evaluation methodology and rely on AR for both change intervention as well as impact assessment. They aim to increase efficacy in participants, but unfortunately fail to demonstrate the effective use of AR as a successful evaluation approach. arepp also shows a lack of understanding in what they aim to achieve (goals and objectives), what they want to measure (indicators) and what they actually measure.

Participatory Action Research (PAR) is another action-orientated approach which is based on change theory, but with added influences from human rights and social consciousness movements. PAR fulfils two main aims, namely to include all stakeholders through participation and to collect data (evidence) of change. It is concerned with learning through experience and acting using the knowledge attained. PAR is a cyclical process with repeated cycles of planning, action and reflection. Many applied theatre programmes would be suited to the use of PAR as applied theatre projects are often participatory in nature, but PAR is complex, time-consuming and requires skilled researchers.

Problem Solving Theatre (PST) claims the use of PAR as evaluation approach, but the researchers failed to demonstrate the successful use of the principles and characteristics of the approach, showing

a lack of comprehension regarding the methodology, guiding principles and characteristics of PAR. The researchers arguably make the further mistake of misinterpreting the results, wrongful reporting of outcomes and labelling a process participatory, which it was clearly not. This case study serves as an example of why it is crucial for evaluation and/or practitioners to understand the evaluating methodology they are using as well as change practices and theories.

The case study of the Primary Sources Series in contrast to that of PST demonstrates the effective use of PAR in both the applied theatre process and evaluation thereof. The researchers were knowledgeable about what, how and when outcomes should be measured, and as such had reliable evidence of the effectiveness of their programme.

Participatory Monitoring and Evaluation (PM&E) is another action-orientated approach in which all stakeholders share control of results, process, programmes, outcomes and objectives. PM&E has a twofold purpose, it firstly actively involves all stakeholders in a participatory process and secondly manages and assesses the effects of programme processes and programme outcomes through continuous data (evidence) collection. Five steps are followed to design a PM&E process, namely planning, definition and identification of indicators, establishment of baseline and benchmark data, the planning of data collection, storage, management, analysis, interpretation, sharing and deriving conclusions and the active utilisation of results.

The approach would suit many applied theatre programmes, as it is participatory whilst it monitors programme processes and evaluates programmes outcomes, but practitioners should be aware that labelling something as participatory, does not guarantee that it is so. PM&E is also time-consuming, complex and requires skilled researchers. The case studies examining Chinyowa's use of PM&E, a method he proclaims should be used exclusively in all applied theatre programmes, demonstrates a seeming lack of knowledge regarding PM&E processes and the comprehension of PM&E principles. Chinyowa advocates a one-size-fits-all approach, as well as proclaiming sustained change without providing collaborative evidence or support.

In contrast, Participatory Theatre for Change (PTC), an applied theatre approach used by Search for Common Ground, demonstrates the use of PM&E methodology in an applied theatre setting arguably perfectly. PTC adheres to the participatory principles and characteristics of PM&E using tailor-made monitoring and evaluation techniques that satisfy their needs requirement, whilst ensuring that these are still reliable and valid. They also incorporate theory of change and most significant change technique in their methodology.

The logical framework approach (LFA) is a programme design and evaluation tool which relies on theory of change. The LFA uses a 4 x 4 matrix to demonstrate causal effect relationships between outcomes, attributes, objectives, purposes and goals. Indicators are used to measure the effectiveness of intervention activities. It is a very complex, rigid and time-consuming approach, but a good design tool and evaluation method. Unfortunately, its inflexibility, the fact that it does not adequately measure qualitative indicators, is not participative, and needs skilled and trained researchers will result in a narrow-base of utilisation. As an assessment tool, it can be invaluable to applied theatre practitioners, but due to the above reasons, it is doubtful if it will enjoy widespread use. DramAidE uses the LFA for design and evaluation, and although they describe it as useful, DramAidE states that it is lacking in various departments.

This chapter demonstrates that there are various approaches to assessment and evaluation that are successful at measuring, programme effectiveness, impact and change. However, the main obstacle to its use is lack of knowledge, not only regarding specific approaches, but also regarding what constitutes change, change theory, evaluation practices and principles and how an evaluation works. Before this lack of knowledge is address and bridged, practitioners can have the perfect assessment and/or evaluation tool but be powerless to use it.

**Section II: Empirical study: A survey of current practices and the needs of practitioners regarding the assessment and evaluation of applied theatre programmes**

**Chapter 6: A description of and initial reflection on the empirical study**

**6.1 Introduction**

The purpose of this section of the dissertation is to report on and discuss the findings of an empirical study conducted on the current practices and needs of applied theatre practitioners regarding the assessment and evaluation of programmes and/or projects. The inclusion of the empirical study to gather primary data was an integral part of the study design. The empirical study had two focus areas, firstly, a survey of the current evaluation and assessment practices of primarily (but not exclusively) South African stakeholders. Secondly, a needs assessment of applied theatre practitioners regarding evaluation and assessment methodology, including their perceived attitudes towards this matter.

My original idea was to send a questionnaire to various practitioners and stakeholders to gather empirical data on their current assessment methods, their perceived strengths and weaknesses, whether the stakeholders felt they would benefit from a universal assessment tool, and whether they felt they actually *needed* to measure/evaluate/assess their work. I decided to use purposive sampling as applied theatre practitioners, funders and collaborating communities are a very specific group within the creative arts or theatre section. I also made use of a snowball sample, a subset of the purposive sample, whereby participants suggest other participants who might be willing to partake in the study (Sommer 2006). In the end, two questionnaires had to be sent out because the first questionnaire, sent out by e-mail, failed to elicit sufficient responses to be viable. The original questionnaire was subsequently reformatted into an online survey.

Respondents in both cases were a mix of South African and international (i.e. non-South African) practitioners, as I felt that it would be valuable to see in what way local practitioners and international practitioners differ and/or concur on the matter of the assessment of applied theatre programmes. I identified the potential respondents through a mixture of those with whom I was acquainted with personally, a list of practitioners I met at the 2008 First Africa Research Conference in Applied Drama and Theatre, internet searches for applied theatre organisations (both locally and internationally), references to applied theatre companies and organisations in articles and suggestions from respondents. For the second survey I also targeted practitioners that were part of an applied theatre social media group, as well as applied theatre student-practitioners from the University of the Witwatersrand's Drama for Life course. I identified all regional, national, government and private

donors to applied theatre programmes and sent out the second survey to them but received very few replies. The communities I asked to complete the survey were communities and institutions that I worked at with intervention programmes however, this also yielded very few replies.

The empirical study is not without flaws. The lack of knowledge, so clearly demonstrated by the literature study, is unmistakably present in the way I presented questions as well as the questions I posed. If I were to send out a survey after gaining the knowledge I have now, it would have differed from the one sent regarding both the omission and addition of questions, as well as the rephrasing of questions.  I would also replace the term "applied drama" with "applied theatre" to include both process and production driven initiatives (see Chapter 1, section 1.5). Specific suggestions and reflections concerning this matter will be discussed through the course of this chapter.

## 6.2 The first attempt: Questionnaire (2010-2011)

After an initial literature study, I had several conversations with various local applied theatre practitioners, funders, programme facilitators and community members to determine and define the research questions, aims and research design of this study. In the end, I used the preliminary literature study, the initial responses from these conversations, together with feedback and observations from a number of sessions during the 2008 *African Research Conference on Applied Drama* to define this study's research questions[150]. Based on the information and knowledge I possessed, I drew up a questionnaire to send out electronically to international and national practitioners in 2010. The questionnaire was designed in such a way that practitioners had to complete it and e-mail it back. The questionnaire provided many opportunities for practitioners to expand on answers and/or provide additional information. This was not beneficial, and I think it weakened the overall impression of the questionnaire, making it seem as if I did not know what information I wanted. At the time, though, I thought it would allow me to gather extra information.

At that initial stage in my research, based on my original proposal and heavily influenced by conversations with other practitioners, I included a question on the need for a "universal measurement tool". If I had to design the questionnaire now, I would not have included that question, as subsequent research has convinced me that such a tool is impossible to design, given the complexity and multi-

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[150] In retrospect, and after gaining invaluable knowledge during the completion of the literary study, my research design and methodological approach might have differed as well. I discuss the potential changes and shifts in focus on what I would have done later in this section.

faceted nature of applied theatre as a genre. The literary study on evaluation practices further clearly states that no one-size-fits-all approach is possible, as the unique context of each programme demands a tailor-made evaluation and/or assessment approach. The respondents' positive answers to the question, however, did highlight a definite need for appropriate measurement tools. These responses will be discussed in more detail in the next chapter.

Based on the title of the 2008 conference and my own experience and knowledge at the time, I used the term applied *drama* instead of applied *theatre* in both the questionnaire and survey, even though to my mind, I used the term to include both programme-based and performance-based work. I might have elicited more information from a small number of respondents if I had used the term applied theatre instead.

After completing the literary study, I would also have included a question on whether practitioners feel that their programmes bring about change and how their assessment methodology measure that change. This links with the meta-question concerning the problems with assessment in applied theatre and would have added substance to research questions informing the survey. I would furthermore have included questions on practitioners' experience with evaluation processes, knowledge of evaluation design, implementation and practices, and knowledge of change theory. This would have provided much needed information regarding the knowledge applied theatre practitioners possess and would have given a clearer indication of possible processes and steps that can be followed or taken to address perceived challenges.

### 6.2.1 The Questionnaire

The questionnaire[151] consisted of five questions on an A4 page, which were sent to practitioners electronically. Either they had to print out the questionnaire (sent as an attachment), complete the questionnaire by hand, scan it and send it back to me via e-mail, or they could open the attachment, complete the questions, save the file and send it back to me. I will list the questions asked of practitioners and briefly discuss my reasons for including these in the questionnaire.

**Question One:**

1.  *Do you feel the need to measure the impact of your Applied Drama programme(s)?*

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[151] Please refer to Appendix N for an example of the first Questionnaire (2010-2011).

*(a) If you answered yes, would you please shortly state your reason?*

This question relates directly to the first research question posed in Chapter 1, namely *why the need for assessment and what constitutes change*. The first question refers to whether practitioners feel the need to measure the impact of applied theatre programmes. The discourse on this matter is discussed in Chapter 2 and I wanted to find out how local practitioners feel about the matter. I was interested to see whether the need to assess programmes and the reasons for assessment of evaluation correlated with those as highlighted in the literature study. The reasons offered would also have an impact on the design of an assessment and evaluation methodology as it would pinpoint the purpose of a specific assessment and evaluation design. As my original thinking was still geared towards the possible creation of a universal measurement tool, this question was intended as aiding with the characteristics of such a tool.

**Question Two:**

2.  *Do you currently use a measurement tool to measure the impact of your Applied Drama programme(s)?*
(a)  *If you answered yes, would you please identify the tool(s) you use?*
(b)  *What do you feel, if any, are the main weaknesses of your current measurement tool(s)?*
(c)  *What do you feel, if any, are the main strengths of your measurement tool(s)?*
(d)  *Have you used a different measurement tool in the past? If yes, please state shortly why you discontinued using it.*

With this question I aimed to collect a list of methods used to find out what about the methodology works and what not. At this stage of my research I felt that this information would aid understanding with regards to what is needed for a workable universal assessment tool. As Question 2 is concerned with the current assessment methodology used, if any, by practitioners, it links directly to the second research question regarding the perceived lack of success of current assessment methodology. The question not only refers to the strength and weaknesses of current methodology, but also refers to the other techniques used previously.

As Question two gathers data on the type of assessment method used, it would also be significant to see if the assessments methods mentioned correlates with those methods cited in the literature study.

**Question Three:**

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3. *Should a universal tool for the measurement of the impact of Applied Drama be developed, what are the two main characteristics you need it to have?*

As previously stated, if I had to design this questionnaire after the benefit of completing the literature study, I would have omitted this question. My reasoning behind including it was that at that stage I believed the possibility existed of creating a tool that could be used by all practitioners to measure impact and assess change.

Other stakeholders also uttered this desire for a universal measurement tool during the mentioned discussions and conversations in my preliminary study. To my thinking, the creation of such a tool would solve many of the perceived problems regarding the assessment and evaluation of applied theatre programmes. I envisioned a tool that would not only measure actual change and other qualitative objectives but would satisfy all stakeholders concerning what is assessed and how the assessment is done. Practitioners would be able to evaluate their programmes and provide reports that fulfil donors' requirements and assess outcomes and evaluate the programmes in terms of suggested improvements to the programme. Subsequent research has shown that such a perfect tool is impossible to design and that monitoring and evaluation practices and assessment methodology are as unique and varied as the applied theatre programmes they assess.

The question is not completely without merit and could be rephrased as: *What do you feel are the most important characteristics an impact measurement tool should have?* Most respondents of the questionnaire answered this question and – despite my current reservations regarding this question – I was able to collect valuable data on possible characteristics a measurement tool could have. Question 3 is concerned with the third research question posed, namely *what is needed from a measurement tool*.

**Question Four:**

4. *Would you (and your stakeholders) benefit from a universal measurement tool? If yes, shortly state how you would benefit.*

Question 4 relates to Question 3 (and as such to the third research question posed) and is another question I would have omitted if I designed the questionnaire after I had completed the literature study. I would have included the following question in its place: *Please describe the processes you use (if any) to involve your stakeholders in programme design, problem identification, monitoring and evaluation, and assessment of change.* Such a question could provide a better indication of the

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type of assessment tool needed by practitioners and could link to the bigger discussion on applied theatre, ethics, intervention and assessment.

**Question Five:**

> 5.   *Any additional comments.*

This question aimed to provide practitioners an opportunity to add information regarding measurement techniques that they were not able to give within the framework of the questionnaire, but that are applicable to the study. Although this is a typical question included in written questionnaires, it is seldom answered. Many people experience completing questionnaires as a nuisance and refrain from answering such a question, even if they did possess of applicable additional information. If this was a structure interview, I think such a question would have heralded better results.

### 6.2.2 Response rate to the questionnaire

The first questionnaire was sent out electronically to 60 national and international practitioners in 2010. Unfortunately, the initial e-mail generated only three replies, with two of these respondents reacting negatively to research into the measurement of drama and theatre. After three months of no further replies, I resent the same questionnaire electronically to 25 South African practitioners in the latter half of 2010. These 25 South African practitioners formed part of the original 60 practitioners identified, but these were practitioners that I either had a personal relationship with or had contacted telephonically, asking whether they would be prepared to partake in the survey. This time the questionnaire yielded only one response from a practitioner who commented that it took her an hour to complete the questionnaire, that she did not save the completed document and since it is now lost, she refused to redo it.

In 2011 I followed up by phoning practitioners I know personally, asking them whether they had received the questionnaire and whether they would be prepared to complete it. I received several positive verbal replies, but that did not result in any completed surveys. In desperation, I then conducted a couple of verbal questionnaires via telephone and personal interviews but continued to struggle to collect sufficient data.

By May 2011, I realised that I had to change my strategy radically, as my first attempt at gathering empirical data had failed miserably. The lack of response to a written questionnaire is typical of this data collection method. It is a cost-effective method but yields low response.

## 6.3 The second attempt: Online survey (2011 – 2014)

After the first failed attempt to gather empirical data, I decided to change my approach. I re-contacted the practitioners I knew personally and asked them why they had not completed the questionnaires. Their answers included a lack of time, a lack of anonymity[152] and the amount of trouble it took to answer a questionnaire and send it back electronically.

I undertook some basic online research into what would constitute a successful questionnaire survey and found that the most successful questionnaire surveys allow respondents to reply electronically, anonymously and present respondents with multiple-choice answers, instead of expecting written responses. However, these questionnaires also presented respondents with the option of not commenting on every question if they wished to. While such an electronic survey tends to yield more responses, the range of the data collected may be narrower, as respondents are only able to select one of a limited number of pre-decided answers, and they only comment if they choose to do so.

As the online research seemed to support the answers supplied by practitioners I questioned, I decided to redesign the questionnaire as an online survey, despite the mentioned limitations. The questions of the original questionnaire were reworked to suit the new format and in 2012 all the original potential national and international practitioners were contacted electronically and provided with a link to the online survey. I also contacted practitioner-students from Drama for Life and potential respondents suggested by participants electronically and provided them with the online survey link. I furthermore joined an active international online applied theatre group and asked members of the group to complete the survey.

### 6.3.1 Designing the online survey

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[152] Participants were not required to enter their names or the names of their organisations into the questionnaire, as the respondents were to remain anonymous. Practitioners nevertheless felt vulnerable because they had to send the questionnaire back via e-mail – which is not anonymous of course.

I decided to use the services of Survey Monkey[153] to carry out the online questionnaire. Survey Monkey is a free online website that allows users to design questionnaires or surveys online and then provide users with a link that can be sent to possible respondents. The website also compiles and stores results that can be analysed by the user in various ways.

Survey Monkey's online survey fulfilled the need for simplifying the process by allowing participants to enter answers in real time by clicking on a link and without having to save and send a file. It respects the anonymity of the respondent as no name or e-mail address is required to complete the survey[154]. The online survey is also quick to use for it utilises a multiple-choice format which allows users to choose answers by simply clicking on the appropriate one and thus eliminates the need for typing, unless the respondent chooses to leave a comment.

Survey Monkey's data analysis tools allow the user to view the responses to each question in graph format, as well as compiles a list of all the text answers with the corresponding dates. It further allows the user to see all the answers of just one respondent or to view answers as a cluster, question by question. It also gives you information on how many respondents skipped or answered certain questions. The online service thus allows for the collection, management, storage and analysis of data.

### 6.3.2 The online survey

The online survey consisted of five webpages and eight questions[155]. Respondents could choose not to answer all the questions, as there were no required fields to progress to a next page. A "next" and/or "previous" button was included at the bottom of each page to allow free navigation between the different pages. Possible respondents were sent a link electronically and when they clicked on the link, it took them to the first page of the survey.

All the questions of the first questionnaire were included in the online survey, but although the questions remained the same, respondents were offered a choice of predetermined answers based on my preliminary literature study. These set answers created fewer open-ended questions however, respondents were provided with a space to either elaborate or provide a different answer to the options

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[153] Survey Monkey can be found online at https://www.surveymonkey.com/

[154] Survey Monkey saves the IP address of the computer used to complete the survey and does not allow the same IP address to complete the same survey twice.

[155] Please refer to Appendix O for the print screens of the online survey.

given. The main difference between the questionnaire and survey were design, the content and intent remained the same.

**Page One:** Question 1

> 1.  *Do you feel the need to measure the impact of your Applied Drama programmes?*
>
>     *Please give a short reason for your answer.*

Respondents were presented with a "yes" and a "no" box to tick for the main question and a text box to answer the follow-up question.

**Page Two:** Questions 2, 3 and 4

> 2.  *Do you currently use a tool to measure the impact of your Applied Drama programmes?*
>
>     *If you answered yes, could you briefly describe the tool you are using?*

Question 2 offered respondents a choice between a "yes" and a "no" tick box, as well as a text box for the follow-up question. Question 3 provided seven possible answers to choose from, the last option, namely "other", presented respondents with a text box to specify a possible weakness not mentioned. There was no limit on the amount of choices a respondent could make.

> 3.  *What do you feel are the main weaknesses of your measurement tool?*
>     - *No weaknesses*
>     - *Doesn't measure the programme outcomes*
>     - *Doesn't measure change*
>     - *It's difficult to use*
>     - *It takes too long*
>     - *It is not accurate*
>     - *Other (please specify)*

Question 4 had the same format as Question 3. To my embarrassment, I misspelled "*custom*" as "*costum*" in the first option; a mistake pointed out to me by a respondent in 2014.

> 4.  *What do you feel are the main strengths of your measurement tool?*
>     - *It is custom made to measure the impact of your programme*

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*- It is an accurate measurement of the outcomes of your programme*

*- It is quick and easy to use*

*- It is reliable*

*- Other (please specify)*

**Page Three:** Questions 5, 6 and 7

> 5.  *Do you think a universal measurement tool is needed for Applied Drama programmes?*

Respondents were presented with a "yes" or "no" option to answer Question 5 and a text box to answer Question 6, while Question 7 offered both a choice between two options and a text box for a follow-up question depending on the initial choice.

> 6.  *If you answered yes, can you please list two characteristics that you think such a tool should have?*

> 7.  *Would you and your stakeholders benefit from such a tool?*
> *- No, we wouldn't*
> *- Yes, we would.*
> *If yes, shortly describe how you would benefit.*

In Question 6 I asked for respondents for two characteristics, as I wanted to narrow the responses down to the ones that are the most important to practitioners. I felt that by asking for two characteristics, practitioners would list those that are, for their programmes, the most essential.

I only asked practitioners to elaborate on the benefits of a universal tool in Question 7, missing the opportunity to gather valuable information on why respondents feel that such a tool would not be necessary or why stakeholders would not benefit from such a tool. My original thinking was that as practitioners opposed to assessment and evaluation would already have provided their reason in the comment section in Question 1, it would be a duplicity of data. This erroneous assumption caused me to potentially lose valuable insight, but fortunately most practitioners opposed to such a tool commented as such in the space provided, stating their reasons and opposition.

**Page Four:** Question 8

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8. *Please enter the name of the Organisation you work for or represent if you feel comfortable doing so. (Not answering this question will not influence the outcome of the survey in any way)*

Page four presented respondents with the opportunity to enter their organisations' names via a text box, if they chose to do so. I decided to include this option in the survey, as it had the potential to yield data in terms of different genres of applied theatre and possible comparisons between different attitudes and/or approaches and practices within different applied theatre sub-fields.

**Page Five:**

*Thank you very much for taking the time to complete this survey!*

Page five was simply a text page to indicate the end of the questionnaire. At the bottom of the page respondents were offered "previous" or "done" navigation buttons. If a respondent clicked on "done", she/he would be taken off the page and the survey was complete.

### 6.3.3 Response rate to the online survey

I sent the link and explanatory e-mail to approximately 60 local and international practitioners, 35 practitioner-students from Drama for Life, as well as put the link and explanation of the study on a LinkedIn group concerned with Applied Drama called: *Aiding Dramatic Change in Development*. I also placed telephone calls to local practitioners alerting them to the e-mail. Between 2011 and 2014 the online survey had 40 respondents, a much better sample with which to work. I sent out the online survey again in 2016 to practitioners I came in contact with during the course of my research between 2014 and 2016, and had a further seven responses, as well three more interviews with practitioners. The total number of respondents came to 50, including the interviews.

### 6.3.4 Conclusion

The lack of knowledge demonstrated by applied theatre practitioners uncovered during the literature study, was also thoroughly demonstrated by me with regards to the design of the questionnaire. With the knowledge gained, a current design would differ from the one I used. The focus of the questions posed would shift from the creation of a possible universal measurement tool to the change, evaluation and assessment methodology, design and processes. I would also have sent out an electronic survey from the start to gather as much primary data as possible. The interviews I have conducted yielded

extra valuable information and I may have gathered more data if I interviewed all 50 respondents, as this would have provided the opportunity for more open-ended questions from me, discussion and proposals from the respondents.

The initial questionnaire was not successful as it yielded only four replies, but a reformatted online survey collected satisfactory responses from 50 respondents.

**Chapter 7: Results of the empirical study**

The first African Research Conference in Applied Drama (2008)[156], organised by Warren Nebe at the University of the Witwatersrand focused, among various other themes, on the "growing emphasis of effective monitoring [and] evaluation of projects". The third of the three main aims[157] of the conference was "What monitoring and evaluation methods/techniques are best suited to assessing the value and impact of applied drama and theatre projects in African contexts?" (Drama for Life: 2012). Papers presented at this conference and discussions on assessment, monitoring and evaluation highlighted the four issues. First, there is a need for assessment tools that assess change and can add value to programmes through evaluation. Second, that some standardisation is needed in the field, either through universal assessment methodology or a governing body. Third, most applied theatre practitioners are not in the habit of sharing good practice or recording their work. Fourth, that a large number of practitioners only assess, monitor and evaluate projects in order to appease funders. These issues do not correlate with the main issues highlighted by international practitioners, namely programme improvement, change and impact assessment, and measuring programme effectiveness. I was therefore interested to see where the results of the survey would fit in.

The survey consists of two main parts, namely the need for assessment and the current evaluation and assessment methods used by practitioners. The need for assessment was addressed as follows:

> Question 1: *Do you feel the need to measure the impact of your applied drama programmes?*
>
>  Question 5: *Do you think a universal measurement tool is needed for applied drama programmes?*
>
> Question 7: *Would you and your stakeholders benefit from such a tool?*

The following questions dealt with the evaluation and assessment methods used:

> Question 2: *Do you currently use a tool to measure the impact of your applied drama programmes? If you answered yes, could you briefly describe the tool you are using*?
>
> Question 4: *What do you feel are the main strengths of your measurement tool?*
>
> Question 6: *List two characteristics that you think such a tool should have*?

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[156] For a further discussion on the first African Research Conference in Applied Drama, please refer to the section on Aesthetics in Chapter 2, as well as Appendix B.

[157] The two remaining aims were: "What constitutes "best-practice" research approach in applied drama and theatre work" and "What ethical positions, values, and principles could be most appropriate in guiding practitioners, participants, researchers and other stakeholders in applied drama and theatre practice?" (Barnes 2013: xiv)

Question 3: *What do you feel are the main weaknesses of your assessment tool*?

I will discuss the outcomes of the survey within these two main categories.

## 7.1 Results from the online survey on the need for assessment

### 7.1.1 Question 1: Do you feel the need to measure the impact of your Applied Drama Programmes?

The first question on both questionnaires deals with the first research question, namely *why do practitioners feel they need to assess their programmes*?
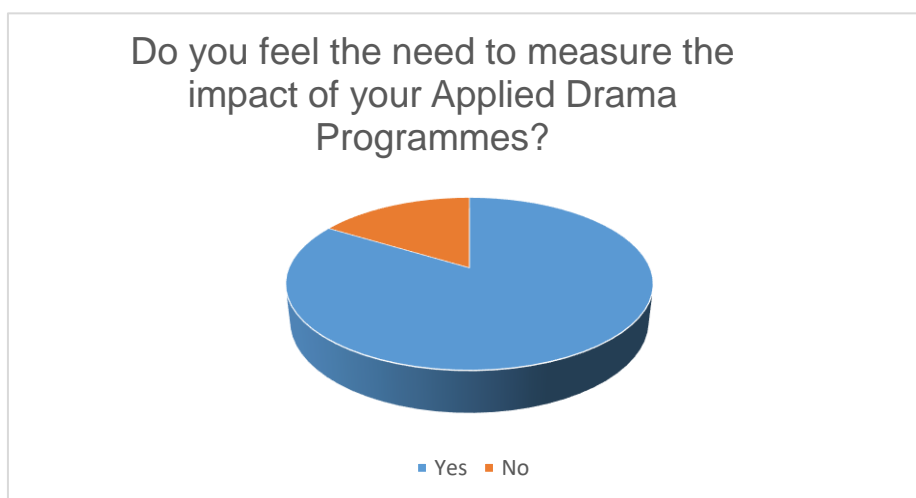


*Graphic 8: Question 1 responses*

In the survey I undertook, all but eight (of the eventual 50) respondents indicated that they feel it is necessary to assess or measure the impact of their programmes (*Refer to Graphic 1*). From the negative responses I received in the comments section[158], one respondent remarked that terms such as "*measure*" and "*measuremen*t" are inappropriate when referring to applied theatre programmes, whilst another felt that evaluation and assessment are not really useful, and that applied theatre is under constant pressure to *"produce proof"* of impact, when programme evaluations should be enough. Six respondents were of the opinion that they know that their programmes work and subsequently do not feel the need to measure the impact thereof: "*because I get to see and sense the impact of it every day, every project, every production*" and "*no one in my institution could deny its impact*". Three believed the effects of applied theatre could not be assessed: "*the impact is obvious, yet immeasurable"* and *"making the exercise [in assessment] scientifically meaningless*". Another practitioner admitted to only doing evaluation or assessment when required to do so by funders, as it

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[158] Eight respondents answered "no" in response to the first survey question, but I received (what could be perceived as) "negative" comments regarding the need for assessment from 10 respondents.

becomes "*constraining*". While a comment from a funding agency representative concluded that they do not feel the need to assess programmes as their programmes "*cover disadvantaged places like rural areas and townships*".

An international practitioner indicated that applied theatre is an art form and as such, its impact could/should not be assessed. This opinion relates to the dispute that rages in applied theatre about the relationship between aesthetics and functionality, which is discussed in Chapter 2. It was also reflected in responses to a panel discussion during the First African Research Conference in Applied Drama on ethical positions, values and principles where delegates were adamant that the "dynamics between ethics and aesthetics should be respected" (Janse van Vuuren: 2009).
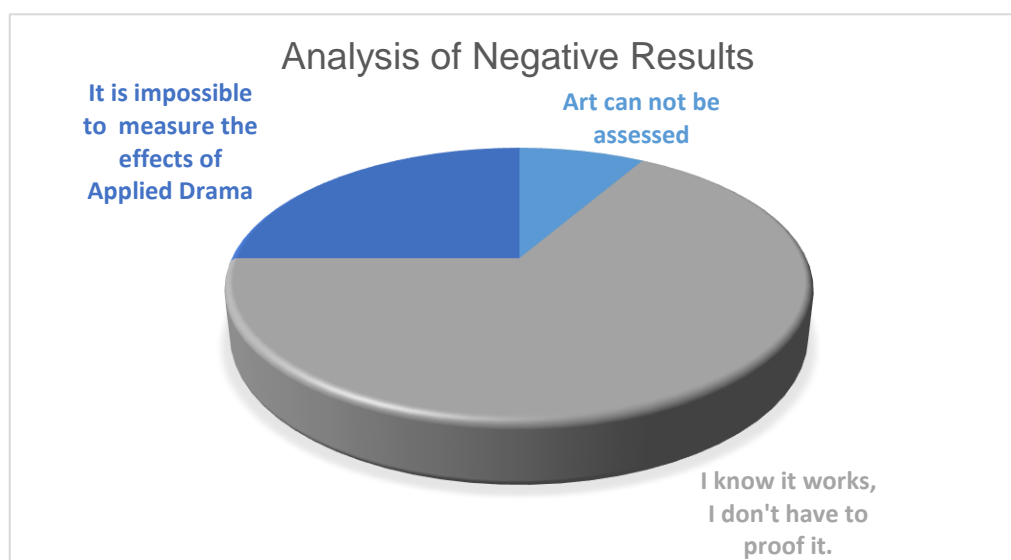


*Graphic 2: Analysis of Negative Results received for Question 1*

The opinions expressed by respondents opposing the assessment of programmes are surprising given the intervening nature of applied theatre – as Bergel (2003: 1) argues that the "purpose [of applied theatre] should always be to deliberately change or develop a social context" – but not unexpected if one sees it in the light of the debate on the need to assess applied theatre programmes as discussed earlier in this study. It furthermore echoes sentiments that arose at the above-mentioned conference on research in applied drama, where some of the delegates met with suggestions for an applied drama/theatre governing body to standardise the field with vehement opposition.

What I found interesting about the respondents' positive answers were that they brought the arguments put forth and discussed in Chapters 2 and 5 into a practical sphere. Practitioners are looking for a workable assessment methodology, not as a theoretical exercise, but from a real desire to bring

about change in the communities that they work with. The pressures experienced to balance the needs of donors versus the needs of the target communities have a real influence on their own lives, as well as the lives of the people they work with.

The reasons listed by the respondents for requiring some form of assessment fall into the following five broad categories:

1. To be involved in programme evaluation.
2. To prove or qualify work.
3. To aid with programme design, outcomes and improvement.
4. To measure the impact / assess change brought about by the programme and to measure programme success.
5. To prove the validity of the programme to funders.
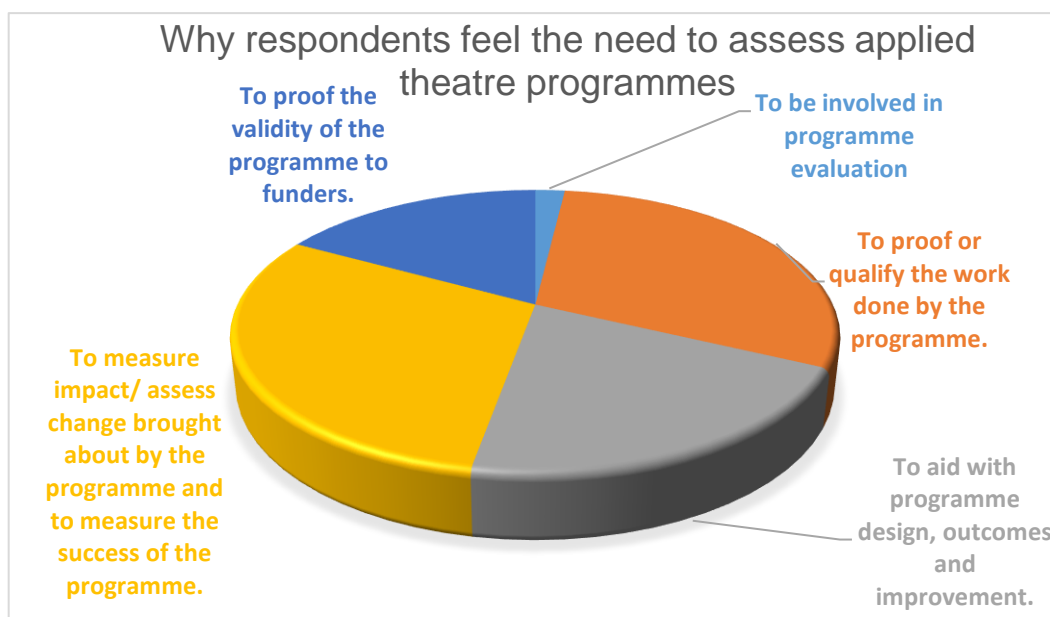


*Graphic 3: Broad analysis of why respondents feel a need to assess applied theatre programmes*

All five categories interlink to a degree and could form the basis of an effective assessment method that is beneficial to all stakeholders. The proof and qualification of the work done by a programme links to proving the validity of the programme to funders, as well as to measure the impact / assess the change brought about by the programme. All these factors, in turn, will aid with programme design, outcomes and improvement. I would like to highlight some of the responses received.

One of the South African respondents identified the problem of assessing programmes as follows: "*it is incredibly difficult to measure the sustained affect Applied programmes and processes have on communities and individuals. This has a knock-on effect with regards to funding, implementation, education and potential projects*". S/he concludes by urging, "*Adequate African research has to be done in the field*". As very little research is conducted on the effects of long-term emersion in an applied theatre project, and as participants receive constant external impetus, this could imply that any sustained behaviour change is driven by the programme and not through internal forces. This in turn raises questions about the ethics and benefits of the operation of long-term programmes. The old adage of *teaching a man to fish* comes to mind!

The perceived problem with proving the validity of a programme to funders is described as follows by an international respondent: *"foundations are always asking for the validity of our programs. While we can qualify our work in experiential stories of the lives we've touched, it is hard to show statistics of the impact of our work in a way that speaks to funders*". This statement echoes Etherton and Prentki's (2006: 140) statement that "more sophisticated tools of measurement [are needed] at different stages in a prolonged intervention into human development".  As discovered in the literature study of this dissertation, evaluation methodology that uses both qualitative and quantitative measure to assess programme effectiveness exists or can be designed using various techniques. However, it is necessary to know about it to be able to use it.

What is not clear from the representation of the five broad categories in Graphic 3 is that many practitioners are concerned with the impact on, and service to, the communities in which they work. As one respondent commented: "*The purpose of our programmes is in their impact thus it is essential to continuously measure and evaluate that impact in order to understand what the programmes are achieving and how to refine and improve them, and to be responsible to the donors and the beneficiaries*" [sic].

A South African respondent categorises the complexity of assessment in applied theatre as follows: "*because, by definition, an Applied Drama initiative almost always has a number of aims – social, psychological, therapeutic, education etc. Given that the intervention is shaped to achieve these aims, it is essential in my view to discover to what extent they were realised"*.  Another respondent commented, "*it is impossible to isolate the separate factors that make up an intervention and correlate a particular activity or element with a particular impact"*. These statements correlate with the challenges of attribution and complexity of outcomes in a single programme that are recurring themes in challenges to evaluation practices as seen in the literature study.

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In conclusion, the data gathered in Question 1 implies that most practitioners feel the need to assess the impact of their applied theatre programmes. The reasons for programme assessment vary but can be summarised as: the need to measure the impact or assess the change brought on by the programme, to prove the validity of the programmes' success to funders and the communities and to prove the validity of the outcomes of the programme.

### 7.1.2 Question 5: Do you think a universal measurement tool is needed for Applied Drama programmes?
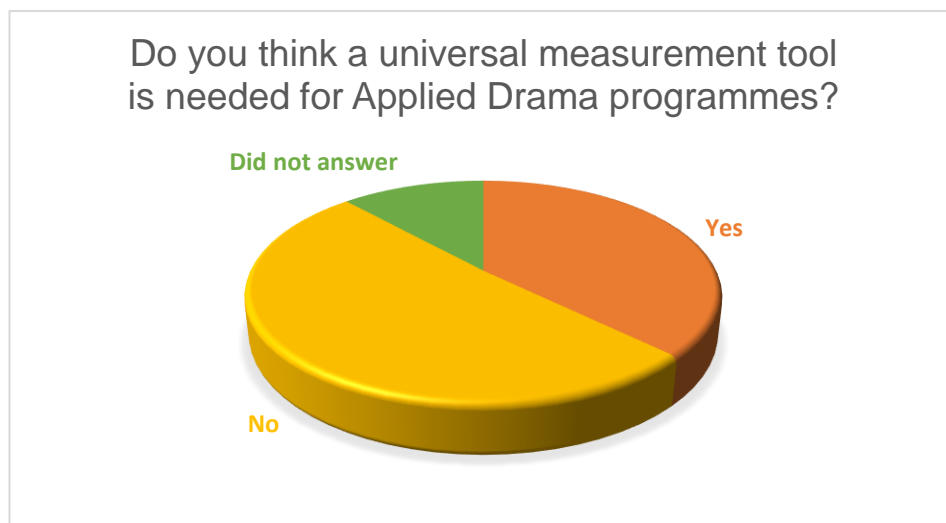


*Graphic 4: Answers to Question 5 relating to the need for a universal measurement tool.*

Respondents were divided over whether a universal measurement tool is needed for applied theatre programmes; 37% of the respondents believed such a tool is necessary and 51% were against the formation of such a tool, whilst the remaining 12% of the respondents chose not to answer the question.

Reasons put forth by respondents against the formation of a universal tool circled around the same issue. Although these responses originated from Question 6, which directly relates to Question 5 – *If you answered yes, can you please list two characteristics that you think such a tool should have?* – I briefly mention them here as the discussion of Question 6 in section 7.2.3 below focuses on what is needed from a measurement tool. One respondent stated that such a tool would be impossible to develop, as assessment should be as diverse as the programmes it measures. Another respondent commented that s/he "*do not believe such a tool can or should be developed*". S/he remarked that their current assessment method's greatest strength is that it is specially adapted to their context and that it "*would not necessarily work for different Applied Drama projects*". Similarly, other

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respondents remarked that a "*programme specific*" assessment tool is needed, that a universal tool would be "*inappropriate*" as it would fail to take into account cultural contexts and would "*globalise*" applied theatre and *"Applied Theatre practitioners should be taught/enabled to adapt and develop their own impact measuring systems that are specific to their programmes and desired impact*" instead of developing a universal measurement tool. These statements correlate with those of evaluation theorists and practitioners urging the development and utilisation of evaluation methodology specifically suited to meet the needs of a particular programme, warning that no one-size-fits-all evaluation methodology exists. One respondent remarked that they would consider adding a universal tool to their current assessment methods and techniques to enhance evaluation, but that they will not use such a tool exclusively.

Of the 37% of respondents that felt their programmes would benefit from a universal assessment tool, some respondents also felt that the applied theatre field can do with more standardisation, a sentiment echoed by delegates at the 2008 African Research Conference in Applied Theatre. Janse van Vuuren (2009) remarked on the "apparent yearning for structure, guidance and some form of regulation or standardization" that resulted in the establishment of the short-lived Applied Theatre Network Africa (ATNA). Notably, respondents who answered *yes* seemingly did so out of desperation for an appropriate assessment methodology. Some respondents articulated what the requirements for an appropriate technique might be, and others reconfirmed the need for an easy, assessable and workable solution to assessment as they admit that they do not have the knowledge to create an appropriate assessment method. These responses will be discussed in Section 7.2.3 when Question 6 – *If you answered yes, can you please list two characteristics that you think such a tool should have?* – is addressed in more detail.

### 7.1.3 Question 7: Would you and your stakeholders benefit from such a tool?

- *No, we wouldn't*

- *Yes, we would.*

- *If yes, shortly describe how you would benefit.*

Only 74% of respondents answered this question, the remaining 26% skipped the question completely. Half of the respondents chose to comment on the second half of the question, which required them to describe the perceived benefits. Most of the answers, at 52%, confirmed that they and their stakeholders would benefit from such a tool (refer to Graphic 5).

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*Graphic 5: Answer to Question 7 regarding the benefits of a universal assessment tools to stakeholders*

A representation of respondents' answers to the perceived benefits of a universal tool can be found in Graphic 6. Notably, 19% of the responses simply reconfirmed the need for an effective measurement technique. The most common perceived benefits were, however, identified as a proof of programme effectiveness (19%), the simplification and validation of reporting to donors/funders (19%), programme improvement (16%) and it will aid in standardising the field of applied theatre (16%).
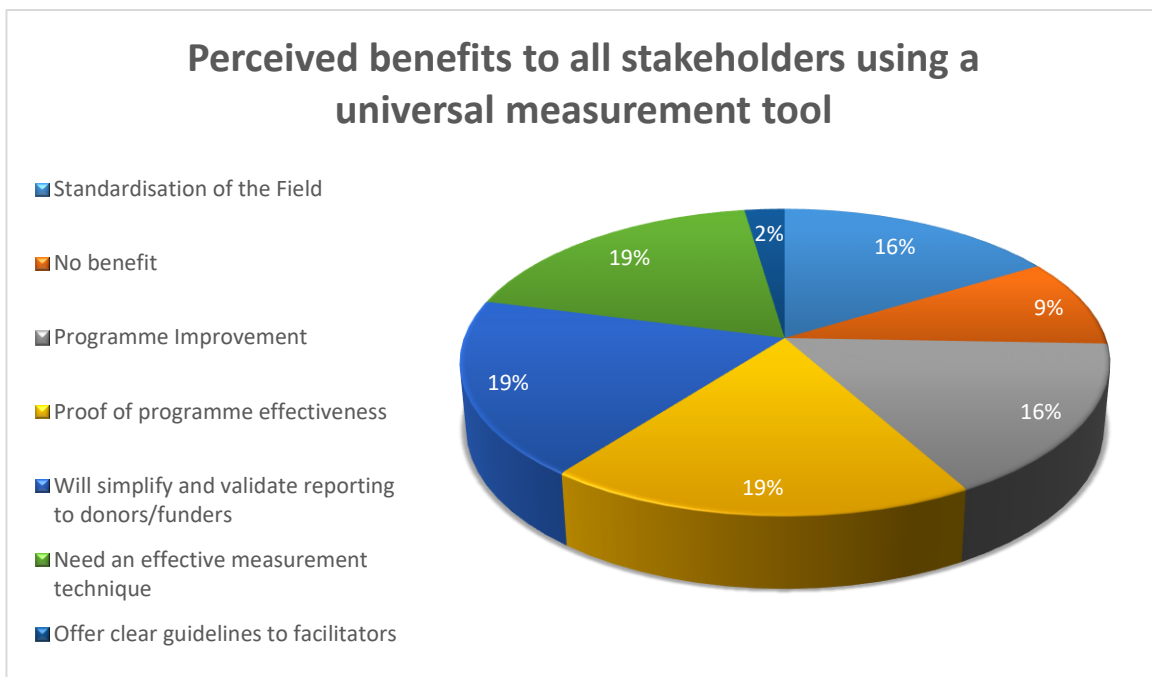


*Graphic 6: Perceived benefits to stakeholders*

An answer I found particularly thought provoking, came from an international practitioner stating why s/he would not use a universal measurement tool. "*It's an old cliché but 'you start out measuring what you value and end up valuing what you can measure'. I want 'stakeholders' to benefit from there being no pre-conditioned values by which they are expected to be measured.*" It should be noted that this respondent also stated that s/he did not feel the need to assess the impact of applied theatre. These sentiments could refer to a possible perception of assessment as only a top-down approach, without participatory methodology, and that evaluation is something done to the community and not with them. A participatory bottom-up approach without pre-conditioned values, however, are in line with the principles of the Participatory Action Approach (PA), Participatory Impact Assessment (PIA) and Participatory Monitoring and Evaluation (PM&E) as discussed in the literature study.

Responses relating to programme improvement stated that a universal tool would *"require all facilitators/organize to self-reflect on best practices"* (sic) and that it would highlight weaknesses and strengths in programmes. Respondents also made comments about the applicability of a universal assessment tool when reporting to funders. For example, "*It would be easier to report to funders and to show the benefits of a programme if everybody uses the same tool and set of standards*", and "*add value, add credibility when applying for grant/sponsorship*". Similarly, other respondents hoped that it would convince funders of the importance of qualitative change in opposition to quantitative change, prove to all stakeholders the "*real impact*" the programme has on the community, and help sell the merits of the programme.

The responses show a desire for a simplistic, easy to use, evaluation and assessment methodology, which, through standardisation, adds credibility to what programmes achieve, but – as seen in the literature study – no quick fix evaluation method exists.

In conclusion, the data gathered in this question shows that although most respondents do not think a universal measurement tool is needed, they conclude that all stakeholders would benefit from such a tool. Improvement to the programme, validity of a programme's effectiveness and simplicity of reporting to donors with proven results were perceived as the most important benefits such a tool could have.

**7.2 Results from the online survey regarding current assessment methods**

**7.2.1 Question 2: Do you currently use a tool to measure the impact of your Applied Drama programmes? If you answered yes, could you briefly describe the tool you are using?**

The response showed that 57% of the respondents answered in the affirmative to this question and 33% indicated that they were not currently using a tool to measure the impact of their programmes. Of the total sample, 10% of respondents did not answer the question (refer to Graphic 7).



*Graphic 9: Question 2 responses*

What I found disconcerting was the marked distinction between practitioners assessing applied theatre programmes and those not measuring impact or change. Although I was aware of the resistance against assessing and evaluating the impact of applied theatre programmes (which also became apparent in the literature study), I always assumed it was a small percentage of practitioners. The realisation that more than a third of the respondents to my survey do not assess the impact of their programmes was surprising.

Another interesting fact that emerged from the survey was the relationship between the desire to measure programme impact and the reality of assessing impact. Of the total sample of respondents, 27% indicated that they feel the need to measure the impact of their programmes, but that they were not currently doing any impact assessment. It could have been valuable to know whether this can be attributed to a lack of assessment methodology or to another reason. On the other side of the spectrum, 2.5% of respondents indicated that they did not feel the need to measure the impact of their programmes but are currently using tools to assess their projects.

The second half of the question asked respondents who responded *yes* to shortly describe the tool used to measure impact. Of the 32 responses, only four indicated a specific methodology or approach

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used, e.g. Action Research. The rest of the respondents listed an eclectic number of methods used to attempt the evaluation and assessment of programmes (refer to Graphic 8).
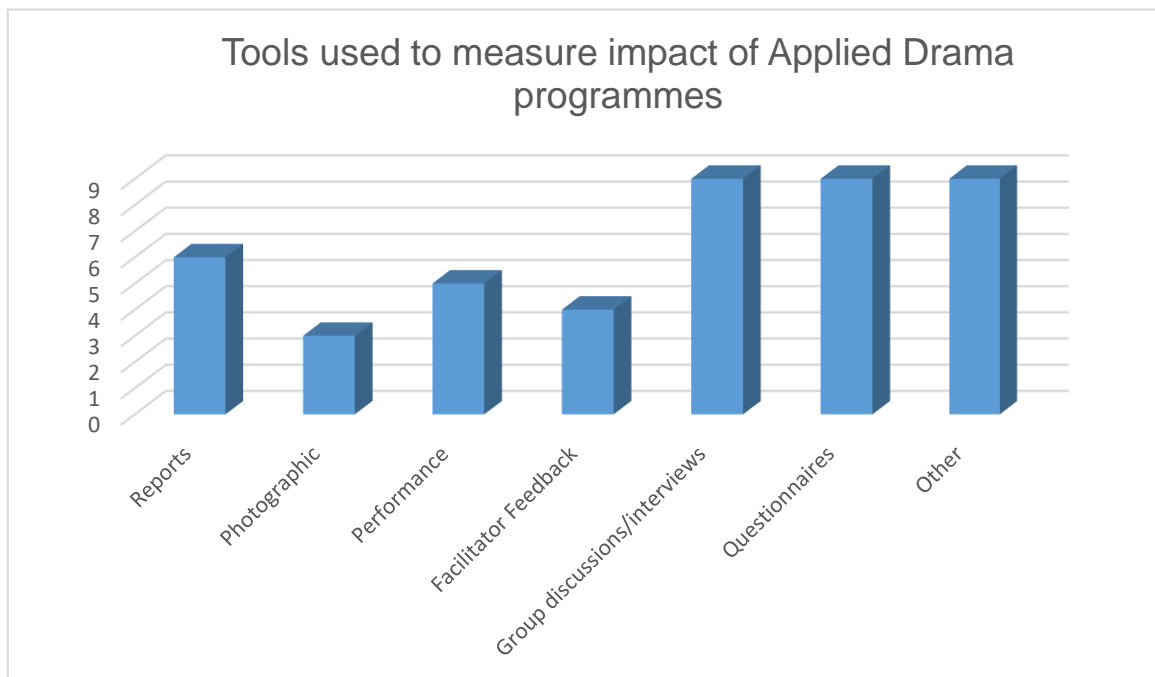


*Graphic 10: Tools used to measure the impact of Applied Drama programmes according to respondent answers*

Various respondents remarked that they used different tools for different projects and groups, which once again correlate with statements made by theorists and practitioners (as discussed in the literature study) that assessment methods should be context-based and community specific. Several practitioners also listed performance (or outcome) based tools used, i.e. the performance at the end of a programme, a workshopped text, or journals, to measure or access change. Some practitioners state the use of qualitative and quantitative measures and the recording of programmes and projects via photographs, sound recording or videos.

In conclusion, the data collected from this question shows that more than half of the respondents feel the need to measure the impact of their programmes. A few respondents feel that it is necessary to measure programme impact but are not currently doing so. Most respondents are using a mixture of assessment and evaluation techniques and tools – and as seen in the literature study, a mixed method approach to evaluation and assessment might be best suited to a programme – and only four respondents are using a specific approach or methodology.

### 7.2.2 Question 4: What do you feel are the main strengths of your measurement tool?

*- It is custom made to measure the impact of your programme*

*- It is an accurate measurement of the outcomes of your programme*

*- It is quick and easy to use*

*- It is reliable*

*- Other (please specify)*

Respondents were asked to identify the main strength(s) of their measurement tools by choosing a predetermined answer or by giving an own answer. A total of 31% of those who answered found the fact that their assessment method was custom made to suit their programme was the biggest strength. The speed and simplicity of use was the second main strength identified (21%), with the lowest number of respondents, only 7%, felt that their current assessment method was reliable (refer to Graphic 9).
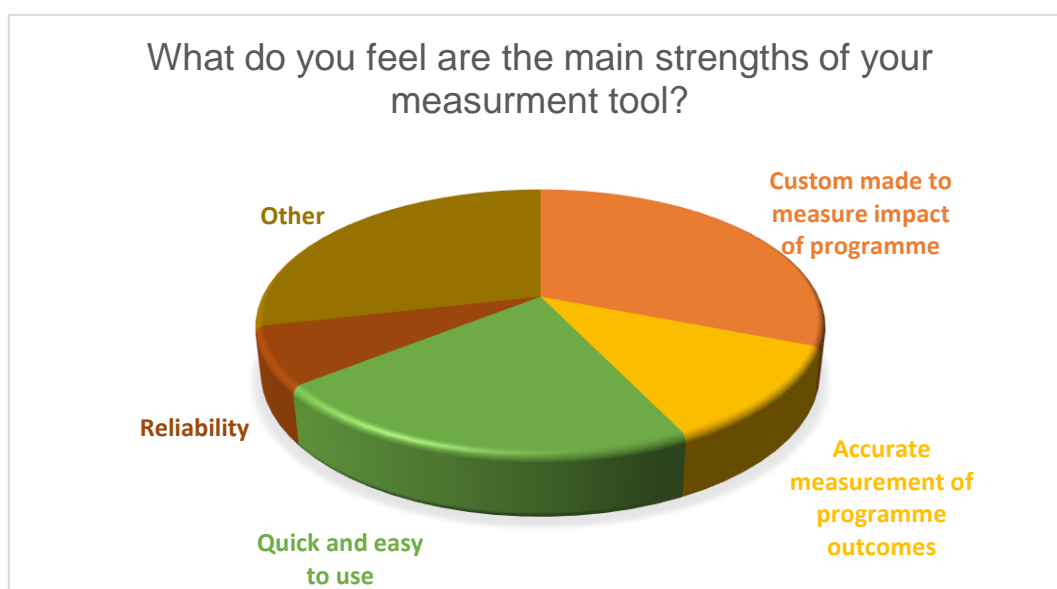


*Graphic 11: Question 4 responses*

In the "other" category (which correlates to 29% of the sample), a respondent remarked, *"most important and missing in all of these options is that is serves the function of the programme and allows participants to gain greater understanding of themselves and the work they have done"*. This remark made me realise that I should have entered a sixth option to the options for Question 4; one specifically relating to participatory monitoring and evaluation. In designing the survey, I made

exactly the same mistake that I have accused the working group[159] on the M&E charter of making. I also did not distinguish or give options regarding M&E strategies and impact assessment or viewed them as separate entities. In fact, I am ashamed to point out that the community does not feature greatly in this survey. Although I asked community members partaking in applied theatre projects to complete this survey, I did not include this important stakeholder in any of the possible answers. My mistake arguably further highlights, though, the perceived limited participation community members generally have in evaluation and assessment practices.

One respondent had the following comment concerning an assessment method that was specifically designed to suit their needs: *"constantly able to adapt and evolve and develop with the ongoing development and understanding of the methodology and the impact. Generates specific data that is relevant to our programmes"*. This statement relates to my own experience, as well as to statements made in the literature study regarding the flexibility needed in assessment methodology. It also touches on assessment methodology developed to be context specific and constantly evolving to serve the needs of the programme better.

One respondent praised interviews as a method of assessment and said that this method gives the assessor the opportunity "*to read non-verbal ques for responses. It also helps you to probe more*". Related comments described interviews as "*quite informal, personal, interactive",* and stated that interviews add "*subtlety and depth*" to questionnaires.

Apart from being tailor-made for the specific programme, one respondent identified the main strengths of their assessment methodology as "*It shows anecdotal evidence of the impact of the program and what the students learn from it"*. This remark piqued my interest and I looked at the response of this respondent to the type of methodology used. Although the respondent (who teaches applied theatre at high school level in the USA) states that s/he does not subscribe to a specific methodology, but uses techniques such as "*reflections, talk-backs and …written critiques*" to evaluate their programme, this approach arguably relates to most significant change theory. A lack of knowledge of available methods and approaches may therefore lead practitioners to seemingly "invent" a method or techniques, while, more often than not, it resembles a method and/or technique already in existence.

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[159] The working group referred to, is referred to in Chapter 2 and was concerned with drawing up a M&E charter during the first African Research Conference in Applied Drama in 2008. See also Appendix B.

In conclusion, the data collected from Question 4 demonstrates that the main strength of assessment methodology defined by respondents was that it was custom made to measure the impact of their programmes. The second most important feature was simplicity and speed of use, which was followed by the fact that it provides and accurate measurement of the outcomes of the programme. The reliability of the assessment techniques used by respondents were rated in last place.

### 7.2.3 Question 6: List two characteristics that you think such a tool should have.

The question regarding the need for a universal measurement tool and the benefits thereof for stakeholders was discussed in Section 7.1.2. I will discuss the perceived characteristics of such a tool in this section, as I feel the question relates to the question regarding assessment methodology. Most respondents chose not to answer this question and only 38% of respondents that did answer this question listed or described characteristics a universal tool should have (refer to Graphic 10).
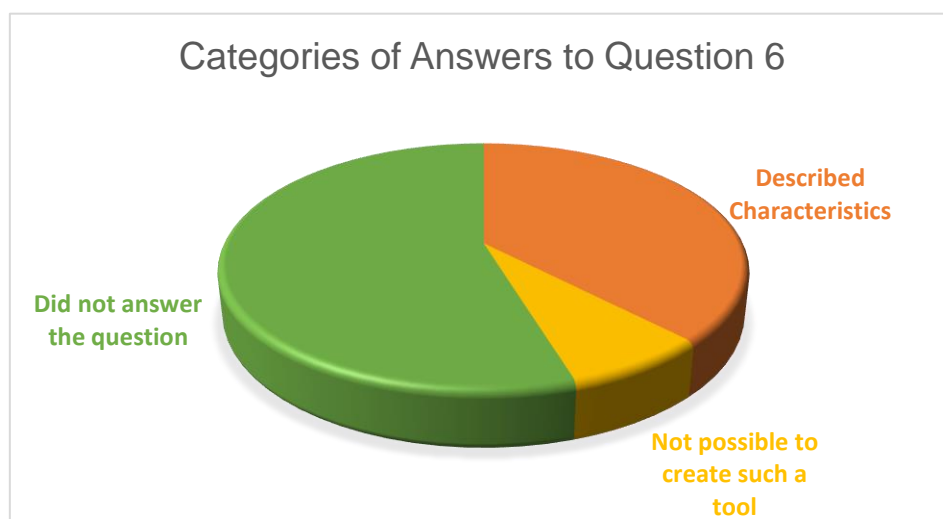


*Graphic 12: Categories of answers to Question 6*

Of the received responses, 8% felt that it was impossible to create such a tool, because they believed that applied theatre assessment methodology should "*by their very nature be diverse*" and that custom-made methodologies would not suit other applied theatre projects. One respondent argued that the genre of applied theatre as well as a specific practitioner's definition of applied theatre would determine the characteristics needed from an assessment tool. These points are valid and as mentioned previously, the research I conducted on assessment and evaluation methodology has convinced me of the impossibility of the creation of a universal tool.

The respondents that answered the question concerning possible characteristics did however have some interesting insights in how such a tool might work (refer to Graphic 11).

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**Suggested characteristics of an universal measurement tool for Applied Drama programmes.**

Legend:
- Ability to customise the tool for each programme
- Measure immediate impact
- Measure sustainable impact
- User friendly/Easy to use
- Accurate
- Other
- Should consist of a list of techniques for practitioners to choose from

Pie chart values: 26%, 11%, 11%, 11%, 8%, 26%, 7%
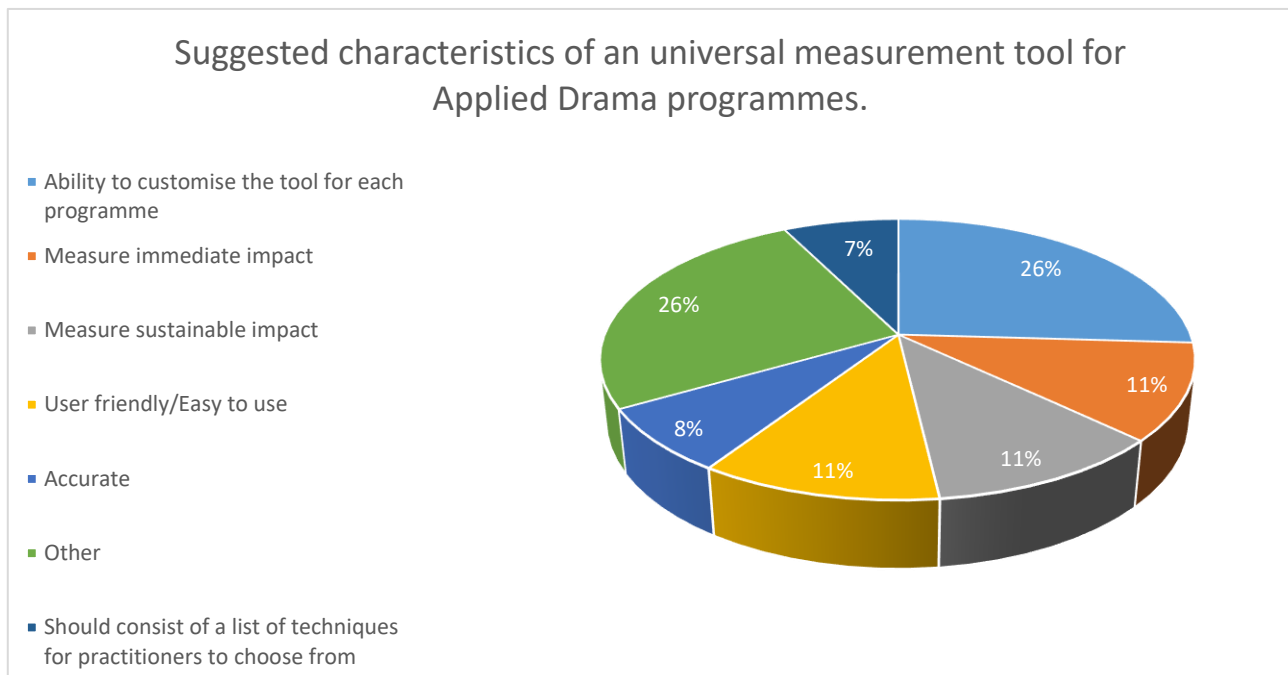
*Graphic 13: Suggested characteristics of a universal measurement tool*

The main characteristic of a perceived universal measurement tool was that it should be possible to customize the tool for each programme that needed to utilise it, as one respondent remarked, *"it should be relevant for all types of programmes or groups of participants"*. This characteristic was followed by the need for immediate impact assessment and sustainable impact assessment. Respondents also deemed it should be accurate, user-friendly / easy to use, or consist of a list of techniques that practitioners can choose from.

Other characteristics that practitioners perceived as important for such a tool echo practitioners' struggle to provide evidence of impact in measurable terms when the perceived change that occurred is hard to measure. One respondent remarked that a universal tool should be "*qualitative rather than quantitative*" and another was of the opinion "*that such a tool must be both anecdotal AND empirical*".

Some respondents decreed that a universal tool should be participatory, others identified the need for accuracy and the need for both immediate and long-term impact assessment. With regards to the tool being easy-to-use, a respondent remarked that the tool should be created in such a way that those without knowledge about assessment or evaluation should still be able to use it to their full advantage.

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The measurement of programme success and outcomes was also a characteristic that practitioners wanted to see in such a tool.

Two respondents suggested that such a tool should have "*a wide variety of criteria for measuring and input from a variety of stakeholders*" and that practitioners should "*have the ability to select the components that are relevant to a particular program*" to create a customised tool for a specific programme. These suggestions were echoed by respondents who suggested that instead of creating a universal measurement tool, one should aim to draw up a list of approaches, methods, tools and techniques that each practitioner can choose from to create a methodology to suit their needs. After reading these suggestions, I thought that this could be a well-thought out solution to the problem of assessment and evaluation methodology in applied theatre. Initially I thought that such a "list" should be complete, instructive, contain a lot of examples of best practice, accessible to all practitioners, easy to use and open to change, a lot to ask!

In conclusion, it seems that responses from the survey, as well as opinions from international and local theorists as discussed in the literature study, indicate that the most important characteristics that an assessment method for applied theatre should have are:

1. It should be programme specific and flexible.
2. It should accurately measure behaviour change and sustained change as well as being able to measure immediate impact.
3. It should be quantitative as well as qualitative.
4. It should be participatory.
5. It should accurately measure programme outcomes and aims.
6. It should be easy to use and implement.

I perceive number 6 as a subjective characteristic. Once trained or skilled in a specific approach or method, the approach would become easy to use. Not having enough knowledge or comprehension of a methodology will make it difficult to use and implement. Respondents also raised an interesting solution in suggesting that a list should be drawn-up containing methods, approaches and techniques that practitioners can choose from to create a suitable approach or methodology for their specific programmes.

The results of the online survey indicated that only a minority of practitioners are prescribing to a specific assessment methodology or approach, with most practitioners using an eclectic mix of

measurement tools and techniques to evaluate and assess the success and impact of their programmes. The results also indicated that practitioners are looking for an approach or methodology that contain characteristics, participation, measures immediate and long-term impact, measures programmes success, is reliable, valid and tailor-made for their programmes. In the following section I will focus on the perceived weaknesses of current measurement tools as answered by respondents.

**7.2.4 Question 3: What do you feel are the main weaknesses of your assessment tool?**

*- No weaknesses*

*- Doesn't measure the programme outcomes*

*- Doesn't measure change*

*- It's difficult to use*

*- It takes too long*

*- It is not accurate*

*- Other (please specify)*

Respondents were asked to state the greatest weakness of the assessment tool they currently use according to seven categories. Only 50% of the total number of respondents answered this question and the main perceived weakness identified was that the current method used does not measure change. No respondent answered that their tool has no weaknesses (refer to Graphic 12).
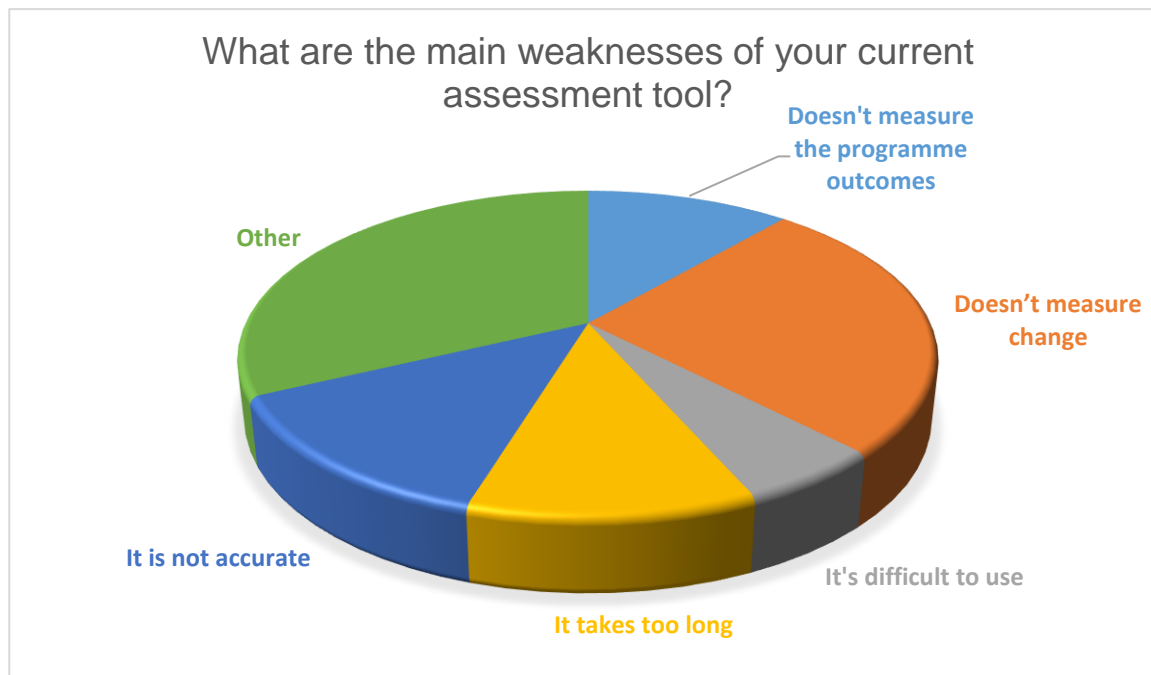


*Graphic 14: Question 3 responses*

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The question of accuracy and the measurement of programme outcomes, which respondents identified as important in other parts of the survey, was rated as the second greatest weakness of current measurement tools. Measurement tools that were time-consuming and difficult to use were perceived as the third and fourth greatest weaknesses of current measurement tools respectively. Respondents also identified other areas that were perceived as main weaknesses of current assessment techniques (refer to Graphic 13).
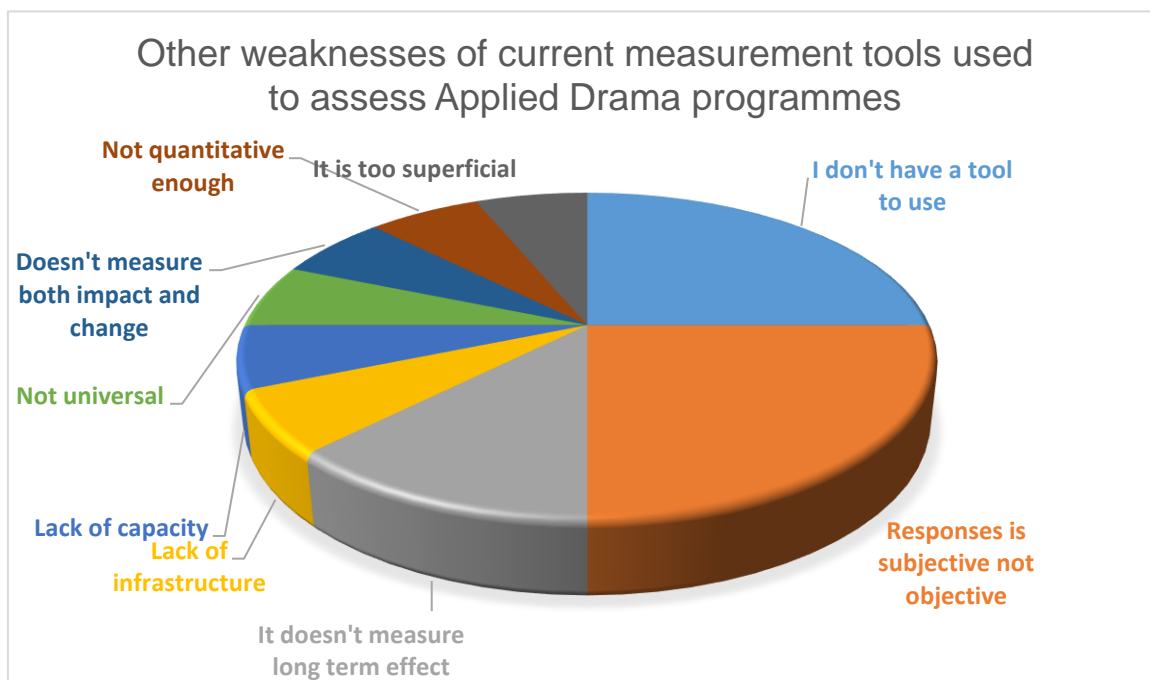


*Graphic 13: Weaknesses of measurement tools*

Several practitioners that used questionnaires or interviews as measurement tools complained that responses by participants were subjective, not objective, and that "*they give you the responses they feel you want to hear and not necessarily what they feel*". Another respondent remarked that only "*highly motivated*" participants partake in evaluation which means that they only get responses from "*those who respond very enthusiastically and positive about the experience, and those who want to pan it.*" A respondent added that questionnaires are often not completed and "*generally people were apprehensive to be totally honest so it's never sure how accurate this sort of response is*". The remarks concerning the use of questionnaires as expressed by these respondents correlate with the general disadvantages of the use of questionnaires to measure change or impact which will be discussed in Chapter 8.1.2.1.

Respondents also observed that their current assessment tool does not measure long-term impact or accurately measure programme outcomes. One respondent put this succinctly by stating that it "*will be nice to have a tool which can measure the impact and outcome*". Another respondent answered

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that short-term changes are easily assessed and observed, but it would be great if long-term change can be measured, also to monitor the individual journeys of the participants over a couple of years. One respondent mentioned a lack of infrastructure, and another the lack of capacity, as they gather more data than they can interpret.

The most thought-provoking comment came from a respondent who said that no measurement technique is flawless, as you cannot see the workings of a participant's brain or ever know how they really feel. I feel that it is important to keep this view in mind, as every assessment methodology or approach would have a flaw or problem of some sort, the challenge would be in finding one whose positive attributes outweigh the negative one for a specific programme.

Based on the data gathered with this question, the greatest weakness of current measurement tools used by respondents is that it doesn't measure change. The type of change that practitioners want to measure is unfortunately not specified, due to a design flaw on my part. A question regarding the type of change that practitioners aim to bring about would have added useful information to this study, especially as this would also be indicative of the evaluation methodology or approach that could be followed. A lack of change assessment is followed by the fact that the tools used do not measure the programme outcomes and that it is not accurate. No respondents indicated that their measurement tool had no weakness. Practitioners protested the shortcomings of using questionnaires as an assessment method. In conclusion, the data gathered in this question supports and confirms the answers given in other sections of the survey.

## 7.3 Conclusion of the empirical study

I designed and sent out a needs assessment survey to applied theatre practitioners, funders and community members currently participating in an applied theatre programme. I supplemented the survey by doing pre-set interviews with the same questions set as the survey. The purpose of the survey was two-fold: first, to do a survey of the current evaluation and assessment practices under primarily (but not exclusively) South African stakeholders and second, to do a needs assessment of applied theatre practitioners regarding evaluation and assessment methodology and attitude.

I struggled to collect enough responses, but this is one of the characteristics of the research method I chose, namely a survey. The first questionnaire was sent out via e-mail as an attachment and only elicited three responses, which forced me to rethink my data collection strategy. I then designed an online web-based survey, which respondents could complete online after following a web-link sent

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electronically. The programme I chose to use was Survey Monkey, a web-based survey tool that allows for survey design, data collection, data management, data storage and analysis of results. This yielded more success and I managed to collect 50 responses from practitioners, funders and community members.

The questionnaire and online survey are not without flaws. If I had to design it now after all the research I have completed, I would have omitted some questions, added others and used different terminology. In a shameful show of exclusiveness, I also managed to exclude the benefits to the target community from response possibilities, an almost unforgivable mistake, making me guilty of a top-down approach to research. Although these stakeholders were approached to take part in the survey either online or via interview, this is not the participatory approach to research desired. Some respondents did elaborate their answers to include comments which regarded the community and for this I am grateful. My lack of necessary knowledge and comprehension regarding evaluation and change is apparent throughout the design of the survey and questionnaire.

Most respondents felt a need to assess applied theatre programmes, mainly for impact measurement, programme improvement and programme effectivity. I included questions regarding a universal measurement tool, something I believed was a possibility at the start of my research, influenced through my own beliefs and through initial discussions and interviews with other practitioners. After completion of this study, I have come to believe the total opposite and would not have included these questions if I were to design the questionnaire at this point in time. Most respondents agreed that it was not possible to design such a tool, but many believed such a tool would ease evaluation as it would be standardised.

Practitioners are not satisfied with the current evaluation and assessment techniques and approaches. This is mostly due to a lack of understanding and knowledge regarding evaluation and assessment practice, approaches and techniques, than an actual lack of appropriate evaluation and measurement approaches and techniques. I demonstrated this exact lack of knowledge using certain terminology and the setting of certain question in the survey. Practical examples of the lack of knowledge and comprehension are prevalent in the field, for example, the almost exclusive use of questionnaire and interviews to determine change, especially when these do not form part of a Theory of Change model.

From respondents' answers it transpired that most practitioners do evaluate programmes and use an eclectic mix of methods and techniques to do so. Most respondents felt that the biggest advantage of

the techniques they used were that these were tailor-made to fit their programme and its needs. From answers on the characteristics, an ideal tool would have the following attributes:

1. It should be programme specific and flexible.
2. It should accurately measure behaviour change and sustained change as well as being able to measure immediate impact.
3. It should be quantitative as well as qualitative.
4. It should be participatory.
5. It should accurately measure programme outcomes and aims.
6. It should be easy to use and implement.

The main weaknesses of assessment and evaluation methodology and approaches currently used by applied theatre practitioners are inaccuracy and the fact that these do not measure desired change. Difficulty of use and time-consuming were also listed as weaknesses.

The issues highlighted by the survey relate to those highlighted through the presentation of papers of the 2008 conference in applied drama as mentioned in the introduction of this chapter. The difference among the main issues highlighted by local and international practitioners have, in my opinion, to do with accessibility to journals, established applied theatre networks, established and a variety of applied theatre tertiary courses and the level of education of the practitioners.

**Section III: Conclusion and recommendations**

**Chapter 8: Recommendations, proposed toolkit and conclusion**

This chapter will firstly look at the main identified challenges for applied theatre practitioners concerning assessment and evaluation to provide recommendations. A proposed toolkit will be outlined as final recommendation, before concluding the study with a brief summary of the results.

**8.1 Challenges**

I feel that the attitude of many applied theatre practitioners can be summarised in the words of Arthur Miller (1987) as stated in his autobiography, "I could not imagine a theatre worth my time that did not want to change the world", and as such many practitioners display a genuine desire to accurately assess and evaluate their programmes to improve and make changes to better serve the involved community or advance the outcomes of programmes. Unfortunately, this often leads to an overstatement of what applied theatre programmes can achieve and wondrous claims regarding change and transformation, without any corroborative evidence or valid evaluation and assessment. Considering this context, practitioners often feel trapped in a prove/improve dichotomy whereby they feel that they must prove the effectiveness of programmes at the cost of programme improvement, accuracy and transparency, as well as to the detriment of the target community. This in turn has led to the often held view of evaluation as a "necessary evil" forced upon programmes by funders who would like to see evidence of claims made by practitioners in quantitative terms when in fact the programme outcomes are qualitative in nature.

Some practitioners see no need to validate or evaluate their programmes. The nature of applied theatre, however, indicates that it is not (only) a "pure" art form. Evaluation or assessment is thus inevitable to justify any claims of change made by practitioners.

This section aims to summarise the main challenges concerning the evaluation and assessment of applied theatre and the main difficulties will be outlined and briefly described in the following paragraphs.

**8.1.1 A lack of knowledge regarding assessment, evaluation and change**

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As stated numerous times throughout this study, a lack of knowledge and understanding regarding evaluation and change practices, approaches, models and methodology is identified as a major challenge. A challenge that forms part of this lack of knowledge, is the misuse of techniques in an attempt to measure change.

Many practitioners rely solely on the use of interviews and questionnaires to assess outcomes ranging from behaviour and/or attitude change to comprehension. The popularity of these methods was demonstrated in the online survey and highlighted in the literature study of the dissertation. Although interviews and questionnaires are valid research and data gathering methods, an overreliance on these techniques will not bear the desired results and often lead to evaluation conclusions that are not valid or justifiable. This adds to the growing concern in the applied theatre field that practitioners are overstating what programmes can do and that they cannot offer valid evidence to support claims of change.

The use of questionnaires to measure change are questionable, as respondents tend to write or fill-in what they feel are expected of them and verbal answers can be interpreted in various ways depending on the bias of the questioner (University of Leicester 2015: 51). Questionnaires can be effective in measuring understanding and an increase in knowledge, but when using questionnaires to measure change, it operates in the belief that knowledge equates change. This belief is probably based on the Fishbein and Ajzen (1975) theory of reasoned action, which argues that a change in knowledge and attitude equates behaviour change. This theorem has, however, been proven not to be absolute and has been changed accordingly by scientists. Dalrymple (2006: 197-198) states that "awareness campaigns providing knowledge and attempting to change attitudes would not be adequate for changing and maintaining complex, lifelong behaviours".

Interviews are suitable for gathering information for narrative reports or to use as anecdotal evidence and allow for more in-depth exploration of themes and issues. However, it can be fraught with the same dangers as using questionnaires; for instance, interviewees that tell interviewers what they think the interviewers want to hear. Interviewer bias also comes into play, with interviewers imposing own references, understanding and judgement on answers given.

Interviews or questionnaires that are facilitated directly after the end of a programme or performance present a further challenge. Lewin's change theory states that contact with such an external influence serves as a "shot in the arm", as it has participants "convinced" that they will change and for a short immediate period after the show or programme they do. This "desire" or "intention" to change does

not indicate real change, which can only be measured over a period where such change is sustained. Participants or audience members return to the state they were in before intervention took place after a short-lived higher functioning (Burke, Lake & Paine: 2009). Lewin's change theory states that change is not a onetime event, but that it should be viewed as a process and assessed as such. Any measurement taken directly after a performance or programme's end, can thus only assess perceived, immediate or short-term change.

### 8.1.2 The lack of literature

The relative lack of literature, academic or otherwise, as compared to available research in the social sciences, evaluation and change fields, is problematic as it makes research into the subject difficult. Reasons for the lack of literature and published research are manifold. The available literature is also not necessarily accessible. Keuris and Kruger (2014: 19) state that very little documentation regarding South African theatre after the 1980s is easily accessible, that "we do not have a system in place to document theatre currently performed" and that the inaccessibility of documents of South African theatre is hampering any attempted theatre research. Journals such as *RiDe* are not widely known outside academic circles or freely available to the general public and articles published in theatre journals or delivered at symposiums are often very academic, when it is notable that few applied theatre practitioners are academics, move in the realms of academia, or are even educated at university level. Nicholson (2015: 266) states with regards to *RiDe* that the amateur "has been largely absent from the pages of this journal". This issue was also highlighted at the First Africa Research Conference in Applied Drama's conference discussion on the establishment of an applied theatre governing body. The problem thus lies with the lack of a productive symbioses/relationship between researchers and trained and untrained practitioners.

Contributing problems to the lack of literature on applied theatre in both the South African and international contexts are that many practitioners work in isolation, geographically or psychologically. Practitioners working in geographic isolation, are hampered by the lack of exchange of knowledge and ideas. Practitioners do not generally share good practice, methodology or ideas. This can partly be blamed on the lack of a platform or body to which practitioners can belong. A contributing factor is that non-academic practitioners who do write up their findings or programme evaluations often do not have an opportunity to share (or publish) their work. Reason (2006: 82) postulates that due to limited resources and time, practitioners also choose not to record or preserve records regarding performances or past programmes if not required to do so.

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Furthermore, some practitioners seemingly (jealously) guard their ideas and methodology in fear that their hard work would be taken and used by other practitioners without acknowledgement, or in some cases, financial gain. Ironically this stance is the exact opposite that the inclusivity applied theatre programmes proclaim. Mishan and Prangley (2014: 125) postulate that the lack of collaboration between applied theatre practitioners can be due to "personal pride, artistic ideology, the survivalist reality, fragmented audiences and a lack of government support". The perceived reality is that there is only so much funding available and so many audiences to play to. Many practitioners feel that any form of collaboration, even the sharing of good practice, will influence the exclusivity of their work and, quite often, their future earnings.

Contradictory to the lack of articles written by practitioners not formally trained in the field or with training in programme evaluation or assessment, are articles written by individuals that arguably mislead and misinform the reader, by using emotive language and making unsubstantiated claims. Some of these articles are mere programme descriptions which claim behaviour change or other excessive successful outcomes.

Publishing seemingly unsubstantiated "findings" in established academic journals without critique or discussion may lead to more practitioners claiming miraculous change without evidence. This not only potentially weakens the field but may also lead to disbelieving donors and/or disbelieving communities. The place for such articles could be in an open, freely accessible online forum where discussion, critique and mentorship are encouraged.

### 8.1.3 Standardisation and the lack of a governing or umbrella body for applied theatre

The lack of standardisation in the applied theatre field is perceived as a further challenge. Existing methodology, evaluation and reporting differ from programme to programme and practitioner to practitioner. It is thus understandable if funders require seemingly inappropriate quantitative proof of the running and outcomes of a programme in order to make sense thereof. Some standardisation in terms of evaluation and reporting will aid the understanding of programme ideals by all stakeholders, including both the funders and the community.

Standardisation does not necessarily imply that programme individuality needs to suffer. The distinctive design of each programme in relation to the problem(s) it addresses or the community it serves, is part of the success of applied theatre programmes. Standardisation may merely offer workable methodologies, tools and techniques to aid with design, evaluation and assessment. If all

applied theatre projects speak the same language, despite different goals, objectives and desires; funders, practitioners and communities will be able to understand the purpose, process and outcomes better.

The lack of a governing or umbrella body, despite the various arguments raised against it at the First Africa Research Conference in Applied Drama in 2008, makes standardisation in the field a near impossibility, as decision-making, enforcement and communication are arguably impossible without it. Practitioners opposing such a body cite qualifications, discipline and methodology as their main bias. However, I conclude that some part of the lack of enthusiasm for the forming of a governing body stems from a fear of peers scrutinising methodology, outcomes and/or evaluation, the jealous guarding of own methodology, techniques, programmes and/or evaluation techniques for fear of other practitioners using ideas without credit or monetary compensation (as mentioned earlier). The non-existence of a governing or umbrella body also highlights issues concerning ethical practice and accountability, which are currently unregulated.

Internationally arguments against a governing body seem to focus on the question of what constitutes an applied theatre project and what disciplines should be included or excluded under the umbrella term. Some theatre–in-education practitioners for instance feel that their programmes aren't classified as applied theatre anymore. Theatre for Development does not want to be classified as applied theatre, and some practitioners feel that drama therapy should not be included under applied theatre and so forth. Unfortunately, arguments like these create a schism between practitioners of different convictions or genres and impede the possibility of mutual learning and the augmenting of existing methodology and techniques.

### 8.1.4 Lack of inclusion and participation

One of the biggest challenges facing the evaluation and assessment of applied theatre programmes is the lack of inclusion and participation of all stakeholders. This is a theme evident in the literary study and case studies I conducted and was also evident in my own failure to properly engage all stakeholders as part of the empirical study of this dissertation. I also experienced this at the 2008 African Research Conference in Applied Drama when I was part of a working group on M&E, entitled "*Monitoring and Evaluation: Responding to Social Science Pressures and Saving the Metaphor"*, and aimed at creating a charter or set of guidelines concerning the assessment and evaluation of applied theatre programmes.

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What I found interesting (and disappointing) about the working group was that the agenda and points for discussion were set by the chairperson, with little opportunity for dialogue or disagreement. I also found that most of the issues that emerged during the group's discussion were pre-set and correlated with the chairperson's published views on what M&E practices in applied theatre with regards to the African context should be. No other approaches were considered as possibilities or discussed, and no opportunity was afforded to participants to share ideas regarding other approaches or examples of best practice. As the only woman in the group, I also found the patriarchal structure of the working group worrisome and I was excluded to the point of merely observing, a glaring juxtaposition as both the proposed charter and the PM&E methodology discussed, focused on inclusivity and equal participation of all stakeholders. (The feeling of being excluded was also reflected in the resultant document, as my name, misspelled and lacking a surname, was listed last.) I was a participant, but I was not participating, a common mistake made by practitioners when doing evaluations and assessments of programmes and projects.

The charter, flawed[160] as it may be, could have created a platform for discussion amongst practitioners with regards to evaluation and assessment techniques. It could also have led to valuable insights into different assessment methodologies and evaluation practices if it had been distributed electronically to attendees of the conference, or posted on a social media platform for comment and discussion[161]. This missed opportunity to start a South African/African dialogue on change/impact assessment and evaluation methodology was also echoed by the failure of the *Applied Theatre Network Africa* of which a concept was initiated at the conference, but never realised.

The fact that seasoned and highly-educated applied theatre practitioners seemingly fail at inclusion and participation at conference and academic discourse level, demonstrates the level of entrenchment of the top-down, exclusive and non-participatory approach in the applied theatre field.

## 8.2 Recommendations

Considering the above stated challenges, I use this section to make recommendations for possible initiatives and/or actions to address the perceived problems with assessment in the applied theatre

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[160] The charter draws heavily on Participatory Monitoring and Evaluation Methodology and lacks clarity, focus and cohesion.

[161] The charter was not very accessible when published on the internet and has since been removed. Please refer to Appendix B for a more detailed discussion of the conference and charter.

field. From the onset I acknowledge that some of the recommendations inevitably have their own challenges.

## 8.2.1 Online forums

The challenges described regarding the collaboration and sharing of information, good practice, knowledge and ideas are not unique to the South African context. It has been acknowledged internationally through various academic articles, papers and attempts to address this is for instance demonstrated though the establishment of various applied theatre groups on "LinkedIn", a free online professional social network. One example is an applied theatre practitioner group called "*Applied Theatre*", which aims to create a network of international practitioners that can collaborate on the creation of programmes, support programmes and share good practice (Young: 2011). In an unfortunate example of the lack of sustainability and drive of these groups, Marilyn Young (Electronic Correspondence: 2012 – 2013), the creator of the applied theatre group, answered my initial inquiring e-mail a year later, stating that the group will be revitalised as "I see there has been some interest", although this promise never materialised. Many other groups have seemingly been started in a similar manner, e.g. "*Theatre for social change*", "*Drama and Theatre in Community*", and "*American Association of Community Theatre*", but tragically none of these groups sustain the initial dynamic or build further on the original ideas.

One very active group called "*Aiding Dramatic Change in Development*" describes their mission statement as a desire to create a forum and support for all those practising or interested in "embedding participatory theatre and arts-based processes in adaptive development programmes" (Sillit: 2008). It provides a platform to share narrative reports or inform subscribers of recently published articles. The forum proved invaluable to my research as many of the subscribers completed the questionnaire and offered own practice as well as shared information of published works on the issue.

With information technology and social media networking becoming a more established part of both personal and professional communication and networking, an internet-based applied theatre forum might be a workable solution to the problem of sharing good practice, publishing reports, uploading photo essays and exchanging ideas. Kerr (2009: 185) states that the impact the internet and online networking can have on applied theatre is endless. It is acknowledged, however, that such a forum will exclude practitioners that are not computer literate or do not have access to a computer or reliable internet access and this is therefore not an "unflawed" recommendation.

The potential role that such a forum could play regarding standardisation and the potential increase in shared knowledge regarding good practice, programme design, assessment, evaluation and change, is however notable. It may also augment literature on the subject.

### 8.2.2 An official applied theatre website

Closely linked to and as a further expansion of the previous recommendation, is the creation of an official applied theatre website. The International Theatre of the Oppressed Organisation maintains a website dedicated to creating a forum for practitioners of Theatre of the Oppressed (TO), including a virtual library consisting of various online resources "accessible to all", names of past and current projects and a list of TO practitioners across the world (Formaat: 2013). The website makes several calls for contributions from all practitioners, but at the same time, the organisation vets TO practitioners carefully before their projects or their details are published on the website. A newsletter entitled *Under Pressure* is published by the organisation on a three-monthly basis and aims to report on TO events and happenings around the globe. Under the editorial leadership of Juliàn Boal, it focuses more on practical experience than on theory and each publication is centred around a theme, e.g. TO in prisons (Formaat: 2013).

This website, although it is not as inclusive as it professes to be and seemingly lacks any critical analysis of the methods, projects and outcomes, arguably serves as a valuable resource for TO practitioners. It contributes to the understanding of the workings of TO, as it includes project descriptions and reports. The online library and contributions of practitioners in the field also aid research initiatives.

An official applied theatre website could offer solutions to challenges such as of a lack of knowledge regarding assessment, evaluation and change; a lack of literature, standardisation and issues on inclusion and participation. The main obstacles for creating such a site, however, include funding, personnel, and in light of the lack of a governing body, who will maintain and drive it?

### 8.2.3 The creation of a creative assessment database

The importance of documenting programmes comes to the fore when it is noted that most applied theatre practitioners use tailor-made assessment methods with various creative ways of measuring long-term and short-term success. A practitioner in Kenya plants trees in some of the communities in which they practise Theatre for Development, if the trees are alive and thriving during yearly follow-

up visits, they know that their programme was successful, and that change occurred in the community[162]. During the Interpersonal Skills Development Programmes[163] I facilitated in a minimum correctional facility in Stellenbosch to inmates during 2007 to 2009, the inmates were asked to draw pictures of themselves together with writing or drawing their three best and three worst characteristics at the beginning and end of the programme to measure short-term identity creation, establishment and self-knowledge. With a Life Skills Programme I facilitated for students of the Umzi Wethu[164] Programme in Stellenbosch during 2013, students were asked to step into difficult, complex and obtuse situational improvisations relating to sexual harassment and domestic violence. Their actions were observed to see if they understood where to get help and how the legal system works.

If creative assessment methods like the examples above can be widely shared – in the format of a creative assessment database – practitioners would be able to choose a method or a combination of techniques that would best suit their programme's needs (or develop a more suitable tool) based on tried and tested methodology. This in turn may aid in addressing the misuse or overuse of techniques such as interviews and questionnaires. The same obstacles for creating and maintaining an online forum or a website is however once again in play.

### 8.2.4 Using appropriate indicators to measure change: knowledge attainment

It is important that practitioners are knowledgeable about how change works and why change happens, but also about the type of change they aim to instigate. Change can mean several different things, from a fleeting feeling of joy when seeing something beautiful to changing life-long habits and everything in between. Knowledge about the type of change desired may have an influence on what evaluation and assessment methods are used, which in turn may have implications on cost, time-frames and programme design.

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[162] Observation by one of the attendees of the *Monitoring and Evaluation: Responding to Social Science Pressures and Saving the Metaphor* working group at the First Africa Research Conference in Applied theatre in 2008.

[163] The Interpersonal Skills Development Programme was a programme I facilitated to minimum security inmates facing possible release within the following six months. The programme grew out of an applied theatre and therapy programme and addressed issues that the inmates would face in the outside world and how to develop tools to deal with such situations should they arise. The 26 session programme dealt with a wide range of themes including reconnecting with family, anger management, identity creation, sexual health and future mapping.

[164] Umzi Wethu is an interventionist hospitality training programme aiming to enable at risk youths a chance at sustainable employment, facilitated by the Sustainability Institute in Stellenbosch. I designed, implemented and facilitated the Life Skills Programme for Flom Community Theatre which includes various theatre elements as well as employs techniques from the arsenal of the Theatre of the Oppressed.

The measurement of *sustained change* in communities and individuals needs to be measured over long periods with set benchmarks, control groups, real indicators of change identified and be impartial. Assessment tools which exclude the illiterate, which deals with understanding and attitude instead of change and transformation, or which can be influenced by the prejudice of the assessor, (e.g. questionnaires or transcribed interviews) should not be used. As the measurement of sustained change is time-consuming and costly, it often falls outside the scope of applied theatre programmes. Practitioners rely on short-term indicators that don't measure behaviour change, but often only measure intended attitude change or understanding. Unfortunately using long-term indicators would be the only way to establish whether applied theatre programmes can really bring about sustained behaviour change. Such long-term indicators would have to be carefully researched and identified to attribute change to the applied theatre programmes, or for applied theatre to be seen as one of the definite influences that brought about change.

Unless a programme's assessment or evaluation methods involves long-term indicators, practitioners cannot claim to measure sustained change or to bring about behaviour change as they have no realistic way of proving these claims. Practitioners can claim to attempt to instigate change, rehearse for change, or ignite a desire to change; as such, attitudes and behaviours can be measured over a shorter period.

The measurement of change also has implications for programme design. The inclusion of a theory of change model, which links activities to change; hypothesise and justifies why the change will occur, will not only offer much needed clarity, but will also aid with activities during the operation of the programme, and set indicators to measure whether the change had occurred. It furthermore predicts what evidence will be necessary to measure the indicator, which makes designing the evaluation process easier and embeds it into the programme. Evaluation designs that are done as part of programme design and embedded into the operation of the programme, are much more effective than evaluations done only after the end of the programme and in isolation from the programme operation. A programme logic model is also beneficial for programme and evaluation design, although it does not say why change occurs.

The increase in practitioners' knowledge of change, assessment and evaluation remains a challenge, even if the increase in knowledge can be seen as part of the solution to the problem of evaluation and assessment in applied theatre. Assessable forums can do a great deal to educate interested

practitioners about such issues, as can mentorship. I would also suggest that applied theatre students at higher education institutions are taught evaluation and change theory as part of their coursework.

### 8.2.5 A shift in focus: affecting change versus encouraging efficacy

Short term-indicators are effective in measuring a variety of outcomes ranging from a change in comprehension, self-confidence and identity creation to intended attitude change. Outcomes such as these contribute to a desire to change. Various theories and ideas that relate to behaviour change all indicate that human behaviour change is more complex than Fishbein and Azjan's initial theory of reasoned action, in other words that the intention of change does not necessary lead to actual change. A mind shift needs to be made by practitioners in listing realistic outcomes of programmes and selling realistic expectations to potential donors.

The idea of developing self-efficacy, i.e. facilitating skills which create a desire in the individual to make a change or choose the better option, might be a more realistic and measurable outcome than claiming sustained behavioural change. This is especially as the increase in self-efficacy can be measured with short term indicators such as role play. As Boal (1979: 98) states "perhaps the theatre is not revolutionary in itself, but it is surely a rehearsal for the revolution". To bring about behaviour change should, therefore, perhaps rather be listed as an ideal of a programme than an intended outcome.

Lewin's change theory complicates the assessment of applied theatre programmes further when he states that complex individual and social forces surrounding change make it almost impossible to predict the outcome of planned change. Change theory also explains that change is often present after an intervention, but is short lived, and states that change needs to be sustained for a long period before it can be classified as behavioural change.

The implication of this on applied theatre programmes is significant, but it does support the idea that practitioners should make a shift from claiming programmes bring about successful behavioural change to outcomes of intended behavioural change. We might be more effective if we aim to create the desire to change, instead of wanting to completely transform, small individual changes are still changes and might lead to wider social transformation.

I would like to propose that, as part of the shift from affecting change to encouraging efficacy that we, as practitioners also move away from purely functional programmes and embrace aesthetics.

Considering this I also think that we should stop proclaiming ourselves as mere practitioners or facilitators, but that we should reclaim the title of artist. Applied theatre programmes, projects and performance have been established as an important part of theatre and we do not need to feel the urge to distance ourselves and justify our artistry as opposed to 'pure' theatre artists. Once we acknowledge that we are artists in our own right, embrace the aesthetic elements possible in applied theatre, the shift from instigating change to encouraging efficacy might also be easier.

### 8.2.6 Charter on ethics and evaluation

The M&E working group which I formed part of (facilitated at the first African Research Conference in Applied Drama) aimed at creating a charter or set of guidelines with regards to assessing and evaluating applied theatre programmes. The resulting document entitled: *Monitoring and Evaluation (M&E)* charter has since been taken down from Drama for Life's website, but an unedited copy of the original document as initially posted on the site can be found in Appendix P.

Apart from the arguably non-participatory, patriarchal, top-down and one-sided approach of the working group and the flawed, poorly formatted charter, I do believe that a well-drawn up charter or set of guidelines, representative of all stakeholders, and general enough to be applicable to all genres of applied theatre, might be part of a solution to the lack of standardisation and an umbrella body in the field. A universally accepted charter or guidelines would steer practitioners to ethical, participatory and valid evaluations which would strengthen the field not only in terms of the measurement of the effectiveness of programmes, but also with regards to value of applied theatre.

Such a charter would potentially eliminate the 'big brother' aspect of a governing body, allowing practitioners or applied theatre organisations to self-regulate or self-govern the ethical and evaluative aspects of their programmes. As adhering to the same set of guidelines would standardise the field to some effect, it would also be easier to compare and discuss programme effectiveness and outcomes. A charter or set of guidelines can also be used in conjunction with and included in the toolkit I propose as my final recommendation.

### 8.2.7 Suggested toolkit for evaluation and assessment in applied theatre

The results of the needs assessment survey and the literature study indicated that most practitioners tailor-make their programmes to specifically meet the needs of the specific community or context they work in. Assessment or evaluation methodology are either unique to their programmes or are

inappropriate to evaluate and asses the programmes' effectiveness and success to the satisfaction of all stakeholders' needs. I would like to suggest the following approach that can be experimented with and developed until it suits the needs of individual applied theatre stakeholders.

The approach would take the form of a toolkit that allows for an increase in knowledge of evaluation, assessment and change, how-to guides and basic steps in programme design. Ideally such a toolkit will be available both on the internet, with various links to existing how-to guides, as well as in hardcopy form.

The internet is full of toolkits for this evaluation approach or that assessment method, but the proposed toolkit should differ in the sense that it is not concerned with only one evaluation method or assessment methodology. This toolkit should ideally contain several evaluation approaches with simplified narrative descriptions and possible advantages and disadvantages, as well as how-to guides for each of the methods and/or approaches described. The toolkit should further contain basic information on evaluation, change and assessment, programme design and evaluation design. It would not suggest a final product or perfect solution, but the main aim of the toolkit would be to provide basic knowledge and comprehension, as well as a starting point from which practitioners can do more focused research on what they need and the opportunity to experiment with various methodologies and techniques.

As indicated earlier, I propose that the toolkit consists of three parts, firstly providing information on basic change theory, monitoring, evaluation and assessment, as well as definitions of terminology and approaches used in this area. Secondly, it should list assessment and evaluation approaches and methodologies applicable for applied theatre programmes, including summaries of advantages and disadvantages and the best practice of each methodology or approach listed. Links to, or electronic copies of, existing how-to guides should be provided with each methodology or approach description. The last part of the toolkit should consist of a step-by-step approach to programme and evaluation design based on the results obtained earlier in this study. This design methodology would propagate a mixed method participatory approach, with both quantitative data and qualitative data.

The first part focuses on imparting basic information and/or knowledge that will define and describe terminology and themes like: assessment, needs assessment, evaluation, impact, impact assessment, measurement, indicators, base-lines, benchmarks, qualitative, quantitative, data, information, change, evaluation practice, reporting and monitoring. This section will aim to provide a knowledge base of evaluation, change, assessment and monitoring practices and techniques and to aid with

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comprehension. Its further aim is that more and more practitioners will use the terminology as defined in the toolkit and through this bring some standardisation to the field of evaluation and assessment in the applied theatre.

The second part is concerned with providing information on methods and techniques like the logical framework or model, theory of change, participatory action research, participatory monitoring and evaluation, Storymap legend and most significant change theory. It would also provide links to various how-to guides available on the internet and could provide a platform for practitioners for more in-depth research into a chosen method, approach or technique.

The last part aims to provide a step-by-step approach to programme and evaluation design for practitioners who need to design a more unique approach to measure their programmes.

The ideal is that such a toolkit would satisfy various challenges experienced with the assessment and evaluation of applied theatre programmes. It aims to provide information for practitioners to make informed decisions, whilst it should be simplistic enough to be accessible to most practitioners and yet, still allows for tailor-made assessment. It should offer the possibility of using existing methodology as well as the possibility of creating a unique evaluation design by using those parts or sections of existing methods and approaches that would apply to a certain programme.

During telephonic interviews conducted when doing the survey, I discussed this idea of a proposed toolkit with a prominent researcher and applied theatre educator at tertiary level, who wished to remain anonymous, and he reacted to the idea with enthusiasm. He stated that a toolkit "however rudimentary or dysfunctional would be wonderful" (Private communication 2017). He believes we in the applied theatre field do not think critically to solve problems faced outside of the arts sector of our field, e.g. assessment. He furthermore added that even if the toolkit is not successful, it provides a starting point from where to start the development of a working tool.

This broad outline of a proposed toolkit has been sent to six South African practitioners. These six local practitioners have been most willing to communicate with me regarding the study outside of the parameters of the online survey. They also indicated their willingness to look at the concept toolkit during interviews conducted as part of the survey. At the time of submitting this dissertation, only one practitioner provided feedback (an echo of the struggle to collect responses during the empirical research phase). The feedback from the respondent are:

> Yes, I think such a toolkit as described would certainly be a huge help!  There is a big divide between academic language and theory, and on-the-ground nuts and bolts data gathering.  Most NPOs/organisations do not have a dedicated M&E person, and so it is generally the practitioners themselves or administrative staff who are having to do the reporting, without the necessary language and skillset. So, I think this would be very helpful, particularly for fledgling organisations who are seeking funding so that they can set up their monitoring systems correctly from the start. (Private communication: June 2018)

Apart from the positive nature of the feedback, I find it notable that the response once again picked up on several issues discussed in this study, namely the divide between the academic realm and the 'practice' realm, the lack of knowledge, and the lack of assessment and evaluation expertise. I also feel that it speaks to the notion that assessment and evaluation is an afterthought to a programme or project and not an integral part of its design.

In conclusion, the data suggests that the most important characteristic for a measurement tool for applied theatre programmes should be that it is suited to the specific needs of a project. It should furthermore be accurate and able to measure change, outcomes, objectives and goals. Such a tool should be easy to use and satisfy both the funders' needs for quantifiable data and the practitioners' needs for qualitative outcomes.  The proposed toolkit would support all the above-mentioned requirements. The toolkit itself, however, would still need to be properly designed and tested.

## 8.3 Conclusion

### 8.3.1 Summary of results

The aim of this research study was to broadly investigate the problems experienced with assessment and evaluation in the applied theatre sector. I formulated three research questions to define the aim, namely: why the need for assessment and what constitutes change, why current assessment methods are not successful/successful, and what is needed from a measurement tool. I collected data through means of interviews, case-studies, a literature review and a survey.

Applied theatre programmes, projects and performances deal with the utilisation of theatre for specific purposes and as such work with the complex field of human behaviour and change. As practitioners claim some type of transformation for participants, whether this change be fleeting, short

or medium-term or sustained behaviour, attitude, feeling, knowledge, empowerment or attitude, these assertions need to be measured to be credible. In a field where the power of theatre to change is being challenged, it is of vital importance that any proclamations regarding change and transformation are backed up by evidence.

Change, however, is not a straightforward element to measure, nor to instigate. Various theories and explanations are given as to why change occurs and how to affect change. To measure change, practitioners should have clarity regarding the why and the how for effective evaluation and assessment.

Evaluation and assessment is a specialist field on its own with various approaches and methodologies based on different change theories. Evaluations and assessments should be valid, reliable, useable, feasible and objective to be credible. Credible evaluations are well designed and embedded in programme operation. Evaluation should never be "done" at the end of a programme to quickly appease a funder or tick some requirement. Such evaluations add little information and are useless for programme purposes. Evaluation and assessment add value to programmes in terms of effectiveness, transparency, accountability and improvement and can benefit communities through empowerment, ownership and capacity building.

*The need for assessment* in applied theatre programmes has to do with effectiveness, transparency, accountability and improvement and can benefit communities through empowerment, ownership and capacity building. A trend amongst African practitioners, which is dissipating from the international discourse, is a feeling that evaluation is only done to appease funders.

An outcome which surprised me greatly was the lack of knowledge and comprehension of change theory and evaluation practice displayed by applied theatre practitioners, myself included. From the vast amounts of articles, discussions and remarks about the lack of appropriate measurement methodology, I was under the impression that there might be a possibility to develop a universal assessment tool for applied theatre practitioners to fill this perceived gap. This proved to be a false premise on my part. Subsequent research has convinced me that not only is such a tool not possible to create, but that appropriate methods, techniques, models and approaches already exist. It is rather an issue of not having enough knowledge regarding change and assessment theories to correctly utilise existing ones, of knowing what measurement tools and techniques can do and what to measure.

The *reasons why current assessment methods are unsuccessful* mostly stems from the lack of knowledge described above. The use of wrong measurement instruments or inappropriate tools will not yield effective results. An attainment of knowledge and proper research before the design of a research approach is imperative.

The *reasons why current assessment methods are successful* were seen as approaches that were tailor-made for the unique needs of the programmes. These successful approaches were well researched and understood within context and as a result yielded evaluation results that were valid, reliable, useful and credible. The programmes did not overstate what they could achieve and identified measurement indicators that were *SMART*. Such evaluation methodology and programme designs often made use of tools such as theory of change models or logic programme models, were of a mixed approach and eclectic.

*What is needed from a measurement tool* generated six attributes according to the results of the survey:

1.  It should be programme specific and flexible.
2.  It should accurately measure behaviour and sustained change as well as being able to measure immediate impact.
3.  It should be quantitative as well as qualitative.
4.  It should be participatory.
5.  It should accurately measure programme outcomes and aims.
6.  It should be easy to use and implement.

Based on the challenges identified and discussed throughout the study, I was able to make suggestions and proposals towards the standardisation, participation, collaboration and evaluation as well as assessment challenges of the field. I furthermore proposed the development of an evaluation and assessment toolkit that would aim to provide basic information regarding evaluation, assessment, monitoring and change practice approaches and terminology, aim to provide short descriptions, advantages and disadvantages, "how-to" guides and examples of good practice regarding appropriate evaluation and assessment tools, approaches and models and aim to provide a step-by-step approach on programme and evaluation design as well as assessment to allow practitioners to create their own programmes and design structures to best serve their needs.

**8.3.2 The limitations of this study and recommendations for further research**

I think the scope of this study was somewhat narrowed by my initial belief that the creation of a universal tool was a possibility as this reflected in the questions posed in the survey and questionnaires. On completion of the research, I realised it would have been more beneficial to ask respondents to give reasons for negative answers and to include questions regarding what they regard as change and what experience or training they had in evaluation and assessment. Such differences would not necessarily have changed the research findings but would have provided valuable context information which could have resulted in a better comprehension of why practitioners have a lack of knowledge or do not assess programmes.

Recommendations for further research centres on the proposed toolkit. The proposed toolkit needs to be developed and tested extensively to ensure ease of use, simplicity, feasibility, sustainability, reliability and usefulness. As mentioned, I have drawn-up a very broad outline and have sent it to six practitioners (who are enthusiastic about the idea of a toolkit) for feedback. Their answers will form the first step towards the design and development of this toolkit.

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**Appendices**

**Appendix A: Short oversight of applied theatre practitioners, theorists and activists.**

Ian Steadman is a South African theatre practitioner and researcher that co-founded the South African Theatre Journal with Temple Hauptfleisch, with whom he also co-authored "South African Theatre: Four Plays and an Introduction". He was also Dean of the Arts Faculty of the University of Witwatersrand as well as a Professor in Drama at the same institution. Steadman has written numerous articles and critical essays on South African theatre practices, such as popular theatre and the black consciousness movement.

Peter Larlham is a South African-born theatre practitioner with more than 40 years of experience of research in African Theatre. His Doctoral thesis, "Black Theatre, Dance and Ritual in South Africa", was the first major discourse to be published by an American press. Larlham currently holds the title of Professor Emeritus at San Diego State University.

Esther van Ryswyk is a South African theatre practitioner who founded the South African Association for Drama and Youth Theatre (SAADYT) and was instrumental in introducing Theatre-in-Education (TIE) to South African audiences. The SAADYT's objectives included the development of youth theatre and TIE in South Africa and aimed to create a democratic South Africa through means of educational theatre (Ruben, Diakhatè & Eyoh 2001: 2860).

Paddy Terry is a South African dramatist active in educational theatre and research. He was an editor of the South African Association for Drama and Youth Theatre and a staff member at the Centre for South African Research. He co-authored a well-known book titled "Playwrights and Human Rights: A Collection of six one act plays." with Herman Kotze.

Lynn Dalrymple was a South African applied theatre practitioner who specialised in TIE and Developmental Theatre. She was a pioneer on using theatre to combat the HIV/AIDS pandemic in South Africa and founded the DramAidE (Drama in Aids Education) project. She published research articles and critical essays in numerous academic journals and publications on applied drama, DramAidE and HIV/AIDS related matters. She was the faculty head and a professor of the Drama Department at the University of Zululand, a faculty that she also established.

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Gay Morris is a South African academic who specialises in applied drama and TIE. She forms part of the advisory boards for the South African Theatre Journal (SATJ) and Research in Drama Education (RIDE) journal and is a board member of the International Federation of Theatre Research (IFTR). She is currently an Emeritus Associate Professor at the University of Cape Town, after being the head of the Department of Drama until 2003.

Barney Simon is an influential South African theatre practitioner who together with Mannie Mannin, established a non-racial theatre company entitled *The Company* and later co-founded a multiracial performance space called The Market Theatre during the Apartheid regime. He facilitated developmental theatre programmes which culminated in the creation of the Market Theatre Laboratory which trained actors. His most notable work as playwright is the world renowned "Woza Albert!"

Zakes Mda is a South African theatre practitioner and critic and authored "When People play People", a book detailing the use of theatre as a medium for development. He has authored various academic articles as well as numerous plays.

Judith Ackroyd is a British applied theatre practitioner who has researched and published numerous articles about applied theatre as well as the use of theatre/drama in schools. She is the Dean of the Faculty of Humanities, Arts and Social Sciences at the University of London.

Michael Balfour is an Australian applied theatre practitioner whose practical work focuses on theatre's social applications, especially in relation to communities in conflict, refugees and the disadvantaged. He has authored various books and articles on applied theatre and is currently a professor of Drama at Griffith University.

John Sommers is a British applied theatre practitioner who founded the "Research in Drama Education" (RIDE) journal in 1996.

Helen Nicholson is a British applied theatre and TIE practitioner affiliated to the Royal Holloway University of London. She is co-editor of the "Research in Drama Education" (RIDE) journal and serves on the panel of the Journal for Applied Theatre Research.

John O'Toole is an Australian TIE and applied theatre practitioner who is credited with developing Drama and Art in Education in Australia. He has published numerous books and articles and is the co-editor of the journal "Applied Theatre Research".

Tim Prentki is a British academic specialising in Theatre for Development. He is the co-editor of "The Applied Theatre Reader" and is on the editorial board for the journal "Research in Drama Education" (RIDE).

**Appendix B: Drama for life / The First Africa Research Conference in Applied Drama.**

**Background**

The first Africa Research Conference in Applied Drama was presented by a division called *Drama for Life* at the Drama Department of the University of the Witwatersrand in South Africa. Drama for Life offers degree courses in applied theatre aiming to train applied theatre practitioners with the intention that they use the skills, methods and theoretical understanding of the field that they developed in their own communities, not only as practitioners but also as peer educators. Their focus is on "HIV/AIDS education, activism and therapy" as well as "peace building, transformation and diversity management, human rights, social justice and environmental sustainability" (Barnes 2013: xiiv). Drama for Life presents two events annually with the aim of enabling the "programme to interface with community practitioners and with applied drama and theatre academics". (Barnes 2013: xiv) These are the Drama for Life festival, a showcase of AIDS and HIV related performances and the Annual Research Conference in Applied Drama and Theatre for exchanges of theory and practice.

Apart from papers presented at the conference, workshops were also conducted, some focussing on imparting knowledge, e.g. *Ethics Mapping in Applied Drama*, and other focussing on creating knowledge, e.g. *Monitoring and Evaluation: Responding to Social Science Pressures and Saving the Metaphor.* The theme of the first conference held in 2008 was three-fold: 1. Research; 2. Ethics, values and principles 3. Monitoring and Evaluation methods suited to African contexts.

**The 2008 research conference and ethics.**

*Ethical dilemmas*
Barnes (2011; 2013) states that an ethics charter was drawn up during the conference as well as a charter on Monitoring and Evaluation methodology and the establishment of a network of African practitioners of applied drama and theatre. I find that these claims are less grand and truthful than they sound.

Yes, *proposed* charters were drawn up by various work groups for ethics and monitoring and evaluation, but nothing much happened to these charters after being drawn up. No follow up, feedback, contact or presenting of the proposed charter of the general applied theatre field for comments. I was part of the working group drawing up guidelines for Monitoring and Evaluation, yet I per chance happened upon a copy of this document years after the event. The document cannot

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currently be found on the internet or on Drama for life's webpage. Drama for life states that graduates of their programmes adhere to the "*monitoring and evaluation* [of] *applied drama* and *theatre* as proposed in the Pan-*African* Network *Charter"* (http://www.dramaforlife.co.za/content/page/about *2017),* however, no amount of internet searching could bring up such a document. E-mails regarding this was sent to the Monitoring and Evaluation specialist of Drama for life, asking for either the documents or the web address, but the specialist was not aware of its existence.

The proposed ethics charter can be found if one enters specific parameters for a search, (e.g. "ethics", "South Africa", "applied theatre" and "charter" must be entered to yield a result fifth from the top which only mentions the ethical charter.) This suggests that the ethical aspects and/or ethical charter cannot be such a big concern for drama for life, as the charter is buried at the bottom of a webpage on research, which can be found after some searching. (http://www.dramaforlife.co.za/content/page/research-focus 2017) The *established network* that Barnes alludes to, leads me to the only assumption that it is the networking opportunities afforded to participants at the conference. In a collaborative book by Barnes and Coetzee, Barnes contradicts her previous statements by saying that one of the aims of Drama for life is "to generate an African network for artists in applied terrains using the arts for social transformations (2014: xii), a far cry from the *established network* she claims as one of the outcomes of the 2008 conference.

*Funder driven evaluation*

One of the main themes of the 2008 conference was the problem of appeasing funders, with practitioners admitting that this is the main reason they evaluate programmes. Questions during a panel discussion on "*What Monitoring and Evaluation Methods/Techniques are Best suited to Assessing the Value and Impact of Applied Drama in Theatre Projects in African Contexts*" were almost exclusively addressed to Huzeifa Bodal from GTZ, a representative of a funding body, and centred around how theatre practitioners can restructure measurement tools to best suit the requirements of funding bodies. Emma Durden, representing DramAide, focused further attention on this dissimilarity when she emphasized the "importance of keeping records of one's work and its effectiveness for the sake of the donors and other outsiders who need to see results in order to support the project." (Janse van Vuuren: 2009)

The difficulty of assessing the impact of applied theatre programmes to appease funders, but also to measure project impact is often commented upon by South African and international practitioners[165]. Sankar and Williams state that there is an increasing pressure to "demonstrate the impact of … programmes" and that this needs to prove impact can have a negative impact on delivery and facilitation, and that "a focus on 'improving' could be more meaningful." (2008:1) Hazel Barnes facilitated a workshop entitled "*Ethics Mapping in Applied Drama*" at the 2008 African Research Conference in Applied Drama and commented to Petro Janse van Vuuren that the workshop highlighted difficulties the participants experienced in the field, one of them being "the clash between funders' interests and the needs of the participants" (Janse van Vuuren: 2009).

*Monitoring and Evaluation Charter*

Kennedy Chinyowa chaired a working group on M&E entitled: "*Monitoring and Evaluation: Responding to Social Science Pressures and Saving the Metaphor*" during the 2008 conference, which aimed to create a charter or set of guidelines with regards to assessing and evaluating Applied theatre programmes of which I formed part. The resulting document entitled: *Monitoring and Evaluation (M&E)[166]* charter has since been taken down from Drama for Life's website, but an unedited copy of the original document as posted on the site can be found in Appendix B[167]. I discuss the non-inclusive, non-participatory, patriarchal and top-down approach of the working group in Chapter 8.1.2.5 *The lack of inclusivity and Participation.*

In my opinion the charter failed to raise excitement amongst the delegates when presented to participants of the 2008 conference and, seen in the light of the arguments for and against standardisation, universal measurement tools and a governing body that were ongoing at the conference, such a document should have instigated immediate debate. Statements such as "M&E needs to measure the output, outcome and impact of projects using a combination of social science frameworks and applied theatre and theatre indicators for purposes of accountability, validity and transparency" are too vague and non-descriptive for practitioners that are not academics, researchers or familiar with social science frameworks, the same with terminology such as "indicators" and "empowerment evaluation strategy".

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[165] This statement refers to prove/improve dichotomy proposed by Lennie, Skuse, Tacchi and Wilmore (2008:6) and is discussed in an earlier chapter.

[166] Please refer to the section on Aesthetics in Chapter 2 for further discussion of the M&E charter.

[167] It is still possible to find a copy of the original charter on the internet, with careful parameter searching. Please refer to the section on Aesthetics in Chapter 2 for more on this issue.

The charter[168] lists and briefly describes ten points with regards to what M&E in Applied theatre should look like. I paraphrased each point listed below.

*It needs to be genre and context specific.*

*It needs to measure output, outcome and impact and should be accountable, valid and transparent.*

*It needs to be participatory and include all stakeholders.*

*It needs to adopt an "empowerment evaluation" strategy.*

*Indicators can be qualitative or quantitative and should be flexible and based on negotiation, sharing and learning between stakeholders.*

*Priorities need to be defined in terms of goals, objectives, activities, results and impact.*

*It should be a "bottom-up" approach which incorporates participation of primary stakeholders through self-assessment, peer evaluation and decision making.*

*It should value those who stand to benefit from the intervention(s).*

*It needs to be sustainable.*

*Practitioners need to "learn from change" in order to "learn to change" to improve M&E methodology.*

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[168] The charter draws heavily on Participatory Monitoring and Evaluation methodology and lacks clarity, focus and cohesion.

**Appendix C: Case Study 1: The Lynedoch Youth Theatre Project**

**Background***:*

The Youth Theatre Project was run and designed by myself in my capacity as director of Flom Community Theatre and presented in conjunction with Changes Aftercare in Lynedoch near Stellenbosch. It was facilitated between 2007 and 2015. The programme incorporated, apart from theatre skills training development, drama therapy techniques, and also focused on identity creation and establishment, creation of narrative platforms and the development of various interpersonal and life skills. The programme culminated in two performances a year, showcasing the theatre techniques developed.

The theatre group was primarily created as a theatre skills training intervention programme for a community in crises. The participants of the group were all victims of abuse, marginalized, impoverished and historically disadvantaged. A high number of the participants also suffer from various learning disabilities as well as Foetal Alcohol Syndrome (FAS). Originally the programme was intended for youths between the ages of 9 and 13 who displayed behaviour and attitude problems, struggled in school, showed a general apathy and were on the verge of joining gangs. The participants were all from surrounding farms and attending a daily aftercare programme after school.

I was initially contacted by the youth development co-ordinator for the Lynedoch area near Stellenbosch in the Western Cape and asked to develop a programme that will "keep kids off the streets and allow them creative expression" (Private Communication 2007). After consultations with the co-ordinator, teachers and community workers, I devised a theatre skills training programme that would focus on identity creation and narrative establishment. This included the use of drama therapy techniques and the development of various interpersonal and life skills, allowing participants a narrative platform in the form of a performance at the end of six-month programme. The programme started with fifteen 11-year olds and ran for eight consecutive years, ending with 63 participants between the ages of 5 and 14.

The outcomes and aims of the programme were renegotiated every year, based on programme evaluations and in consultations with the youth workers and youth co-ordinator. The basis of the programme remained that same: a 12-month project which consisted of two 6-month programmes concerned with theatre skills training. The first six months focused on creating, devising and

developing own scripts for performance and the second six months focused on performing skills based on an already scripted performance text.

The children involved in the programme all went to the same school and aftercare programme; the school and aftercare programme were both situated on the premises of the Sustainability Institute. The Sustainability Institute instigated an aftercare programme for the vulnerable youth of the neighbouring communities, which provided them with a meal, as well as with supervision in a safe environment after school, after investigating the dire circumstances in which some of the children lived.

The theatre programme was part of the aftercare programme and was fully supported by the youth co-ordinator and community workers of the programme. After three years I linked a literacy programme to the theatre programme, after noticing the very low levels of basic skills of the drama participants. The two programmes were interwoven and participation in either meant partaking in the other.

**First Performance:**

The first performance of the Lynedoch Youth Theatre Group was a piece of workshopped theatre which consisted of six different storylines interwoven into one performance. The play was workshopped and created by the participants in the 12 weeks leading up to the performance and based on the experiences and circumstances of partaking children. Due to the capacity, age, experience and insight of the participants the narratives were not performed as an intertwined whole but performed as "stand-alone stories" one after the other. The play was set in a farmworkers village and was the stories of the different families living in each house. All the actors partook in all the performances, linking the different narratives.

As all the participants came from abusive home environments and since the subject matter was sensitive regarding their experiences, a psychologist and social worker volunteered their services for the duration of the conception phase to support the participants as needed.

The set, lighting and costumes were of very basic design in order to highlight the performance narratives, but also designed in such a way to incur minimum costs. The set was built to be representative of the participants' home environment and consisted of cardboard flats painted white to resemble farmworker houses on a wine farm. The set was dressed in three dilapidated tyres and a tired wooden bench.

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**Behavioural Change:**

The initial drama programme was deemed successful with regards to immediate observable behavioural and attitude changes as well as the development of interpersonal skills: participants' truancy records improved drastically, their academic performance increased, their attitude towards teachers, facilitators and older people in general improved a lot, fighting decreased, their interest levels in possible careers and outside interests peaked, they worked hard towards the performances, workshopped their own plays, gained confidence, developed and increased social and language skills and even won two awards at a local schools theatre competition.

To measure or assess the impact and/or success of the programmes diligent records were kept by the school, aftercare facilitators and the drama facilitator. There was a marked increase in school attendance and academic performance since the start of the programme in all the records of the participants. As I failed to establish an academic control group and an academic benchmark for the control group, I do not know if the upwards trend in school performance can be solely attributed to theatre's influence which aided with positive attitude shifts as well as better school attendance, or whether this upward trend was also representative of children who did not attend the programme.

Interviews with teachers and aftercare facilitators as well as records on detention and punishment were used to benchmark participants' data for the behavioural difficulties the programme was asked to address. The same data gathering method was used to assess or evaluate the effectiveness of the programme during the course thereof as well as at the end of the year.

One of the unintended outcomes of the programme was that participants became more and more interested in researching and role-playing careers that would not normally form part of their frame of reference. At the start of the programme only known and "popular" careers such as "teacher", "gangster", "shop owner", "taxi driver" and "police men" were portrayed with no interest in finding out more about the other careers and opportunities I presented to them.

In order to gauge an increase in self-confidence I observed the participation and skills development (or lack thereof) of participants during spontaneous improvisation sessions. Participants struggled to take part in spontaneous improvisations (participants sit in a circle, with the improvisation taking place in the middle of the circle between two group members. At any given time, a group member

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can shout freeze, and take the place of any of the frozen improvisers in the middle. They then must start a new improvisation based on the position they find themselves in at the start of the programme, forcing me into the position of power of having to freeze the improvisations and appoint a group member to join, usually with a lot of reluctance from the group member and lots of encouragement from me. Towards the end of the programme the power balance was restored to the participants, with me being reduced to an observer. The enthusiastic partaking in the game towards the end of the year, together with participants experimenting with ideas during the improvisation, demonstrated increased confidence and enhanced self-confidence. Their performances also improved tenfold between the first and second performance, less shyness to go on stage, able to articulate and project better, and less distracted by the audience, this also demonstrated an increase in self-confidence.

The evaluation of increased social and language skills was based on observations of interactions between participants during sessions and rehearsals, as well as on breaks. The group members seemed to interact more with each other verbally, listening to others' stories and replying. Teachers remarked that participants were more likely to get involved in verbal disagreements instead of physical altercations towards the end of the programme, showing improved verbal skills, but the same level of aggression!

Although the outcomes of an initial drama programme were met, i.e. changes in attitude and behaviour, and the first year of the programme deemed successful, it is not possible to attribute these immediate changes to the workings of the applied theatre programme alone. The Youth Co-ordinator that asked us to design and facilitate the applied theatre programme knew the circumstances and needs of the participants intimately and understood the need for external support. Upon receiving the project proposal and the outlines of sessions, she created a support plan that underwrote and encouraged any skills, knowledge or awareness developed and facilitated in the applied theatre programme. The programme would not have been as successful if the support structure hadn't been in place.

**Appendix D: Problems with evaluation of applied theatre, South African examples**

**Example 1: Lucky the Hero**

"Lucky, the Hero" was originally intended to be performed for farm workers of the Western Cape. The organisation claimed that monitoring and evaluation procedures had been built in from the start and that this proved the show's success in terms of impact, behavioural and attitude change (Aidscentre: 2010). The main aims of the performance seem to be awareness, motivation for HIV/AIDS testing, changing attitudes and behaviour towards those suffering from HIV/AIDS (Aidscentre: 2010) It should be noted that the performance was a once-off event without audience participation during the performance or an audience discussion afterwards.

Heloise Davis evaluated the performance of "Lucky, the Hero" for her master's thesis and described the monitoring and evaluation methods used to measure impact as "completing M&E Evaluation Sheets; filling out questionnaires[169] and/or conducting focus group interventions." (2012: 76) She also noted that around 10% of attendees was targeted for evaluation and that representatives of the Africa Centre filled in questionnaires for those attendees who lacked the basic skills to complete it themselves. Questionnaires were filled in either pre-and post-performance or only post-performance (2012: 76).

The first obvious problem with this evaluation method of the Africa Centre is that there seems to be no standard benchmark[170] setting for the measurement of a change in attitude or knowledge. The use of questionnaires is furthermore extremely problematic as literacy levels amongst farm workers are the lowest in the country[171]. The measures put in place by the Africa Centre to overcome this is open to misinterpretation as Davis states that interviewers provided assistance to all who were "unable to

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[169] The problem with questionnaires as evaluation methodology is in Chapter 2.

[170] Benchmark, according to Merriam-Webster's online dictionary is "a point of reference from which measurements are made". (2017) In terms of applied theatre assessment and evaluation the benchmark is the level of knowledge, current behaviour and/or attitudes of participants *before participation* in the programme, process or performance. When participants are assessed or evaluated after participation, practitioners are then able to see whether there is a change between the benchmark data and the data collected after the programme and make deductions based on quantifiable data.

[171] The Volksblad Newspaper quotes Agriseta (The Agricultural Sector's educational authority) as stating that a conservative estimate place 50% of all farmworkers as illiterate.

understand the questionnaires" (2012: 76). The questions[172] posed did not concern behaviour change, but were concerned with demographic information, the performance, knowledge, intended attitude change and intended behaviour change (2012: 77).

Focus groups, representing roughly 10% of the audience, are presented post-performance and are used by "skilled" interviewers to gauge the volunteers' "attitudes, beliefs and perceptions" (2012: 77) Another problematic factor is that more knowledge is imparted during group sessions, as participants receive the opportunity for question and answer sessions; and as such the attitudes, perceptions, knowledge and awareness will be different from those who just attended the performance. As no benchmark had been set before the show and because the methodology did very little but test comprehension of the performance, the researchers gained valuable ethno-social insight into a specific group or community. However, they have no way of measuring the impact of the show in this regard.

Davis, in contradiction to claims of behaviour and attitude change made by the performance, states that "measuring behavioural change did not form part of the protocol" (2012: 77) as this is time-consuming as well as costly. For the same reason the assessment of long-term results such as behavioural change was not included as part of the Africa Centre's evaluation methodology. (2012: 79) During a private communication with Davis in 2014, she confirmed that only context-based evaluation was used.

The real desire of the Africa Centre to monitor, assess and evaluate the performance is not in question, however, their claims of what the evaluation "proves" or measures, i.e. behavioural and attitude change through a once-off performance, are false and their choice in evaluation tools is not suitable for their target audience. Having seen the performance during rehearsal stage as well as during performance, it is obvious to me that the practitioners and outside evaluator lacked knowledge of all processes involved. The lack of knowledge about the target audience, the appropriate theatre processes to apply to foster potential social transformation and the choice of assessment and evaluation tools used point heavily to the "practitioner as saviour" dilemma, or the "outsider parachuted in" and as such ignorant of the grassroots conditions, including language and socio-economic factors. The outside evaluator provided only a narrative descriptive report of what and how

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[172] Examples of questions from the questionnaire: "Is Educational Theatre the right way to influence HIV/AIDS related behaviour positively?"; "Would this production encourage people to be more willing to shake hands with an HIV/AIDS infected person?"; "Would you be more alert about HIV/AIDS now that you have seen the play?" (2012: 132)

it had been done. It seems that she lacked knowledge and understanding of the methodology used as well as to the meaning of the terms *impact, attitude change* and *behavioural change*.

**Example 2: Karos & Kambro**

A South African example of the lack of an appropriate assessment and evaluation tool can be found with Karos & Kambro, a South African applied theatre organisation that uses skills development programmes to "provide a behaviour change vehicle and help to stimulate healing and a transformation process in the lives of vulnerable youths." (karosandkambro: 2013) They state that their programmes "are developed to change knowledge, skills, behaviour and attitude" (Maree 2016: 3).

The evaluation methodology used includes quantitative indications, audience response and questionnaires. However, during a meeting with Marelie Keller (2012) and conversations with Salomè Combrink (2010 – 2012), it is clear that they are aware of the inadequacies of the above evaluation methods and that they are actively searching for an evaluation method that effectively and accurately measure the impact of their programmes,[173] as well as the possible change brought about.

As of 2014, the following appears on their website[174] regarding their projects: "We follow a holistic approach to our skills and training programmes which are developed with specific measurable outcomes and assessment criteria. We have a well-designed M&E system to measure the impact and effectiveness of the programmes" (sic). Unfortunately no other information as to the type of measurable outcomes, assessment criteria and/or M&E system are available online and communication with both their operations manager and Combrink (private communication: 2017) confirm that they are still searching for an appropriate way to measure the impact of their work.

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[173] An independent impact assessment was done in 2008/9.

[174] http://www.karosandkambro.co.za/projects.php 2014

**Appendix E: Case Study 2: The Franschoek Drama Group**

*Background*

Youth Intervention Programme designed and facilitated by me for Flom Community Theatre for high school youths of La Motte near Franschoek, funded by Franco.

The La Motte community is extremely poor, being a former settlement for workers at a woodmill that has long since seized operations, but workers could keep their houses and received small retention packages. An unofficial survey by facilitators for Flom Community Theatre estimated the unemployment rate at between 70% and 80%. A myriad of socio-cultural-economic problems plague the community apart from unemployment, e.g. teenage pregnancy, alcohol and substance abuse, rape, theft, abuse, poverty, truancy and prostitution.

Although the programme was initially aimed at high school students, a second session was added to accommodate the primary school kids who came to watch in such great numbers that we were unable to proceed.

The attendance varied greatly from week to week, depending on home circumstances, e.g. having to look after the younger children, being sent to pick up something, having to cook or clean, as the parents did not buy into the applied theatre project. The high school group differed between 7 and 19 kids, mostly boys, and the primary school kids was between 20 and 35 kids.
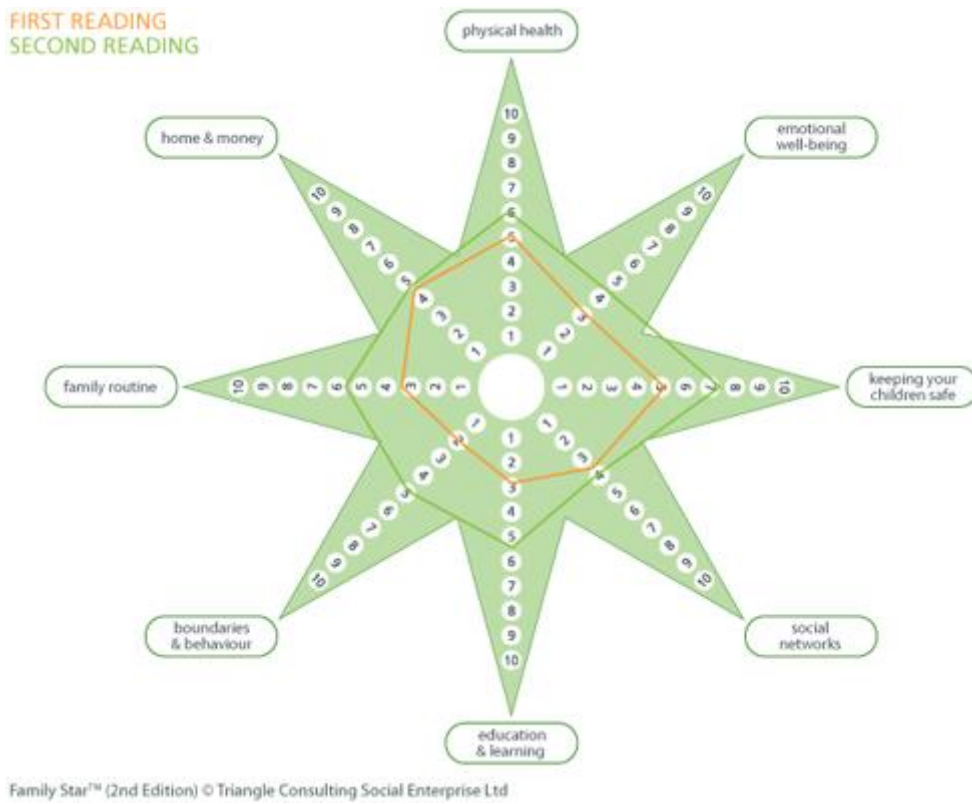
**Appendix F: The ADKAR assessment Test**

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## ADKAR ASSESSMENT

| Brief description of the change | |
| --- | --- |
| Notes: | |
| **Awareness** of the need for change | Score |
| Notes: | |
| **Desire** to make the change happen | Score |
| Notes: | |
| **Knowledge** about how to change | Score |
| Notes: | |
| **Ability** to change | Score |
| Notes: | |
| **Reinforcement** to retain change | Score |
| Notes: | |

**Awareness**

List the reasons you believe the change is necessary. Review these reasons and rate the degree to which this person is aware of them, or the need to change. (1 is no awareness, 5 is total awareness)

**Desire**

List the factors or consequences (good and bad) that create a desire for this change. Rate the person's desire to change, taking into consideration the motivating factors, but also their convictions and any associated consequences. (1 is no desire to change, 5 is strong desire)

**Knowledge**

List the skills and knowledge needed to support the change, including if the person has a clear picture of what the change looks like. Rate this person's knowledge or level of training in these areas. (1 is no knowledge, 5 is highly knowledgeable)

**Ability**

Considering the skills and knowledge identified in the previous question, evaluate the person's ability to perform these skills or act on this knowledge. Rate this person's ability to implement the new skills, knowledge and behaviors to support the change. (1 is no ability, 5 is very able)

**Reinforcement**

List the reinforcements that will help to retain the change. Are incentives in place to reinforce the change and make it stick? Rate the reinforcements and how they help support the change. (1 is not helpful, 5 is very helpful)

Once you have completed the table, take a moment to review the scores. Highlight all areas that scored a 3 or below. Start with your first highlighted area.

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## Appendix G:  The Outcomes Star

An example of a Family Star



Family Star™ (2nd Edition) © Triangle Consulting Social Enterprise Ltd

**Appendix H: Example of rating scale in self-efficacy to regulate exercise as proposed by Bandura (2006: 321)**

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## Self-Efficacy to Regulate Exercise

A number of situations are described below that can make it hard to stick to an exercise routine. Please rate in each of the blanks in the column how certain you are that you can get yourself to perform your exercise routine regularly (three or more times a week).

*Rate your degree of confidence by recording a number from 0 to 100 using the scale given below:*

| 0 | 10 | 20 | 30 | 40 | 50 | 60 | 70 | 80 | 90 | 100 |
|---|----|----|----|----|----|----|----|----|----|-----|
| Cannot do at all | | | | Moderately can do | | | | | Highly certain can do | |

|  | Confidence (0-100) |
|---|---|
| When I am feeling tired | _____ |
| When I am feeling under pressure from work | _____ |
| During bad weather | _____ |
| After recovering from an injury that caused me to stop exercising | _____ |
| During or after experiencing personal problems | _____ |
| When I am feeling depressed | _____ |
| When I am feeling anxious | _____ |
| After recovering from an illness that caused me to stop exercising | _____ |
| When I feel physical discomfort when I exercise | _____ |
| After a vacation | _____ |
| When I have too much work to do at home | _____ |
| When visitors are present | _____ |
| When there are other interesting things to do | _____ |
| If I don't reach my exercise goals | _____ |
| Without support from my family or friends | _____ |
| During a vacation | _____ |
| When I have other time commitments | _____ |
| After experiencing family problems | _____ |

**Appendix I: Example of practice rating in perceived efficacy scale and questions as proposed by Bandura (2006: 320)**

## Practice Rating

To familiarize yourself with the rating form, please complete this practice item first.

If you were asked to lift objects of different weights **right now**, how certain are you that you can lift each of the weights described below?

*Rate your degree of confidence by recording a number from 0 to 100 using the scale given below:*

| 0 | 10 | 20 | 30 | 40 | 50 | 60 | 70 | 80 | 90 | 100 |
|---|----|----|----|----|----|----|----|----|----|-----|
| Cannot<br>do at all | | | | Moderately<br>can do | | | | Highly certain<br>can do | | |

**Physical Strength**  **Confidence (0-100)**

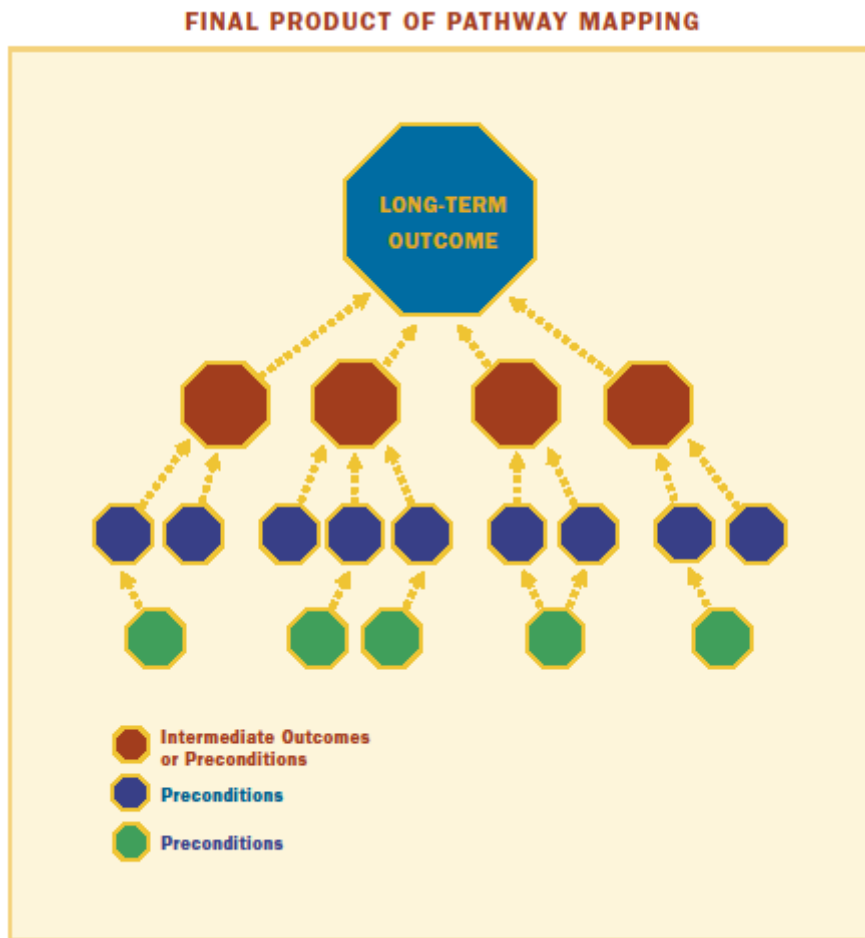| Physical Strength | Confidence (0-100) |
|---|---|
| Lift a **10** pound object | _____ |
| "  **20**  "  " | _____ |
| "  **50**  "  " | _____ |
| "  **80**  "  " | _____ |
| "  **100**  "  " | _____ |
| "  **150**  "  " | _____ |
| "  **200**  "  " | _____ |
| "  **300**  "  " | _____ |

**Appendix J: The Rickter® Scale**
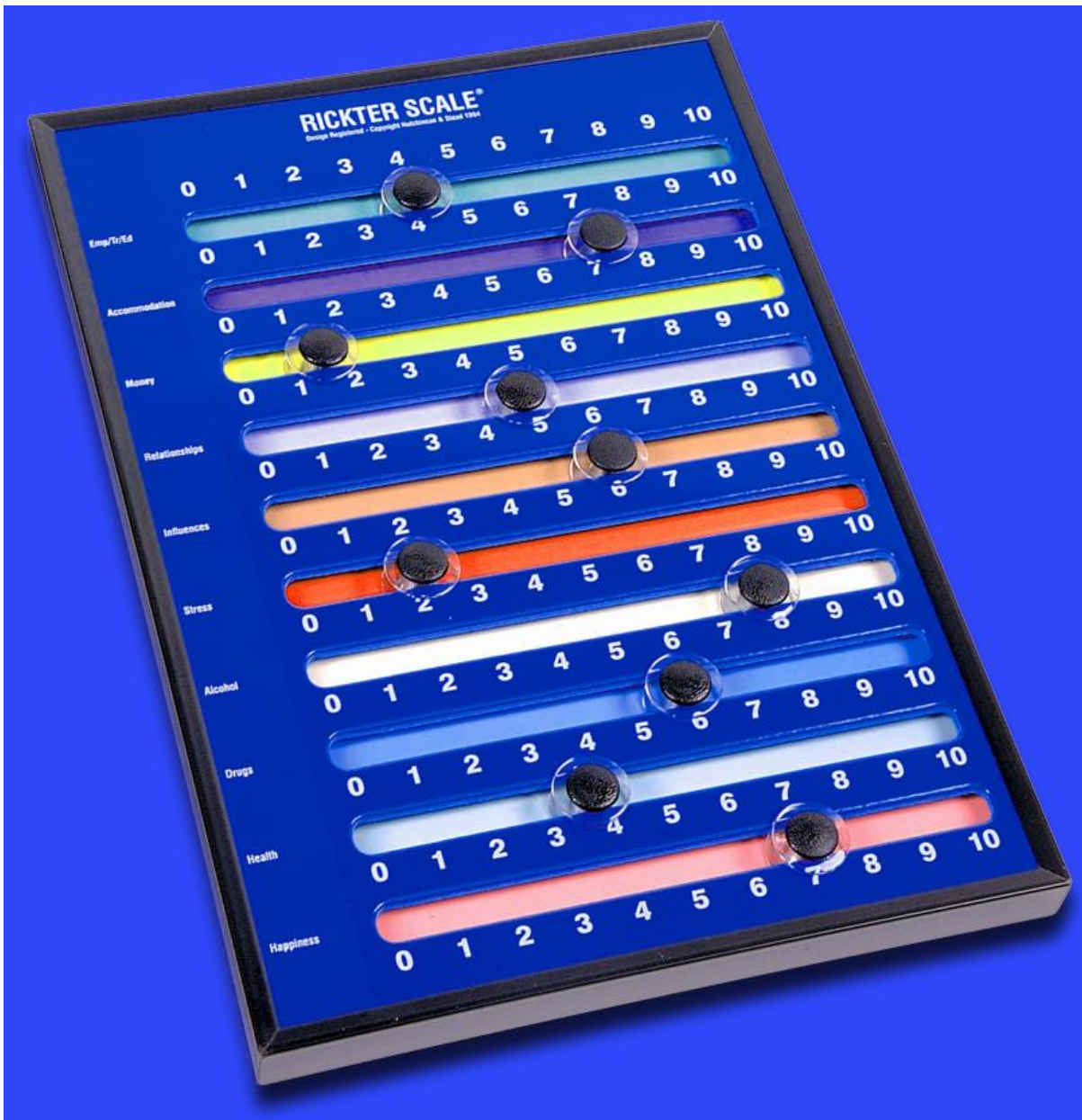


*A photo of a Rickter Scale as depicted on the developing company's website.*
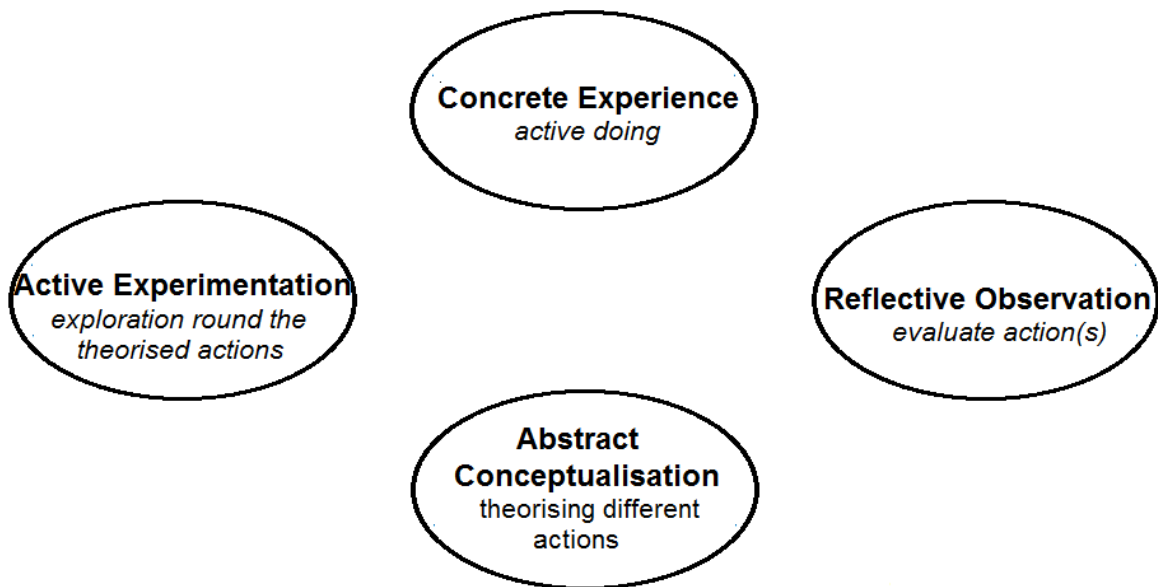
*(www.rickterscale.com 2017)*

## Appendix K: Pathway of Change

FINAL PRODUCT OF PATHWAY MAPPING

*(Anderson 2005: 4)*

**Appendix L: The Experiential Learning Cycle**

## The Experiental Learning Cycle
## David Kolb (1984)

**Concrete Experience**
*active doing*

**Active Experimentation**
*exploration round the*
*theorised actions*

**Reflective Observation**
*evaluate action(s)*

**Abstract**
**Conceptualisation**
theorising different
actions

**Appendix M: The Logical Model**

## LOGICAL MODEL

| OBJECTIVES | INDICATORS | MEANS OF VERIFICATION | ASSUMPTIONS |
|---|---|---|---|
| Goals | Impact Indicators | How will the data be collected on each indicator | External conditions needed for the goal to aid with the next intervention level. |
| Outcomes | Outcome Indicators | How will the data be collected on each indicator | External conditions needed for the goal to aid with the next intervention level, but which the programme has no control over. |
| Outputs | Output Indicators | How will the data be collected on each indicator | External factors which the programme has not control over which may hamper outcome achievement. |
| Activities | Process Indicators | How will the data be collected on each indicator | External factors which the programme has not control over which may hamper the progress of the programme. |

(IFRC 2011: 92)

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## Appendix N: The First Questionnaire

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**Please answer the following questionnaire with regards to the measurement of Applied Drama Programmes:**

1. Do you feel the need to measure the impact of your Applied Drama Programme(s)?

Yes_____    No_____
(Mark with an x)

(a) If you answered yes, would you please shortly state your main reason?

_____

_____

_____

2. Do you currently use a measurement tool to measure the impact of your Applied Drama programme(s)?                Yes_____    No_____

(a) If you answered yes, would you please identify the tool(s) you use?

_____

_____

_____

(b) What do you feel, if any, are the main weaknesses of your current measurement tool(s)?

_____

_____

_____

(c) What do you feel, if any, are the main strengths of your measurement tool(s)?

_____

_____

_____

(d) Have you used a different measurement tool in the past? If yes, please state shortly why you discontinued using it.

_____

_____

_____

3. Should a universal tool for the measurement of the impact of Applied Drama be developed, what are the two main characteristics you need it to have?

_____

_____

_____

4. Would you (and your stakeholders) benefit from an universal measurement tool? If yes, shortly state how you would benefit.

_____

_____

_____

5. Any additional comments

_____

_____

_____

## Appendix O: Online Survey

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**Applied Drama**

**1. Do you feel the need to measure the impact of your Applied Drama Programmes?**

☐ Yes

☐ No

Please give a short reason for your answer.

[          ]

**Next**

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**Applied Drama**

**2. Do you currently use a tool to measure the impact of your Applied Drama Programmes?**

☐ Yes

☐ No

If you answered yes, can you briefly describe the tool you are using?

[text box]

**3. What do you feel are the main weaknesses of your measurement tool?**

☐ No weaknesses

☐ Doesn't measure the programme outcomes

☐ Doesn't measure change

☐ It is difficult to use

☐ It takes too long

☐ It is not accurate

Other (please specify)

[text box]

**4. What do you feel are the main strengths of your measurement tool?**

☐ It is costum made to measure the impact of your programme

☐ It is an accurate measurement of the outcomes of your programme

☐ It is quick and easy to use

☐ It is reliable

Other (please specify)

[text box]

| Prev | Next |

**Applied Drama**

**5. Do you think an universal measurement tool is needed for Applied Drama Programmes?**

☐ Yes

☐ No

**6. If you answered yes, can you please list two characteristics that you think such a tool should have?**

**7. Would you and your stakeholders benefit from such a tool?**

☐ No, we wouldn't

☐ Yes, we would

If yes, shortly describe how you would benefit

Prev  Next

**Applied Drama**

**8. Please enter the name of the organisation you work for or represent if you feel comfortable doing so. (Not anwering this question will not influence the outcome of the survey in any way.)**

Prev     Next

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**Appendix P: Monitoring and Evaluation Charter**

The Africa Research Conference Ethics Working Group 2008 considered that the following issues should be given serious attention by all practitioners of applied drama at all stages of the process of intervention:

 ETHICS DECLARATION

Applied Drama and Theatre Charter for Ethical Practice

1. It is accepted that ethical principles as expressed through Human Rights declarations are fundamental to all research and intervention, but that their expression and lived experience is contingent and context bound.

2. There should be acknowledgement of the ideological basis of applied drama and theatre as embedded in Freirean principles of dialogue and empowerment, with the concomitant ethical principles.

3. It is recognised that applied drama interventions may have unequal power implications; practitioners should establish a spirit of mutual respect among all parties involved and all participants in the intervention should follow the principle of doing no harm.

4. There should be transparency about the purposes, intentions and methodology of the research/intervention wherever possible.

5. At all stages the participants' informed consent must be negotiated and a spirit of reciprocity and respect amongst all parties should be established.

6. There should be respect for intellectual property of and by all parties.

7. Practitioners should ensure that the research and intervention are culturally sensitive.

8. The results of the research should be returned to the community.

9. The benefits of the research should be shared with the community.

(http://www.dramaforlife.co.za/content/page/research-focus)