



SCOTTISH EXECUTIVE

# Scottish Compact Baseline Review

Social Justice



social  
research

# **SCOTTISH COMPACT BASELINE REVIEW**

**Keith Hayton**

**GEN Consulting**

**Scottish Executive Social Research  
2003**

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# **EXECUTIVE SUMMARY**

## **INTRODUCTION**

1. The Baseline Review was commissioned from GEN Consulting to develop recommendations for setting up a monitoring and evaluation framework for the Scottish Compact.
2. The Compact was launched in 1998 and sets out a framework of principles covering the working relationships between central government, Non-Departmental Public Bodies (NDPBs) and its agencies in Scotland and the community and voluntary sectors. These principles are outlined in the formal Compact documents and a series of Good Practice Guides. They aim to develop better mutual understanding and confidence. As such the Compact development process is about relationship building and maintenance.
3. The Review involved a number of elements. These included: a literature review; a comparative analysis of other compacts; an appraisal of the various datasets held by the Executive and others; an assessment of the extent to which the datasets could be used for monitoring and evaluation purposes; and the formulation of a series of monitoring and evaluation recommendations.

## **COMPARATIVE ANALYSIS**

4. The comparative analysis involved looking at the other national compacts in the United Kingdom and the Canadian Compact. From this it proved possible to formulate a generalised model of compact development. The start of the process is invariably discussion between the sector and government out of which comes some commitment to set up a compact. The formal compact is then produced. If this is not produced jointly, by the sector and government, then there is, at least, consultation between the 2 parties. The compact is then implemented through the production of good practice guides, the commonest of which invariably deals with finance.
5. All of the compacts analysed followed this model. Thereafter practices differ. Some, for example the English Compact, produce an annual action plan which details what needs to be done to implement the compact over the next year. This is usually linked to some form of review process, in effect monitoring. Some compacts then link the review into an annual meeting. This often brings together senior politicians (government ministers in the case of the English Compact) and senior representatives of the sector. Progress is discussed, a report of the meeting published and the next year's action plan formulated. The cycle of implementation then continues.
6. All compacts recognise the importance of monitoring and evaluation. Where monitoring has been undertaken, for example in Scotland and England, this has involved surveys of the sector and government. The extent to which the outputs of monitoring (or review as it is often called) feed into the compact implementation process varies. For example, the review undertaken of the Scottish Compact does not seem to have influenced the implementation process. This does, however, happen in England and Wales. All

compacts have a commitment to evaluation. None have yet undertaken any, nor do any seem to have firm ideas about either the process or the content of such an evaluation.

7. The compacts were compared on a variety of development and process criteria. The key points are that:-

- Only 1 compact, that in Northern Ireland, was preceded by a baseline survey which provided a snap shot of relations between the sector and government;
- Only the Welsh compact has a statutory basis, there being a commitment in the 1998 Government of Wales Act to have a scheme which is to promote the interests of the voluntary sector;
- 3 out of the 5 compacts are symmetrical, that is they set out the obligations of both the sector and government. The other 2 seem to see the compact as being less a partnership than a set of guidelines to which government is to conform in its dealings with the sector;
- The numbers of codes of practice vary from 1 to 4, albeit that this comparison may be slightly misleading as the detail in some of the formal compact documents means that they are almost codes of practice;
- The extent to which the codes are symmetrical, that is outline what is expected of both parties to the partnership, again varies, with only 2 of the compacts being judged to be symmetrical. The Scottish Compact was classed as asymmetrical, albeit that the Scottish Council for Voluntary Organisations (SCVO) had produced guidance outlining the sector's commitments under the Compact. Although this was useful, it was felt that it diluted the Compact's message and potentially fragmented its impact;
- 3 of the compacts had action plans which broke the implementation process into tangible parts. Often these plans identified who was responsible for implementation and set time scales;
- Annual reviews and reports were produced for 4 of the 5 compacts, albeit that in some instances, such as Scotland, these did not seem to be linked into the implementation process; and
- Finally a judgement was made as to the extent to which there was involvement of elected politicians in the implementation process. In Wales and England this was classed as "high" in that senior politicians had major involvement in the process, often chairing annual meetings to review progress. In Scotland involvement was felt to be low. This is not to suggest that there is not contact between politicians and the sector, but that there seems to be little contact under the Compact "badge".

## **THE AREAS FOR MONITORING AND EVALUATION**

8. A variety of information was synthesised to identify the main areas that monitoring and evaluation should focus upon. Eight main areas were identified:-

- **Awareness** of the compact, which was seen as being the start of any relationship building process;
- **Dissemination**, that is the extent to which the knowledge and awareness of the compact permeates through an organisation, especially to the front-line staff;

- **Usage** was seen as being a critical measure, as it was likely that there would be limited impact, regardless of the extent to which there was awareness of the compact, if the parties to it made limited use of it;
- **Usefulness** then needs to be considered, that is the extent to which the partners find the compact of use in their dealings with the one another;
- The **good practice guides**, given that they are often the most tangible and detailed aspect of the compact, then need to be considered in terms of: the extent to which they have been **used**; and the **impact** that they have had;
- Given that the compacts are about relationship building **Mutual Understanding** then needs to be considered, that is the extent to which the partners have developed a better understanding and awareness of one another;
- **Confidence**, (the day-to-day functioning of the relationship) needs to be considered; and
- Finally **Trust**, that is the ultimate goal of the compact, needs to be assessed, with the development of trust being the culmination of confidence.

It is felt that the above cover all of the various ways in which the compact can be defined, that is: as state of mind; the formal document; the good practice guides; and, implicitly, through the supporting documentation.

## **MONITORING AND EVALUATION INFORMATION**

9. A variety of information sources were evaluated to see if they could be used to provide information for monitoring and evaluation of the Scottish Compact. The majority of the sources had been set up for non-compact specific purposes. As such it was felt that they were of some, although limited, use in an unmodified form. The exception was the Indirect Funding database, which deals with projects funded by Executive sponsored NDPBs and agencies. Over 85% of funding was not disaggregated to specific end users. As such it was felt to be of little use.

10. A variety of indicators were proposed that could be either drawn directly, or derived, from 2 main data sources: the Direct Funding database (which contains details of voluntary organisations directly funded by the Executive) and the soon to be set up Consultation Registration and Evaluation System (which will log information about forthcoming consultations and then summarise the consultation process and its impact).

11. A total of 34 indicators were identified and each was linked to the key areas for monitoring and evaluation, as outlined in Paragraph 8. For some of the indicators to be operationalised additional information needed to be collected whilst others required modifications to the data collection forms. The suggested changes are detailed in the full report.

## **DEVELOPING A SAMPLING FRAMEWORK**

12. Defining the partners to the Compact is easily done at a strategic level. However once one begins to unpick the “voluntary and community sectors”, and “government”, the situation becomes more complex.

13. Given that the voluntary sector is so large, it being estimated that there are in excess of 20,000 individual organisations, monitoring and evaluation needs to be based on a sample of the sector. To identify a voluntary sector sampling framework a variety of networks were analysed, and the advantages and disadvantages of each outlined. Although the Compact explicitly accepts that not all voluntary organisations will want partnership with government, the view was taken that the entire sector is affected by government. The intensity of this impact will clearly vary and some parts of the sector will be far more enthusiastic about developing close links with government than will others. However it was felt that the Compact is relevant to all voluntary and community organisations. If this is accepted, then the crucial factor for any sampling framework is that it is representative of the sector and does not give undue weight to various sub-groups: for example national organisations or ones funded by the Executive. It was felt that the most cost effective way of developing a sample framework was for the Executive to work with SCVO in order to make use of one of its data collection networks. The suggestion is that this be the Workforce Panel which is currently being set up.

14. The government parties to the Compact are more easily identified. However it can be argued that it would be difficult to identify individuals within large organisations who are aware of the Compact and are involved in its implementation. Whilst this may be the case, it was felt that this reflected failures of internal management and an unwillingness to take on board the commitments contained within the Compact. Accordingly it was recommended that monitoring and evaluation should include all parts of government covered by the Compact, rather than being based on a sample.

## **RECOMMENDATIONS**

15. A number of Recommendations were then formulated. These were seen as being ones that had minimum resource implications and, as far as possible, made use of existing information. In some respects the Recommendations exceed the brief in so far as they deal with issues of process and procedures. However it was felt that the Compact needed to be “sharpened up” and its implementation made less permissive, if it were to be capable of being monitored and evaluated.

16. The key Recommendations for process and procedures are that:-

- The Compact and associated Good Practice Guides be revised and updated. The revised versions need to be symmetrical, identifying the commitments of both government and the sector;
- An Annual Compact implementation Action Plan be drawn up;
- There is an Annual Meeting which brings together the sector, senior politicians and civil servants and senior management from NDPBs and agencies. This would discuss progress in implementing the Action Plan and associated issues. The outcome of the Meeting would feed into the next year’s Plan; and
- Within each government organisation a Compact champion be identified who will have responsibility for ensuring that it is implemented.

17. The Recommendations related to monitoring are that:-

- A number of direct and indirect monitoring indicators be derived from the Executive's information sources and that additional information be collected that relates specifically to the content of some of the Good Practice Guides;
- The key monitoring mechanism should be an Annual Monitoring Survey that would be distributed and analysed electronically. As far as possible this would ask identical questions of the sector and government. The survey of the sector should be based upon a sample derived following consultation between the Executive and SCVO. The government survey should be a census;
- The survey should be augmented by 3 Focus Groups that would be convened every 2 years and would cover different types of geographical area.

18. Collating a Baseline for the Compact is difficult, given the length of time that has passed since it was first introduced. Accordingly the Recommendation is that:-

- The baseline is based upon the responses to the first electronic survey, supplemented by information derived from the proposed indicators and contextual information collated from other sources.

19. The approach to monitoring proposed blends summative and formative evaluation. Given this, it is felt that formulating a separate evaluation framework was of limited importance. Accordingly it is recommended that:-

- Evaluation is based upon surveys and interviews which analyse the processes within a sample of voluntary organisations, government departments, agencies and NDPBs. These would be augmented by case studies.

20. Fuller details of the Recommendations and the reasoning behind them are given in the main sections of the report.

## **CHAPTER ONE INTRODUCTION**

1.1 This is the Draft Final Report of the Scottish Compact Baseline Review, submitted to Frauke Sinclair of Social Research's Social Justice: Social Inclusion and Voluntary Issues Branch by GEN Consulting.

1.2 The Review brief contained the following elements:-

- A comparative analysis, looking at the development of monitoring and evaluation frameworks in other national compacts;
- Development of indicators that could be used to inform the monitoring and evaluation process;
- An appraisal of existing information sources and the extent to which they would lend themselves to being used for monitoring and evaluation purposes;
- The formulation of a series of monitoring and evaluation indicators; and
- The development of a number of evaluation frameworks.

1.3 The Review attempted to cover all of these elements. However, in the course of the work it became apparent that some parts were of less relevance than had initially been supposed. For example the appraisal of the existing information sources found that most were of limited use for monitoring and evaluation purposes. It also became clear that to base monitoring solely upon the existing Compact documentation would be misleading as this tended to be very one-sided: being largely focused upon government commitments, rather than the commitments of both partners to the Compact.

1.4 Accordingly the Review deals with some aspects of the original brief in less detail than originally envisaged. It also exceeds some parts of the brief by making a number of recommendations for Compact development, for example the formulation of an Action Plan. Having such a Plan, it is felt, would be very beneficial for monitoring and evaluation.

## **METHODOLOGY**

1.5 The Review involved the collection of information and opinions in a variety of ways:-

- Extensive literature searches using the Web and conventional libraries;
- A number of telephone and email interviews/surveys with people involved in compact developments throughout the United Kingdom and Canada;
- Analysis of a number of information networks and sources;
- A limited number of face-to-face-interviews; and
- A small email survey of members of the Compact Review Group. As of the date of this Report 8 responses had been received.

## THE REVIEW'S STRUCTURE

1.6 The Review contains 8 Chapters (including this one). They cover:-

- Chapter 2 is a literature review looking at some of the background to Compact development and the main issues in implementation, monitoring and evaluation;
- Chapter 3 follows this up by looking in detail at the development of the 4 national Compacts in the United Kingdom and the Canadian Compact;
- Chapter 4 looks in more detail at the issues surrounding monitoring and evaluation dealing with such things as what the Compact is, its scope and cause and effect. It finishes by synthesising information from the earlier Chapters and highlights the key areas that any monitoring and evaluation framework needs to cover;
- Having identified the key areas Chapter 5 looks at the information that is available that might have potential to be used for monitoring and evaluation purposes. The conclusion is that existing information is of limited use and monitoring therefore needs to be based on some form of survey;
- Chapter 6 then considers the shape of any survey sample framework that might be used in monitoring and evaluation. It is suggested that a sample of the voluntary sector be covered but that all of government be surveyed;
- Chapter 7 considers the development of monitoring and evaluation indicators and frameworks; and
- Chapter 8 then draws conclusions and makes a number of recommendations intended both to facilitate Compact monitoring and evaluation and to make the Compact implementation process more effective.

1.7 In addition there are 2 Appendices. The first of these gives details of the development of the Edinburgh Compact whilst the second contains a sample survey that could be used to gather monitoring information.

1.8 Throughout the Review the community and voluntary sectors are generally referred to as “the sector” whilst the term Compact is used for agreements between government and the sector, albeit that different countries often use different names (for example the Accord in Canada).

## CHAPTER TWO                      BACKGROUND AND ISSUES

*“Evaluating compacts is not easy. It is extremely difficult to tell what achievements can be ascribed to the compact and what to the rest of the modernisation and partnership agenda”,*  
(Craig, et al, 2002, p.21)

### INTRODUCTION

2.1     Since the Labour Party won the General Election in 1997 there has been increasing interest in developing closer relations between government and the voluntary and community sectors. At one level this can be seen as an example of the commitment to new styles of government and a new political landscape that was set out in the Labour Party’s manifesto. As well as devolution and reform of the House of Lords, this included commitments to participative as well as representative democracy. However the idea of a formal agreement between the voluntary sector and government was first floated by the Commission on the Future of the Voluntary Sector in 1996 (the Deakin Commission). Implicit in this was the view that the sector should have a role in policy formulation, rather than simply implementing policy that had been devised, in isolation, by government. Following the 1997 general election there was rapid movement by national government and the sector which culminated in the publication of a national agreement, or compact, in England in November 1998 (see Hems, 2002, NCVO, 2002 and Osborne et al, 2002 for details). Although this was an attempt to codify and formalise the sector-government relationship, in many respects it can be seen as a culmination of efforts to involve the wider community more fully in policy formulation and implementation that had been developing in a host of economic development and regeneration initiatives since the early 1980s. However, politically it may have been more attractive to New Labour to have a formal agreement between the voluntary sector, with its representative organisations and communications networks, rather than the less well defined “community”.

2.2     There were parallel changes elsewhere in the United Kingdom, some of which predated English activity. Local government reorganisation in Scotland saw the publication of a Positive Partnership statement by the Convention of Scottish Local Authorities (CoSLA) and the Scottish Council for Voluntary Organisations (SCVO) in 1995. This outlined a number of undertakings that the new Councils and voluntary organisations would commit themselves to. There were similar developments elsewhere in the world. For example in Canada the Voluntary Sector Roundtable was created in 1995 to bring together a cross section of the sector to work towards enhancing and strengthening the relationship with government. This culminated in the launching of an Accord in late 2001 (Voluntary Sector Canada, 2002).

2.3     Despite the increasing interest from government, and the sector, in developing some form of formalised agreements, academic commentary tends to be polarised. At one extreme is the view that compacts are about replacing existing government mechanisms and methods of working with new democratic structures which are based upon participative rather than representative democracy. In this model the voluntary sector is not just an implementer of policy but an active participant in its formulation so that it becomes more effective in meeting the needs of the target client group. This is closely linked to wider political agendas such as modernising government and best value and therefore coincides with New Labour’s views on

governance as outlined in its manifesto. At the other extreme is the view, probably most coherently outlined by Ralf Dahrendorf in 2001. He sees compacts as a way of subverting the sector and subsuming it into government (Dahrendorf, 2001). Thus he sees the “compact sector” as being fundamentally linked to the purposes of government, whilst those groups and organisations that do not become involved in compacts represent “free and charitable activity” (Taylor, et al, 2002, p. 2). Commentators sharing Dahrendorf’s opinions see compacts as being a way of obscuring the imbalance of power between the voluntary and community sectors and government. As with all such polarised arguments, there are probably elements of truth on both sides, with the reality, possibly, lying somewhere in between.

2.4 One’s opinions on the motives for setting up compacts may also be affected by perceptions of the government’s objectives for wanting them, the extent to which there is seen to be political commitment to make them work and the differing expectations of the various partners in the compact process. Given the scope for interpretation of these issues it is perhaps not surprising that ambiguous, and perhaps conflicting, messages can be sent to the various partners which, in turn, colour opinions.

## **COMPACT DEVELOPMENT**

2.5 Regardless of these polarised views, compacts are now in the process of being rolled out across the United Kingdom at various levels of government. For example:-

- There are now 4 national compacts;
- There are a growing number of local compacts between local government and the voluntary sector, although, as yet, there seem to be none in Scotland. For example, the National Council for Voluntary Organisations has 53 compacts on its register (NCVO, 2002). In Scotland the approach has been for the unitary authorities to adopt policy statements on relationships with the voluntary sector in line with the Positive Partnership Statement (CoSLA and SCVO, 1995). By early 1998, 26 of the 32 unitary authorities had done this (Craig et al, 1999). However it seems that adherence to these is mixed. Some authorities are felt by the sector to have been in breach of the Statements, yet there is nothing that can be done to enforce compliance. It may be for this reason that in a number of areas moves are now underway to translate these Statements into formal compacts. For example discussions are currently at an early stage in Borders and West Dunbartonshire (where the emphasis is upon the social economy) whilst Edinburgh seems to be the most advanced. Indeed the Edinburgh Compact seems to be the only one in Scotland that is to bring together the local authority, a range of other public bodies and the voluntary sector (see Appendix 1 for further details) in an approach that is modelled on community planning. In part the move towards setting up formal compacts reflects a view that, whilst local agreements have been useful, they have not resulted in the type of cultural and practical changes that are needed if the relationship between the local state and the sector is to be recast;
- A number of other public bodies, for example health service providers, are beginning to produce compacts to formalise their relationship with community and voluntary groups that are involved in complementary service provision (Rickford, 2001); and
- In addition to these formal compacts there is a proliferation of other agreements between various sectors often related to specific initiatives such as the English

Local Strategic Partnerships<sup>1</sup> (LSPs). This reflects a formalisation of the type of partnership arrangements that have become increasingly characteristic of most economic development and renewal initiatives.

2.6 Undoubtedly the growth of these arrangements has been stimulated by the guidance produced by such bodies as the Local Government Association, SCVO and the Executive (see for example, Local Government Association, 2000, SCVO, 2001 and Scottish Executive, 2000). There is, therefore, now a proliferation of advice and good practice guidance on compacts, albeit that much of it is aimed at local, rather than national, agreements. However, when talking about compact implementation, it has been stated that it would be possible to produce “great compact documents but not great ‘compacts’” (quoted in Osborne et al, 2002). “Great compacts” imply that the spirit of the compact can be incorporated into policy. Changes in the relations between government and the community and voluntary sectors then come about. For this to happen there has to be a growth in mutual trust and confidence between the 2 parties. Essentially, therefore, the process of Compact implementation is one of relationship building, something that both Good (2001) and Hems (2002) highlight. Despite this recognition, there is a danger that progress in implementation is restricted as there is too much focus on the documentation, with the compact being seen as the document rather than the process and the changes in culture and mutual understanding that implementation brings about (Hems, 2002 and Osborne et al, 2002). The only way to assess these changes is to undertake ongoing monitoring and eventual evaluation.

## **MONITORING AND EVALUATION**

2.7 Most of the literature dealing with compacts identifies the importance of undertaking monitoring and evaluation. Despite this, progress to date seems to have been very limited. For example Craig et al, (2002) state that implementation plans and review mechanisms are a long way down the line whilst Osborne et al (2002) state that there is “an urgent need” (p.61) to develop “a model and tools for evaluating the effectiveness, or otherwise, both of the compact process and of local compacts” (p. 61). In their review of compacts Craig et al (1999) highlight the importance of monitoring and review as did a number of the local authority respondents to their study. Although their report does not give details of the type of monitoring undertaken they do make a number of recommendations. These include:-

- The setting up of an on-going forum to bring together all sides to monitor the compact. This should be paralleled by similar structures within the local authority and the voluntary and community sectors, albeit that the justification for these parallel structures is not made clear;
- Having an action plan or codes of practice which will translate statements of principle into actions that can then be monitored. They also suggest that this should be linked to a timetable; and

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<sup>1</sup> In England the LSPs are led by the relevant local authority and cover the whole of the authority’s area. They aim to provide a strategic overview, setting the context for individual regeneration initiatives. To ensure that the voluntary and community sectors are represented the Neighbourhood Renewal Unit has provided £36 million (through the Community Empowerment Fund) to set up community networks in the 88 Neighbourhood Renewal Fund districts. Each LSP is expected to have a formal agreement with the network and include elected network representatives on its management structures. The nearest equivalents in Scotland are the community planning partnerships.

- The need for periodic review, by which one assumes they mean formative evaluation (see Paragraph 4.2). Apparently arrangements for review were very variable in the compacts they researched. Despite review being seen as a key part of the compact process, often there was no review commitment incorporated into the compact agreements and codes of practice.

2.8 The authors felt that implicit in initiating and undertaking a review is the notion of sanctions. Thus if the review process finds that the compact is not being adhered to what happens? Clearly it would seem important for the credibility of the compact, and the compact process, that there are some “teeth”. If not then it would seem to be all too easy for those who are sceptical about the process to avoid involvement in it. The lack of effective “teeth” may be one of the reasons for the recent establishment of the English compact advisory service whose remit is to “battle on behalf of charities that feel hard done by in their dealings with government” (McCurry, 2002, p. 10). However practices do seem to differ throughout the United Kingdom. For example in Wales it is felt that, given the role of the National Assembly in the Voluntary Sector Scheme (the Welsh version of the compact), any perceived breaches could be dealt with through the Assembly’s formal complaints procedures. In England, as Hems outlines in some detail (2002), there was considerable debate, and tension, between those who wanted some form of arbitration process and government which was only willing to commit itself to mediation. The view in Scotland is that the Compact is for guidance only. As such there are no sanctions for non-compliance.

2.9 In a later study a number of indicators were identified that could be used to assess progress in local compact development (Craig et al, 2002). These were:-

- Information and promotion;
- All voluntary and community organisations knowing of the compact and how they could use it;
- All local authority departments knowing about the compact;
- There being staff in the local authority with specific responsibilities for the voluntary and community sectors;
- Involvement of a range of organisations in the compact, not just the ones funded by the local authority;
- Evidence of energy being put into engagement with different interest groups;
- Demand for involvement in the compact, both from other agencies and from voluntary and community groups;
- Evidence of the compact influencing other initiatives; and
- Visible gains for the wider community.

2.10 What is evident from these indicators is their variability. Some, for example there being staff with specific responsibility for the compact, are easily measurable. Many of the others, such as evidence of impact on other initiatives, are far more difficult to measure. In this the study is following the path taken by much of the academic writing on compacts: recognition of the importance of monitoring and evaluation but little indication, or awareness, of how it can be undertaken in practical terms. Unfortunately this seems to be a reasonable reflection of what actually happens on the ground.

2.11 Even the practical advice from government bodies on monitoring and evaluation tends to be vague. For example the Local Government Association (2000) suggest that there be an

annual review with information being obtained through surveys of public bodies and the voluntary and community sector. Such surveys should cover:-

- Awareness of the compact;
- The extent to which it has been perceived to have been useful over the last year;
- Changes in relations with local public bodies; and
- Ideas for next steps in implementation.

2.12 The Association proposed that the review should cover such things as:-

- How the government-voluntary sector relationship is now perceived;
- Significant achievements of the compact;
- Identifying major issues that have impacted on the sector over the year;
- Identifying difficulties and missed opportunities that can be learnt from;
- Identifying issues that are likely to impact upon the sector in the coming year.

2.13 Surprisingly, given that the Association suggests that there be an action plan with specific annual targets, no mention is made of reviewing the extent to which these targets have been met over the past year. Although talking about monitoring and evaluation in generalities is prevalent in the literature, a clearer insight into specifics can be gained when the concerns about compacts and their implementation are considered.

## **COMPACT ISSUES**

2.14 Academic and professional commentators on compacts identify a variety of issues regarding the compact process and its implementation. Many of these are written very much from a voluntary sector perspective, there often being limited appreciation (or even perhaps understanding?) that a compact involves at least two parties and the changes in culture and attitudes necessary to make it work are not solely limited to government but should also permeate the voluntary and community sectors. However, the issues identified might be a useful start to the process of devising monitoring indicators. Synthesising a variety of writings (Craig et al, 1999, Craig et al, 2002, Hems, 2002, Hunter, 2000, McCurry, 2001 and 2002, Osborne et al, 2002) the following emerge as the main issues:-

- A lack of awareness amongst smaller organisations of the compact;
- The corollary of this is that often compacts are structured and implemented in such a way that they are dominated by the “institutional voluntary sector” (McCurry, 2002, p. 11). This is seen as the large well funded bodies and umbrella groups. The concern is that smaller groups are then marginalised;
- Closely related to this is the view that black and ethnic minority groups are underrepresented;
- A dominance of many compacts by funding issues. From this it follows that organisations that are not receiving funding from the compact partners are excluded from broader discussions on policy;
- The dependency of many organisations, especially smaller ones, upon government funding may compromise their ability to become involved in policy discussions;
- A feeling that, despite the existence of a compact, often consultation has no impact upon policy. Related to this are concerns that: there can be too much

consultation, which may be a significant problem for small groups with few, if any permanent staff; the timescale for responses may be too short; and even when groups have responded, there may be no, or limited, feedback so that the impact of an individual group's response may be difficult, if not impossible, to identify;

- The compact may not be deeply embedded in an organisation. Thus senior management may be aware of the compact but the frontline staff, whose actions are crucial to its implementation, may be unaware, or only vaguely aware, of it;
- Although many commentators suggest there is a need for a compact "champion" within government agencies the danger may be that the compact becomes associated with that individual. Staff changes may then mean that commitment is lost. There is therefore a need to ensure that compacts are embedded in organisations and this embedding is independent of personalities; and
- The lack of sanctions, or procedures, for resolving disputes when actions are taken that are felt (whatever the merits of the case) to go against the spirit of the compact. The need for some mechanism to resolve disputes is something that the Local Government Associations' Guidelines identifies as an issue (Local Government Association, 2000).

2.15 Given that the key research studies covered Scotland as well as England (in particular Craig, et al, 1999 and Hems, 2002) the issues identified above are equally applicable to the Scottish Compact.

## **GOOD PRACTICE**

2.16 As well as identifying issues that might be useful in devising indicators some authors have also outlined good practices that could be built upon in devising monitoring and evaluation frameworks. For example Craig et al (2002) identify the following, that:-

- The compact should have an action plan associated with it. This should have targets and goals. Implicit in this suggestion is that the targets be monitored and action taken if they are not being met;
- Within each agency that is a compact partner there should be someone with specific responsibility for the compact. This relates to the need identified earlier for a compact "champion";
- Each agency should have some internal process whereby the compacts' content and its implications for the agency can be disseminated; and
- Every 3 years there should be a fundamental review, by which one assumes they mean an evaluation of the compact and its impact.

## **CONCLUSIONS**

2.17 There is a growing literature on compacts. This covers academic commentaries and research and advice from government and the voluntary sector on all stages of development and implementation. Yet, whilst there is general recognition of the need for monitoring and evaluation, advice and guidance on the practicalities of doing this are vague. There is an emerging view of the need for structures, for example action plans and targets, which can form the basis of a monitoring (and perhaps evaluation) system. However guidance on specifics is generally absent. In part this is simply a reflection of practice. To date it seems as

if time has been spent setting up compacts and preparing the documentation. Only now is thought been given to assessing the impact they have. It therefore seems clear that the next stage in compact development is devising systems and structures for measuring impacts. The next Chapter begins to consider how this might be done by looking at the development of compacts in the United Kingdom and Canada.

## **CHAPTER THREE      COMPARATIVE ANALYSIS**

3.1      The purpose of this Chapter is to: briefly outline how other national compacts have developed, highlight some of the key processes and outputs that are relevant to monitoring and evaluation; draw comparisons and then look at some of the lessons that might be transferable to the Scottish Compact. For the sake of clarity the various national agreements are referred to as compacts, even though they often go under different names. The Chapter starts by looking at the English Compact and then considers those in Wales, Northern Ireland, Scotland and finally Canada.

### **THE ENGLISH COMPACT**

3.2      The English Compact is certainly the best documented of all of those in the United Kingdom. Indeed it tends to dominate the academic and research literature. The Compact was published in November 1998 but, as elsewhere, it was based on earlier initiatives. The key ones in England, (which also had an impact upon other parts of the United Kingdom prior to devolution), were the Labour Party's "Building the Future Together" project that started in 1994, overseen by Alun Michael M.P., and the Deakin Commission on the "Future of the Voluntary Sector" which was set up in 1995. One recommendation arising from Deakin was that there should be a formal agreement between the sector and government, set out in the form of a framework or concordat (Commission on the Future of the Voluntary Sector, 1996). This was then picked up by Michael and incorporated into "Building the Future". In parallel with these political moves the voluntary sector, under the auspices of the National Council for Voluntary Organisations, began to meet to pursue the idea of a sector-government agreement. By now this had become known as a compact. The election of the Labour Government in 1997 saw a Ministerial Taskforce established to look at government-sector relations. At the same time the sector produced a draft compact, in 1998, which it then circulated for comments. Given that the sector, and government, were in broad agreement it is not surprising that very soon afterwards (November) the Compact was launched. However, despite the long standing interest in developing closer links between the sector and government, no baseline information was collected prior to the launch. Monitoring of the relationship between government and the sector, as opposed to specific actions, is therefore problematical.

3.3      The Compact itself, like most others, takes the form of a memorandum between government and the sector. It has no statutory or legal status but derives its authority from "its endorsement by Government and by the voluntary and community sector" (Home Office, 1998, Paragraph 2). The document sets out a series of shared principles, for example that an independent and diverse voluntary sector is fundamental to the well being of society. It then gives specific undertakings by government and the sector. For example, government commits itself to reviewing the Compact's operations annually whilst the sector makes a similar commitment.

3.4      One of the contentious areas in the Compact's development was the resolution of disagreements. The Compact states that, as far as possible, these should be resolved between the concerned parties. Mediation is suggested as a way of helping this process. Where behaviour that contravenes the Compact is thought to constitute maladministration then a complaint may be made to the Parliamentary Commissioner for Administration. However,

this is to be kept under review. As Hems (2002) states this reflects the tensions between those in the voluntary sector who wanted some formal adjudication process and the willingness of government to only agree to mediation.

3.5 In common with other Compacts the detail regarding implementation comes through codes of practice. These have been prepared by the sector with varying levels of involvement of government, albeit that part of the production phase invariably involved consultation and negotiation with government. There are currently 4 Good Practice Codes covering Funding, Consultation, Black and Minority Ethnic (BME) organisations and Volunteering (Home Office, 2000a, 2000b, 2001a and 2001b). The first, on Funding, was published in May 2000. A fifth, on Community Groups, has been through the consultation process and was to be published by the end of 2002. Although the Codes vary in length, with the Funding one (at 39 pages) being the longest, they have a common format in so far as:-

- Each has specific undertakings that government commits itself to: for example to build consultation with the sector into plans for policy development;
- The commitments of the sector are also outlined, for example BME organisations commit themselves to developing cohesive regional structures that are accountable to local groups; and
- Joint undertakings are also identified, as when government and the sector commit themselves to encouraging and supporting volunteering in the BME community.

3.6 The Codes often include examples of good practice, for example in the BME Code this covers the key areas of cross-cutting policy, such as consultation and funding. It also includes specific Action Points, dealing with such things as funding and consultation so that it begins to move beyond the rhetoric, that could easily dominate guidance, into very specific detail. The Consultation Code goes into similar detail about the appropriate consultation methods and the layout and presentation of consultation documents.

3.7 In so far as the Codes have “teeth” this comes through the statement that “where (the partners to the Compact) do not follow this good practice they must satisfy themselves that, if asked, they have good reasons for not doing so” (Home Office, 2000a, Paragraph 23.2).

3.8 The process of Compact implementation has built into it a monitoring framework. This takes the form of an annual meeting, chaired by a Home Office Minister and attended by other Government Ministers, official and representatives from the sector. This process is supported by the Active Communities Unit which has responsibility for the Compact within Government. The meeting has 2 main purposes:-

- It agrees an Action Plan that is then to be implemented over the next year. For example, that for 2000/2001 ranged from detail, such as the Minister writing to his counterparts in government inviting them to draw up departmental action plans, to more problematical actions such as reviewing the need for mediation in the application of the Compact and associated Codes. Each Action has the lead agency, be this a government department or the sector, identified and a target date set; and
- To review progress in implementing the previous year’s Plan. As part of this process, surveys of government and the sector have been undertaken annually, looking at such things as awareness of the Compact and the extent to which the Codes had been of use. As with other surveys of compacts, the response rates

tend to be low. For example the first survey of the voluntary sector produced returns from 150 organisations: a 15% response rate. The responses from the surveys have then been used to inform the content of the next Action Plan. The operation of the Codes is also considered at the annual meeting.

3.9 At the completion of the meeting an Annual Report is published. This summarises the Review process, and the findings, and thereby provides the context for the next year's action plan. The Report itself is placed in the House of Commons Library. This commitment to producing the Report is seen as a critical factor in making the Compact accountable. It has been described by Sir Kenneth Stowe, one of the key people driving the Compact, as "the most important bit in the whole process", (quoted in Good, 2001, p. 50). In addition progress in implementing the BME Code will be included in the Home Office's "Race and Equality in Public Services" report

3.10 The intention is that the impact of the Compact will be evaluated. A Working Group has been set up to manage and oversee this process and a brief for consultants is in the process of being drawn up. However no other details are public as yet.

3.11 Despite the level of political commitment to the English Compact, and the considerable energy that has been invested in it by both politicians and the sector, there are concerns about its impact. For example the Treasury Cross-Cutting Review on "The Role of the Voluntary and Community Sector in Service Delivery" (HM Treasury, 2002) acknowledged the importance of the Compact in providing a mechanism for the sector and government to work together. However concerns were expressed about the relatively slow rate at which the various Compact commitments were being implemented and the low level of awareness of it in government. Accordingly, it was recommended that departmental champions be identified to take forward the implementation of both the Compact and the Codes of Practice. They were to "be held personally responsible for effective implementation of the Compact and its Codes" (ibid, p. 29). Part of their task is to establish a baseline for their department and articulate a vision for the future. The suggestion was that priority should initially be given to those departments that had the greatest interaction with the sector, for example Health and the Home Office. Underlying these recommendations was the view that the Compact needed to become mainstreamed, with implementation being part of "normal business" (ibid, p. 29). To make this happen it was suggested that departmental resource allocations for 2003/2006 be conditional upon effective implementation of the Compact, although as yet this does not seem to have been done. Despite this, this seems a significant step and is clearly indicative of the government's strong political commitment to making the Compact work. However, that such action needs to be taken, does indicate that, even with high level political support and what many would consider to be a reasonable level of funding, Compact implementation is by no means guaranteed nor easy.

## **THE WELSH COMPACT**

3.12 The Welsh Compact was launched in December 1998 Annual Compact Monitoring Survey. and shares a common background to the English one, in terms of the development of a commitment by both the sector and the Labour Party, when in opposition and, from 1997, in Government, towards closer co-operation and partnership. The layout of the original Compact document was similar to that in Scotland, being structured under 4 headings:

Recognition, Representation, Partnership and Resources (Welsh Office, 1998). For each of these broad areas the commitments of government and the sector were outlined. For example, the government was committed to encouraging public bodies to designate a senior member of staff as the main liaison point with the sector, whilst the sector was to be pro-active in telling government of developments in its activities that might be relevant for the formulation of policy. However, following the setting up of the Welsh Assembly in 1999, the status of the Compact changed. This was largely due to the Government of Wales Act 1998 which contained a statutory obligation on the Assembly to “make a scheme setting out how it proposes..... to promote the interests of relevant voluntary organisations”. The Scheme is to specify how: support is to be given to the sector; such support will be monitored; and how consultation is to be undertaken. It is to be reviewed and, after each election, a decision has to be made as to whether it will be remade or revised. There is also a commitment to publish a report each year on how the proposals outlined in the Scheme have been implemented.

3.13 As a result of this legislation the compact changed its name and is now known as the Voluntary Sector Scheme. This name change was accompanied by the publication of a revised version of the compact, which appeared in September 2000 (The National Assembly for Wales, 2000). Although some of the text is identical, the Scheme is far more unbalanced than the original compact in so far as it is very much an Assembly document, outlining what the Assembly intends to do in such areas as encouraging volunteering and consultation with the sector. There is now no explicit mention of what the sector’s obligations are, in marked contrast to the 1998 Compact. The Scheme is also more limited in its scope than other compacts, dealing with essentially the Assembly’s interface with the sector rather than other agencies and NDPBs as is the case in, for example, Scotland. The exception to this is that those agencies that provide funding on behalf of the Assembly are covered, albeit that no details of these are given (in contrast, for example, to the Scottish Compact). It is therefore unclear how extensive this group is.

3.14 The structure for ensuring that these legal obligations are met comes through the Voluntary Sector Partnership Council, one of 3 similar initiatives established as a result of the Wales Act, the other 2 being for business and local government. The Council is the key body for maintaining regular dialogue between the sector and the National Assembly. It has 35 members (11 Assembly members selected to represent the party balance, 21 representatives of the sector and 3 from the Wales Council for Voluntary Action (WCVA), the Welsh equivalent of SCVO).

3.15 The Council’s purpose is to ensure that the principles of the Scheme are put into practice whilst giving the sector the opportunity to raise issues with Assembly members and Ministers. It meets 4 times a year at various locations across Wales and meetings are open to the public, whilst agendas and papers are published on WCVA’s web site. The last meeting, held in October 2002, considered such things as trends in government funding of the sector and the relationship between public services and the sector. In addition the Scheme contains a requirement that each Minister meet with representatives of the relevant networks of voluntary organisations covering their area of policy at least twice a year.

3.16 The Scheme is to be implemented through an Action Plan. This is then to be used to monitor progress. The first Action Plan was divided into 5 sections covering: the annual report and monitoring; funding; policy engagement; volunteering; and community development. For each area specific commitments are set out and the actions needed to meet them, along with target dates and the key agencies responsible for taking the lead.

3.17 The main monitoring mechanism is the annual review and published report on the Scheme's operations. The first of these, covering the 9 months to March 2001, was published in September 2001 (The National Assembly for Wales, 2001a). It looked at progress in meeting the Plan and outlined other actions that had been taken, and were to be taken, to develop the Assembly-sector relationship. As in most other compacts no baseline information was collected that could be used as a yardstick for subsequent monitoring.

3.18 The only specific Code of Practice is that dealing with funding. This is described as "living" document, being maintained on the Assembly's website and regularly updated (The National Assembly for Wales, 2001b). Twice a year a group of sector representatives and Assembly officials meet to consider amendments and what needs to be done to make it more user-friendly. They also have a role in monitoring and, to this end, visitors to the website are asked to give WCVA any comments they have, using WCVA's electronic forum. The Code is, however, like the Scheme very one-sided. In effect it is a detailed guide to help groups access financial support from the Assembly set out in the form of a series of questions and answers. Nothing is explicitly said about the responsibilities of the sector when receiving financial support.

3.19 Despite there being only one formal Code, the Scheme itself outlines the intended mode of operations between the sector and the Assembly in a number of areas, for example dialogue and co-operation, policy proofing, consultation, volunteering and community development. Although not described as codes of practice, several of the topics are dealt with in some detail. Thus the section on policy proofing lists 9 areas that the Assembly will have regard to when looking at the impact of policy upon the sector. These include such things as: are the views of the sector and volunteers being sought: and is there scope for exemptions to reduce any adverse impacts upon the sector? This level of detail means that in some respects the Scheme is covering some of the areas that other Compacts deal with in separate guidance.

3.20 There are no Compact-specific sanctions built into the Scheme or Action Plan. The expectation is that any complaints about the operations of the Scheme, or breaches of the Code, will be dealt with through the Assembly's formal complaints procedure. The intensive contact between the sector and Assembly politicians is also likely to mean that complaints can be dealt with informally, rather than be left until they have become major issues.

## **THE NORTHERN IRELAND COMPACT**

3.21 The Northern Ireland Compact, "Partners for Change", was published, technically, as a consultation document in June 2001, albeit that a revised version has not been produced (Northern Ireland Executive, 2001). Like the compacts elsewhere, its roots go back a number of years. For example in 1993 a Strategy for supporting the sector and highlighting its importance was published. Subsequently the sector and government were formally brought together through a Joint Government Voluntary and Community Sector Forum. This body played an important role in developing the Compact and agreeing its structure, in particular the development of a number of core Aims (for example "Building Communities" and "Tackling Disadvantage") that crossed all government departments. The attainment of these aims is seen as the key measure of the Compact's success.

3.22 The Compact itself is structured around 3 Common Themes which are described as "the essence of a shared working relationship that would result in added value" (Ibid, p. 14).

These are Capacity Building, Working Together and Resourcing the Sector. Each of these has its main dimensions outlined. For example Resourcing the Sector covers such things as providing direct financial support, making available specialist advice and information to help with service delivery and providing help in kind, through such things as the use of premises.

3.23 Where the Northern Ireland Compact differs from the others examined is in the detail that it goes into on implementation. Each of the 12 Government Departments has formulated a “Strategy for Support of the Voluntary and Community sector”. These were apparently devised by the Departments in consultation with representatives of the sector. Each Departmental Strategy is then structured according to a common format:-

- An outline of the Department’s mission;
- Its strategic aims and objectives;
- A brief description of its main roles;
- A section detailing the context of its work;
- A short statement of its relationship with the sector, outlining such things as funding, partnership working and consultation;
- For each of the 3 Themes, the Department’s Strategic Priorities are listed along with a number of Action Points. These are a mixture of activities, such as funding, to which there is a continuing commitment and time limited actions, such as reviewing specific activities; and
- Finally a contact point is given for each department in terms of a named individual along with address, telephone number and email.

3.24 As an Annex to the document Good Practice Guides are included covering Community Development, Funding, and Volunteering. However the focus of the Guides, like the Compact itself, is upon government action, rather than the obligations of the sector. Indeed this reflects the tone and content of the document which is all about what government has to do to meet the spirit of the Compact. The obligations of the sector are touched on tangentially but nowhere is there an explicit statement of how the sector needs to rise to what is a partnership challenge.

3.25 Unlike most other Compacts monitoring and evaluation is addressed explicitly. The process is as follows:-

- Each Department is to monitor progress and report on an annual basis, starting in April 2003;
- This will be undertaken using a monitoring pro-forma. This is currently in the process of being devised. The intention is that monitoring will be undertaken against the various Action Points, with Departments setting specific indicators to measure each. Again these are in the process of being devised. Given the variety of Action Points it may be that this process will be lengthy. The intention is that the pro-forma will also collect information on consultations with the sector, volunteering initiatives, examples of good practice in relation to partnership working and such things as secondments;
- The Department for Social Development’s (DSD) Voluntary Activity Unit (VAU) will then collate the Departmental reports and produce a Compact Monitoring report. Following comments by the Forum’s Strategy Sub-Group it will be

submitted for endorsement to the DSD Minister. It will then be published on the DSD website; and

- Evaluation is to take place every 3 years, as opposed to the Executive's current policy of evaluating major policies every 5 years. This reflects the cross-Departmental significance of the Compact. Accordingly an external evaluation will be undertaken in 2004. Through the Joint Forum both government and the sector will be involved in this.

3.26 The Northern Ireland Compact differs from some of the others considered in 2 other aspects:-

- The issue of complaints is explicitly addressed, with aggrieved parties being encouraged to direct complaints either to the VAU or individual Departments. A review of complaints is to form part of the annual monitoring process; and
- The distribution of "Partners for Change" was accompanied by a Consultation Questionnaire. This collected information on the characteristics of the voluntary sector respondent and asked for a rating to be given to existing relations with government for each of the Strategy's 4 aims, for example the level of co-operation with government, community involvement in decision making and targeting of resources at the areas of greatest need. The intention is that this baseline information will inform the evaluation to be carried out in 2004.

## **THE SCOTTISH COMPACT**

3.27 In common with most other compacts no baseline information was collected prior to the Scottish Compact being set up. The Compact's origins are similar to those of the other parts of the United Kingdom, in particular the commitment of the Labour Party to the sector, when in opposition, which then carried over into Government, as outlined briefly above (see Paragraph 3.2).

3.28 The Compact was published in 1998, prior to the Parliament being established (The Scottish Office, 1998). Unlike the situation in Wales, no revised version has, as yet, been produced. There was also no legislative commitment in the Scotland Act to creating a sector-government relationship, again a marked difference from the situation in Wales. The document is structured in a similar manner to others. Thus there is a statement of shared values and then a series of commitments by the sector and government set out under 5 headings: Recognition, Representation, Partnership, Resources and Implementation.

3.29 The Compact is an agreement between all government departments, Non-Departmental Public Bodies (NDPBs) (many of which are specified, for example Scottish Enterprise, the Scottish Environmental Protection Agency and the Scottish Arts Council) and government agencies in Scotland. Within the Executive the Compact is the responsibility of the Voluntary Issues Unit, based within the Social Justice Group in the Development Department.

3.30 Good Practice Guides have been published covering 4 areas: Funding, Consultation, Partnership Working and Proofing (Scottish Executive, 2000). These are very detailed and cover a mixture of explanation (for example outlining what Executive funding is available for and what feedback consultees can expect to receive) and very specific guidance for

Departments. Thus the Funding Guide has 26 good practice points, that for Consultation 27. Yet, despite this detail, the Guides are addressed solely to the Executive. There is no mention of what the obligations of the sector in delivering, what is theoretically, a partnership agreement involving commitments on both sides, are to be. Unlike the Compact document therefore the Guides are asymmetrical, being “intended to help Departments and agencies of the Scottish Executive that have an interest in voluntary organisations.....to carry out their responsibility to implement the commitments set out in the Compact” (Ibid, Introduction). The Guides are therefore establishing a series of protocols, and administrative rules, that are to steer government and its agencies in their interactions with the voluntary and community sector. In so far as there is parallel guidance for the sector this comes from SCVO. In 2001 it published Implementation Guidance (SCVO, 2001) that outlined the sector’s obligations under the Compact. This uses the same headings as the Good Practice Guides. Whilst such guidance to the sector is to be welcomed the fact that 2 sets of guidance have been produced, only one of which has been produced by the Executive may mean that the Compact’s impact is diluted.

3.31 Although it can be argued that the Good Practice Guidance is an extension of the Representation section of the Compact the correspondence between the Guides and the Compact seems to be partial. For example the Compact identifies 5 areas under which the Commitments of Government and the sector are outlined (Paragraph 3.28). The Guides deal with only 2 of these. Resources are covered in Funding Guidance whilst Partnership is covered by the remaining 3 (Consultation, Partnership and Proofing). The preparation and publication of further guidance is, however, currently being considered.

3.32 Monitoring has so far taken the form of the production of an Annual Review for 2000/0 (Scottish Executive, 2001). This was based on a survey of Executive Departments, agencies and NDPBs. A parallel survey of the sector was undertaken by SCVO. Unlike experience elsewhere there is no outcome of the monitoring process other than the published report. No feedback is provided to respondents and there is no action plan or other implementation document which the monitoring report can then inform. However there is now interest in moving to some more formal monitoring and evaluation process. This started in June 2002 when a Compact Review Group was formed, bringing together representatives of the sector and the Executive. Out of this has come the current study.

## **THE CANADIAN COMPACT**

3.33 There are close parallels between the development of the Canadian Accord (the Canadian version of the Compact) and events in the United Kingdom. In 1995 12 umbrella organisations came together as the Voluntary Sector Roundtable to consider how the relationship between the sector and government could be enhanced. Out of the Roundtable’s deliberations came the Broadbent Panel (the equivalent of the English Deakin Commission) which looked in some detail at the sector-government interface and made a number of recommendations. In parallel with this a Reference Group of Ministers, chaired by the President of the Treasury Board, began considering the relations with the sector. One outcome of these activities was the setting up of 3 groups, or Joint Tables, bringing together federal officials and the sector. In 1999 a joint report “Working Together: A Government of Canada/Voluntary Sector Joint Initiative” was published, which recommended that some form of agreement or accord be developed. With funding from government, progress was rapid and the Accord was published in December 2001, following extensive consultations

throughout the country with some 2,000 organisations (Joint Accord Table 2001). It included commitments by both parties to such things as developing codes of good practice to implement the Accord. The first of these were published in October 2002, one dealing with Funding, the other with Policy Dialogue (Joint Accord Table, 2002a, 2002b).

3.34 Both Codes have a similar structure in so far as the commitments of the voluntary sector and government are separately outlined as are the good practices that both sectors commit themselves to: for example to “identify and allocate resources and time to policy activities”.

3.35 The production of these documents has been paralleled by:-

- the allocation of funds to set up specific projects, for example \$95 million for the Voluntary Sector Initiative, which is to promote the development of the sector-government relationship over a 5 year period, including the implementation of the Compact, for which \$10 million has been allocated;
- allocating clear political responsibility for the sector, with the Minister of Canadian Heritage being designated as Minister Responsible for the Voluntary Sector; and
- setting up a small voluntary sector unit in the Minister’s Department.

3.36 The next stage in the Accord implementation process is the development of a monitoring and evaluation framework. The Accord itself refers to the need for periodic review and evaluation as a consequence of which there may be changes and new priorities. Both Codes also refer to monitoring and evaluation. For example, they talk about discussing the Code and learning from one another and proposing reforms to make them more effective. However, correspondence with the Voluntary Sector Initiative’s Secretarial confirms that, as yet, there has been limited progress in moving beyond this. Thus there has been no development of any systematic approach to ongoing monitoring or assessing the long term impact of the various initiatives in strengthening collaboration and co-operation between the sector and Government.

3.37 What also seems clear is that the Canadian Accord has been influenced by the United Kingdom’s experiences. Given this it would seem that there are limited transferable lessons that could influence Scottish practice at this stage. It is also worth making the point that the Accord was developed against a background of “declining government financial support “(Good, 2001, p. 46) for the sector. This might have implications for monitoring and could shift the focus of the Accord away from funding which, as Chapter 2 highlighted, tends to be the focus of interest, to other areas of the Accord, where progress might bring more substantive long term benefits.

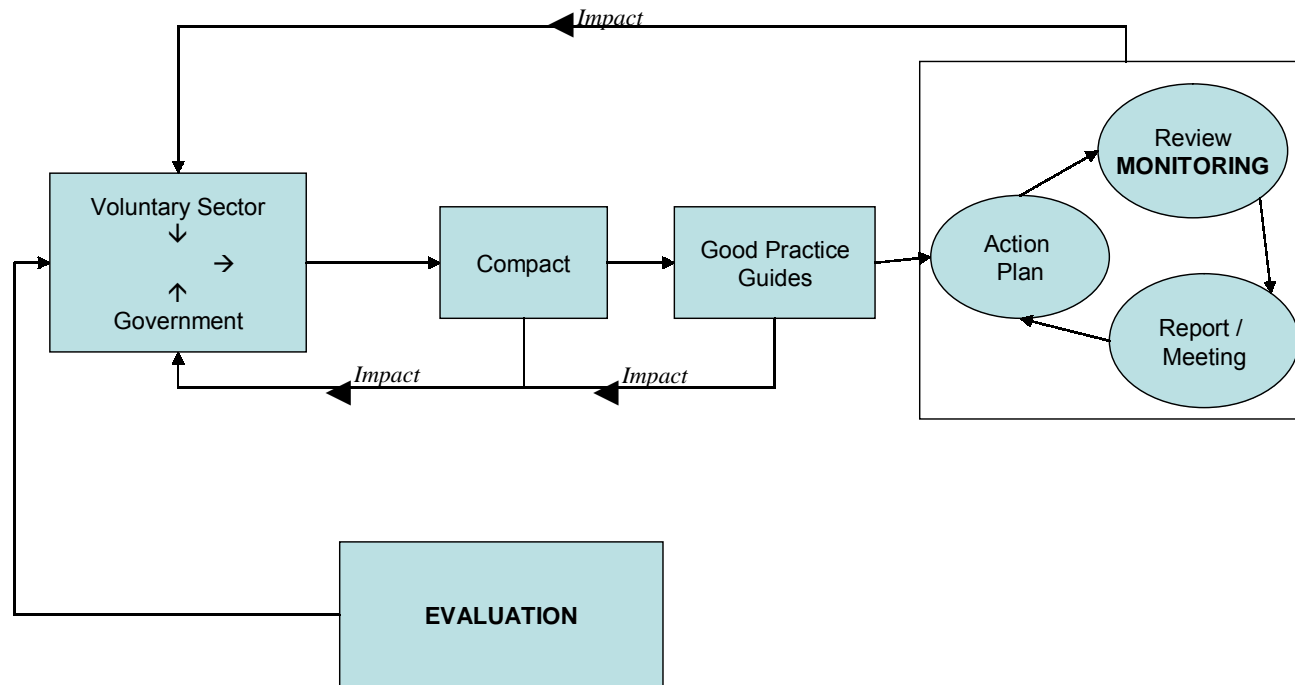
## **A COMPACT DEVELOPMENT AND REVIEW MODEL**

3.38 Although the Compact development process differs between the 5 countries detailed above, there are more similarities than differences. An overview of the development and review process is shown in Diagram 3.1. The key stages are:-

- Interaction between the sector and government out of which comes the formal compact document to which both parties are usually signatories;

Diagram 3.1

# The Generalised Compact Development and Review Process



- Detailing of aspects of the Compact through good practice guides. However, it is not always the case that the guides cover all aspects of the compacts' operations, as is the case in Scotland;
- Implementation is then, in several instances, directed by an action plan, drawn up usually on an annual basis. In the Northern Ireland example this plan is detailed at the departmental level. Elsewhere the plans tend to be more general, although most identify those responsible for delivering on key actions and the delivery timescale;
- There is then normally some form of review process, in effect monitoring. This is undertaken in 3 main ways: through surveys of the sector and government, as has happened in Scotland and England; by assessing progress against the action plan; and by gathering views of the sector and government through annual, or on-going, meetings as is the case in Wales. In some countries only one of these methods is used, for example Scotland has undertaken a survey. Others use all 3, as happens in England. Review is also not necessarily linked to an action plan. Thus there is no Scottish action plan yet an annual implementation review was undertaken in 2000/01. The clear danger with this is that the review exercise becomes discredited as there is no obvious way for it to feed back into the compact implementation process;
- There is often some formal meeting between the sector and government which, as is the case of England and Wales, involves senior politicians. This considers the monitoring and review information, formulates the next year's action plan and then publishes the results. In Scotland whilst there are structures for bringing ministers and the sector together, for example the annual Away Day, these do not take place under the Compact "badge", although it may be debatable if the issues covered differ much from the ones covered in England and Wales; and
- Finally all compacts identify the importance of evaluation and some, as in Northern Ireland, have timetabled this and are in the process of drawing up a specification. However this is as far as most have gone.

3.39 Of the 5 compacts considered, the English and Welsh conform most closely to the model shown in Diagram 3.1. The Northern Irish compact will soon conform to this model, once the first round of departmental monitoring starts in 2003. The Scottish one is perhaps the compact that deviates furthest from it, in that it has no action plan and the monitoring and reporting processes do not, yet, seem to be formalised or linked into the Compact implementation process.

## **COMPARING THE COMPACTS**

3.40 Some of the deviations from this general model will become clearer when the compacts are compared in terms of the more detailed key development and process criteria. Table 3.1 compares the various national compacts on a range of criteria. These are:-

**Table 3.1 Comparisons of Compacts on Key Development and Process Criteria**

<b>Compact</b>	<b>Baseline</b>	<b>Compact's legal status</b>	<b>Compact partners in government</b>	<b>Compact "shape"<sup>2</sup></b>	<b>Codes of practice</b>	<b>Codes of Practice "shape"</b>	<b>Action Plan</b>	<b>Annual Review/Report</b>	<b>Political involvement</b>
Canada	No (?)	Non-statutory	Federal departments and agencies	Symmetrical	2	Symmetrical	No	No	High
England	No	Non-statutory	Government departments and 'Next Steps' Executive agencies	Symmetrical	4 <sup>3</sup>	Symmetrical	Yes	Yes	High
Northern Ireland	Yes	Non-statutory	Northern Ireland Executive (NDPBs)	Asymmetrical	3	Asymmetrical	Yes	Yes	Unclear
Wales	No	Statutory	Assembly (agencies)	Asymmetrical	1 <sup>4</sup>	Asymmetrical	Yes	Yes	High
Scotland	No	Non-statutory	Executive, agencies and NDPBs	Symmetrical	4	Asymmetrical	No	Yes	Low

<sup>2</sup> "Shape" is defined in terms of whether the formal compact document is symmetrical (that is it contains obligations and commitments for both government and the voluntary sector) or asymmetrical, covering only government with limited indication that a partnership involves obligations and commitments on both sides (see Paragraph 3.40).

<sup>3</sup> A further Code, on Community Groups, is soon to be published.

<sup>4</sup> The Welsh Scheme includes, within the main body of the text, quite detailed guidance on such areas as "Proofing Policies". Although not specifically highlighted as good practice, some of the information is as detailed as the separate guidance issued to accompany other Compacts.

- Whether baseline information was collected prior to the compact being prepared so that there was a foundation against which to measure implementation progress. In only one case, Northern Ireland, was this done. However, most of the other countries have information, covering such things as the “shape” of the sector and levels of funding, that could be used to describe components of the sector-government relationship (see Chapter 5 for details of Scottish information);
- The legal status of the compact. Again in only one instance (Wales) has this statutory status, being described by the Assembly’s First Secretary a “the first such statutory scheme in the UK (and) the first of its kind in Europe” (The National Assembly for Wales, 2000, Foreword). One clear advantage of such statutory status is that the compact then falls within the remit of whatever formal complaints procedures exist for government;
- The partners to the compact (in addition to the voluntary and community sectors). These fall into 2 groups: those compacts that cover central government and its various arms length agencies; and those, such as the Northern Ireland and Welsh compacts, where, although mention is made of NDPBs and agencies that distribute funds on behalf of government, the focus of the documentation is very much on government;
- The “shape” of the compact is then considered using 2 criteria: whether it is symmetrical (that is it contains obligations and commitments by the sector and government) or whether it is more one-sided, covering only government with little explicit indication that a partnership has commitments and obligations on both sides. Both the Northern Ireland and Welsh compacts seem to be asymmetrical;
- All compacts have codes of practice, varying in number from 1 to 4;
- The “shape” of these codes is then considered, using the same criteria as for the compact. Of the 5 compacts, 3 are considered to have asymmetrical codes:
  - ones that are very one-sided, dealing only with governments’ obligations and commitments, albeit that in some instances (for example Scotland) the sector has produced its own guidance (Paragraph 3.30);
  - 3 of the compacts have action plans: annual ones in the case of England and Wales and essentially a 3 year one for Northern Ireland;
  - Annual reviews and associated reports seem to be the norm. However the extent to which these link into implementation plans varies. In the case of England, Northern Ireland and Wales the plans either currently, or will, explicitly address the extent to which the various measures outlined in the action plans have been attained. They are therefore clearly about monitoring. Some compacts, for example the English one, have, linked to the review, a survey of attitudes, albeit that the response rates to these are low. The Scottish compact has produced one annual review, based on surveys of government and the sector (Paragraph 3.32). This looked at perceptions of the relationship with government, rather than covering the extent to which specific actions had been implemented. Clearly, in the absence of a phased action plan, such detailed monitoring of the implementation of the compact is not possible; and
  - Finally an impressionistic appraisal of the degree of political involvement and commitment in the compact is given, based upon such things as the extent to which the compact acts as a formal means for linking politicians and the sector, rather than acting as a link to officials. Here, within the United Kingdom, the Welsh compact stands on its own, given that it has a variety of

mechanisms for bringing politicians and ministers together with the sector under the compact umbrella. The situation in England is classed as “medium” given that the annual meeting is chaired by a Home Office minister and attended by other senior politicians. Involvement in Scotland is classed as low as there do not seem to be such mechanisms for bringing politicians together with the sector under the Compact umbrella. This is not to suggest that there are not frequent meetings between the 2 parties (for example the Away Day and ministerial meetings with the sector (see Paragraph 3.37)). However these seem to either date from before the compact was established or to be undertaken on an ad hoc basis.

3.41 It therefore seems that, despite the United Kingdom compacts having very similar origins, especially in their roots in the Labour Party’s commitment to developing close links with the sector, they have developed in different ways. This may partly be explained by the new government structures set up following devolution. Whether these differences will be so apparent in the future is debatable. As more comparative research is undertaken there may be a tendency, as in other areas of policy, for good practices to be replicated thereby reducing the diversity that currently exists. Differences are also apparent between the compacts when the codes of practice are considered in greater detail.

## **CODES OF PRACTICE**

3.42 As Table 3.1 shows, all of the compacts have codes of practice, albeit these vary in number and in the extent to which they are written as partnership documents or guidance for government departments and agencies. Table 3.2 looks in more detail at the codes. It can be seen that:-

- 7 categories of code have been identified, albeit that there may be a degree of overlap in the content of some of these;
- all compacts have produced guidance on funding, reflecting the importance of this element of the sector-government relationship as seen by both parties;
- the next most frequent type of guidance covers consultation between the sector and government, followed by volunteering;
- Only 1 compact, that in England, has produced guidance on relations with ethnic groups. This is perhaps surprising given that there are substantial ethnic communities in other areas, for example parts of Canada and Scotland. Whilst the Executive has undertaken a review of Ethnic Minority Funding, and has resourced the setting up of an umbrella organisation for ethnic minority voluntary groups, none of this activity has been undertaken under the Compact “badge”; and
- England, has produced, with Scotland, the most codes and is shortly to publish another dealing with community groups.

**Table 3.2 Codes of Practice Produced by the Various National Compacts**

<b>Compact</b>	<b>Funding</b>	<b>Consultation</b>	<b>Community Development</b>	<b>Volunteering</b>	<b>Policy Proofing</b>	<b>Partnership</b>	<b>Black and Minority Ethnic Organisations</b>	<b>TOTAL</b>
Canada	Yes	Yes						2
England <sup>5</sup>	Yes	Yes		Yes			Yes	4
Northern Ireland	Yes		Yes	Yes				3
Scotland	Yes	Yes			Yes	Yes		4
Wales <sup>6</sup>	Yes							1
<b>TOTAL</b>	5	3	1	2	1	1	1	14

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<sup>5</sup> A further Code, on Community Groups is soon to be published.

<sup>6</sup> The Welsh Scheme includes, within the main body of the text, quite detailed guidance on such areas as “Proofing Policies”. Although not specifically highlighted as good practice, some of the information is as detailed as the separate guidance issued to accompany other Compacts.

3.43 What the Table does not show is the relationship between the codes and the compact document. At times this is asymmetrical. For example the Scottish codes only deal with part of the sector-government relationship as defined in the formal compact document (Paragraph 3.31).

## **LESSONS TO BE LEARNT?**

3.44 Are there any lessons that the Scottish compact can learn from experience elsewhere? There would seem to be a number:-

- The good practice guides would reflect more accurately the spirit of the compact (and indeed the formal compact document) if they dealt with the obligations and commitments of the sector as well as government. At the moment responsibilities of each party are dealt with in different sets of documentation: one produced by the Executive, the other by SCVO. This seems likely to fragment the Compact's impact. Producing one set of documentation, to which the Executive and SCVO are signatories, might help to widen ownership of the compact and stop it being seen solely as a mechanism for making government change the way it operates;
- At the moment there is little that is specific that can be monitored in so far as the good practice guides contain no targets and there are no time scales attached to the various commitments that they cover. The Compact is then, perhaps, seen as a monolithic "block" in which everything is of equal importance. The danger with this type of perception is that limited progress is then made in implementation on any front. Accordingly, having an action plan (ideally produced on an annual basis), which contains specific commitments, timescales and clearly identifies the parties who are responsible for delivery would not only provide something specific that could be monitored but would also, perhaps, make the compact more tangible and the implementation process manageable;
- Consideration should be given to introducing the type of detailed departmental commitments that characterise the Northern Irish compact. One advantage of this is that it would widen the ownership of the compact as every department then has specific actions that they are publicly committed to and for which they can be held accountable;
- Related to this, allocating specific responsibility for Compact implementation to a senior departmental official, as is suggested by the Treasury, would help the Compact to begin to permeate more deeply into government and would begin the process of mainstreaming. Similar arrangements could also be made for the various agencies and NDPBs that are covered by the agreement;
- If there were to be an action plan then this should be linked to the annual review process. The review would then be able to deal with something more tangible than was the case for the 2000-01 document; and
- Finally there may be merit in considering setting up the type of structures that exist in England and Wales for bringing the sector together with politicians to discuss the compact and the government-sector interface. This needs to be under the compact banner. This would raise the profile of the compact, in the eyes of the sector and government departments and agencies, and would be a clear indication that it had high level political commitment. It might be possible to do this by rebadging or restructuring existing forums.

3.45 These lessons essentially relate to processes and structures that are needed to assist implementation and therefore make the Compact more effective. However measuring effectiveness requires the formulation of a far more detailed monitoring and evaluation framework than currently exists. Accordingly this is considered in the next Chapter.

## **CHAPTER FOUR      DEVELOPING A MONITORING AND EVALUATION FRAMEWORK**

4.1     The purpose of this Chapter is to look at some of the issues that any Compact monitoring and evaluation exercise has to be aware of. It may be that little can be done about many of these, for example understanding of the Compact amongst those who are theoretically covered by it. However an awareness of them may at least condition expectations of monitoring and evaluation. The starting point is to define these 2 terms.

### **DEFINING MONITORING AND EVALUATION**

4.2     The starting point in developing a monitoring and evaluation framework is to understand what the 2 terms mean. The processes are closely related and are both about assessing the extent to which resources spent on policy implementation result in the goals of this policy being attained. What distinguishes the 2 processes is:-

- Monitoring is an ongoing and a systematic activity in which information is collected to enable progress towards attaining policy goals to be assessed. As such, it is undertaken in parallel with policy implementation. An effective monitoring system is one that has some formal mechanisms whereby information is collected that relates to specific aspects of the policy. This information is fed back to the policy makers or implementers, thereby providing them with the opportunity to take action if it appears that policy goals are not being attained. This type of monitoring is also known as formative evaluation, in so far as the information gathered can be used to influence policy implementation. An effective monitoring system therefore includes a feedback loop. The Annual Review of the Compact has the potential to be used as a form of formative evaluation. What currently stops this happening is the lack of any feedback so that the exercise is undertaken as almost an end in itself which is not the purpose of monitoring. What monitoring is concerned with is often, although not always, measuring the inputs to a policy, that is the resources (financial and non-financial) used in an intervention, and the outputs, that is the activities that are undertaken. For example one output from the Compact might be the number of good practice guides produced or the number distributed;
- Evaluation, in contrast, is often a backward looking activity. It is undertaken after policy implementation has ceased and policy makers want to see if goals were attained and if there were any other impacts arising from the intervention. This activity is known as summative evaluation and aims to influence future interventions so that policy makers can learn from good (and bad) practices. As monitoring tends to focus upon inputs and outputs, the focus of evaluation is upon outcomes, that is the impacts or the results of the intervention. For example: what affected did the distribution of the good practice guides have? Has there been an improvement in relations between the sector and government? Has there been a growth in mutual confidence and trust? Given that the Scottish Compact is an ongoing activity summative evaluation is not, in isolation, appropriate. Accordingly evaluation of the Compact is likely to cover both the process (that is

monitoring) and the outcomes, (summative evaluation). The aims of compact evaluation would therefore be both to influence ongoing activities and to identify what impact these activities have had to date.

Having considered the characteristics of the 2 processes the next issue to be addressed is what exactly is to be monitored and evaluated.

## **WHAT IS THE COMPACT?**

4.3 There would seem to be at least 4 overlapping answers to the question as to what the Compact is:-

- The first is that the Compact is a state of mind, a concept, whereby central government and its agencies chooses to work more closely with the voluntary and community sectors developing a relationship based upon mutual trust and confidence;
- There is then the Compact document, published in 1998. Clearly this has the disadvantage of being relatively old, pre-dating the Parliament. However it has the big advantage of being a symmetrical document (Paragraph 3.28) in so far as it makes clear that the Compact is a partnership involving obligations, not just on Government and its agencies, but also on the voluntary sector. This is made explicit in that the commitments of both parties are outlined;
- There are then the Good Practice Guides. Unlike the Compact document these are asymmetrical, dealing only with the obligations and commitment of government. (Paragraph 3.30). SCVO's guidance is similarly asymmetrical, being addressed solely to the sector. As such there must be questions about the extent to which both sets of guidance reflect the spirit of the Compact. They are essentially a means for ensuring that administrative procedures are transparent. Whilst this may be part of a relationship building initiative, it is only a part and perhaps a relatively small one at that; and
- Finally there is documentation covering such things as guidance on grant sources and standardised grant offer, acceptance and payment application forms. This seems to be a consequence of the Good Practice Guidance, with the intention of improving information dissemination and clarity.

4.4 At a strategic level, perhaps when viewed from SCVO or the Voluntary Issues Unit, all these things make up the Compact. However it seems likely that the further away from the centre one is, either in Government or within the voluntary and community sectors, then the more partial one's view of the Compact will be. At the extremes this might take the form of a vague awareness of the ethos of the Compact picked up through conversations or passing references in documentation or a government department making use of the Direct Funding Guide, without being aware, other than in very general terms, of why it has been produced.

4.5 Any monitoring and evaluation framework therefore needs to have a clear understanding of what is to be monitored and evaluated. Given the diversity of the Compact, ranging from the development of mutual support and understanding to conformity to often very detailed guidelines, the implication is that any framework needs to reflect this diversity, albeit that this could be problematical.

4.6 Hems makes the point forcibly that the Compact is about relationship building and therefore the development of confidence and trust between the sector and government. Unfortunately the Scottish Compact has not been disaggregated in any great detail to allow the specific areas around which mutual confidence and trust could be built to be identified. In contrast, the Northern Ireland Compact has been clearly linked into the Executive's wider policy agenda (the "Programme for Government") through the 4 identified aims and the 3 cross-cutting themes (see Paragraphs 3.21-3.23). This should make the process of mainstreaming, which must be the ultimate goal, far easier as Departments (and the sector) can see where the Compact fits into the "bigger picture". This level of detail tends to be less well developed in the Scottish Compact so that it might be quiet easy to see the Compact as almost a parallel initiative, being separate from the Executive's main priorities. This vagueness then tends to be carried through into the Good Practice guides which, although often very prescriptive, have no timescales attached to them and are not prioritised.

4.7 These problems in adequately defining the Compact may mean that the development of mutual trust and understanding is something that is best dealt with through evaluation. However, if monitoring is to focus upon such things as the implementation of the Good Practice Guides then there is a danger that only one element in the development of an improved government-sector relationship (changes by government) is being dealt with. One implication of this is that the existing Compact documentation is deficient as a basis for the development of any monitoring and evaluation framework.

## **THE SCOPE OF THE COMPACT**

4.8 There are then questions to be asked about the scope of the Compact in terms of the departments and organisations that are included within its embrace. The Compact document is explicit about it being about "all Government Departments, agencies and Non-Departmental Public Bodies" (The Scottish Office, 1998, p. 3). It therefore covers bodies such as Communities Scotland, Scottish Enterprise and the Scottish Prison Service. It does not, however, cover the sector's dealings with local government. However this distinction may not always be apparent on the ground. For example Social Inclusion Partnerships would seem to fall within the remit of the Compact. It may be that many voluntary bodies would tend to identify these more closely with local, rather than central, government.

4.9 Yet despite not covering the totality of the government sector the Compact does embrace the whole of the voluntary and community sectors. Even if bodies are not receiving funding from the Executive or its agencies, all are likely to be affected, at some time, by government policy and actions. Even those groups that the Compact accepts will not "have an interest in seeking partnership with Government" (ibid, p. 1) are likely to be affected by the Executive or its agencies at some stage. The Compact is not therefore just about the relationship between government and the various umbrella bodies that exist within the sector. It is all embracing in its coverage of the sector, having an impact even on small local groups whose main interface with government may come, apparently, at the local authority level. One consequence of this is that the sector, or individual elements within it, may be involved in, and affected by, compacts that operate at a variety of levels. Whilst this is not widespread at the moment in Scotland, in England it is possible for a voluntary body to be involved in the

National Compact, a local compact and even a sub-regional one, as is increasingly being developed by bodies such as the health service.

4.10 There is therefore again a degree of asymmetry in the scope of the Compact. It is all embracing for the sector, but only partially so for government. Whilst this distinction may be clear to some it may not be obvious to all in the sector nor indeed to all in government. This could influence the responses to any questionnaire or other monitoring methodology.

4.11 The issue of asymmetry also arises within government when the Good Practice guides are considered. They cover all the sectors of government that are within the Compact's scope, regardless of the degree of involvement the various parts have with the sector. However, undoubtedly the intensity of the relationships between the 2 parties varies. For example the Mapping Exercise undertaken by the Executive (see Paragraph 5.19), although not a definitive overview of the links between the Executive and the sector, did show that some voluntary bodies (for example SCVO) had a multiplicity of links with various parts of the Executive, whilst some Departments (for example Health) had far more contact than others (for example Justice). Given this, there may be merit in concentrating monitoring, initially, on those areas of the sector-government interface where the most intensive interaction occurs. Monitoring could then be rolled out to the other parts of the interface at a later date. This follows the advice given in England where it is suggested that priority in Compact implementation be given to those Departments that have greatest contact with the sector (HM Treasury, 2002).

## **THE SECTOR-GOVERNMENT RELATIONSHIP**

4.12 The aim of the Compact is to strengthen and develop the relationship between the sector and government. Unfortunately there is very limited information to describe what the current state of this relationship is. For example, there is no baseline information dealing with the situation at the time the Compact was devised (in 1998). It may be that as 4 years have passed the situation in late 2002 has been affected by the implementation of the Compact. It seems very unlikely that cause and effect could be disentangled in such a scenario.

4.13 What information there is on the relationship is fragmented, partial and/or anecdotal. For example, as Chapter 5 makes clear, there is reasonably good information on the funding relationship. However in other areas, such as consultation, systems are only just being set up to capture data on interactions.

4.14 There is also very limited information on what the key factors are that restrict the growth of trust and confidence. Based on the Annual Review, the following seem to be the main areas of conflict, or concern, identified by government and the sector:-

- Decisions not to provide funding to organisations;
- The stability of funding;
- Inability to make funding decisions within the 3 month notification period;
- Problems in getting voluntary organisations to claim grants or the late or incomplete provision of financial returns by them;
- Difficulty in meeting the 3 month consultation deadline;
- Concerns about the representativeness of the sector;

- Issues and problems being brought to the Executive's attention at a late stage; and
- The extent to which the roles of similar organisations within the sector differ.

4.15 That government had concerns about the sector over such things as grant administration and representativeness would seem to indicate 2 things:-

- Parts of the sector are in breach of the commitments outlined in the Compact document; and
- There is a need, in the Good Practice Guides, to define the commitments and responsibilities of the sector as well as government. Although this is done in SCVO's guidance it may be that this lacks the force and status needed to ensure greater conformity by the sector.

This lack of any definitive information on sector-government relations therefore means that there is very limited guidance on the issues that monitoring and evaluation should initially concentrate upon. Clearly the Annual Review seemed to indicate that funding was a key area of concern. How representative this concern is is impossible to know. Concentrating upon finance also runs the risk of over emphasising one facet of the relationship: one that in the long term may prove to be less important than, for example, consultation or policy proofing.

## **CAUSE AND EFFECT IN COMPACT EVALUATION**

4.16 Finally, when evaluating the Compact it needs to be borne in mind that many of the areas where the Compact aims to influence the government-voluntary sector relationship are also being influenced by other parts of the government's policy agenda. For example, consultation is an important area in the Compact and the information to be collected through the Consultation Registration and Evaluation System (currently being set up by the Executive, see Paragraphs 5.8 to 5.14) covers a number of aspects highlighted in the Good Practice Guides (for example allowing adequate time for consultations and providing feedback to consultees). Yet the Compact is not the reason for the System being set up. It is being established to enable the Executive to better monitor and report on its consultation activities. There are also a number of other initiatives that are being implemented by the Executive, and other arms of government, independent of the Compact which will have an impact upon its objectives. For example there is internal Good Practice Guidance on Consultation, which is currently being revised and is due to be relaunched by the Executive by April 2003. As a consequence there are likely to be major problems isolating cause and effect, as there are other initiatives that have aims in common with the Compact. However these problems of attribution are common to most evaluations.

4.17 This problem of attribution also raises a more fundamental question. Does it matter if it is not possible to identify the precise impact of the Compact if a number of complementary initiatives are helping to attain its broad objectives? If the aim of Government is relationship building and the development of greater trust and confidence between it and the voluntary sector then it may be that what is important is simply the growth in trust and confidence rather than attempting to ascribe this to specific actions. Even if this is not the case the setting up of initiatives whose aims overlap with the Compact may mean that attribution, in terms of identifying impacts rather than process outputs, may be very difficult.

## WHAT TO MONITOR AND EVALUATE

4.18 Having outlined some of the issues surrounding Compact monitoring and evaluation there is now a need to move forward and begin to make decisions on what should be done.

4.19 The Good Practice Guides are, perhaps, the most well known element of Compact documentation. They contain a total of 96 commitments that government has to meet. It might be possible to monitor progress on each of these, albeit that this would give an unrepresentative picture of the Compact, covering only 1 partner and would also be mixing the mundane with issues that are more fundamental. Ideally what should happen is that the sector would meet with government and identify areas where it is felt the Compact relationship building is being undermined or is poorly developed. These areas could then be incorporated into an action plan and progress in meeting them monitored. This would be a way of prioritising the many dimensions of the Compact and of beginning to move forward on implementation in a systematic way.

4.20 As this has not been done in Scotland, and as the only source of information on the areas of concern comes from the Annual Review which, although a useful document, was not without its flaws (see Paragraph 5.17), developing a monitoring and evaluation framework needs to go back to the basic principles underpinning the Compact and its implementation. Drawing on the earlier Chapters it is possible to identify a number of areas that seem to capture the essence of the Compact and its implementation. These are:-

- **Awareness** of the Compact. The facets of this might include copies of the Compact having been received and staff being aware of the Compact and its objectives. Clearly it is possible for staff to be aware of the Compact, as indeed many no doubt are, but to have a limited understanding of it. Awareness may be seen as the start of the relationship building process, which is consummated when this develops into understanding;
- **Dissemination** is the next facet that needs to be considered. If the Compact is to be mainstreamed then dissemination is critical so that knowledge and understanding permeates into organisations and departments, especially to the staff who have frontline dealings, either with the sector or government. One way of ensuring that this happens is for there to be a champion within organisations who takes on this dissemination and contact role;
- **Usage** is clearly critical. There is little point in people being aware of the Compact if it is not used. The Compact in this instance refers to both the formal document and the Guides (both the Executive's and that produced by SCVO). What would be of interest is knowing if they have influenced the way the sector and government responded to one another and if they are referred to in the course of discussions and negotiations;
- **Usefulness** then needs to be considered. Here the most productive focus is probably upon the Compact document itself and the Guides. Despite the latter's asymmetrical nature they contain a large number of tangible commitments. It would be of value in exploring how useful the partners felt these were. However there is probably little merit in addressing every commitment. Developing a general overview is likely to be more productive;
- Regardless of the value of the Guides they are, probably, the most tangible and widely publicised aspect of the Compact. Accordingly each needs to be

considered in terms of 2 aspects: whether they have been used; and the impact they have had. Accordingly **Consultation, Policy Proofing, Partnership and Funding** should each be considered in turn according to these 2 criteria;

- The Compact is about developing better relationships between the sector and government. Accordingly **Mutual Understanding** needs to be considered, to see if the Compact implementation process has resulted in the partners developing a better understanding and awareness of the other;
- **Confidence** is one facet of any relationship. This therefore needs to be assessed. According to Hems (2002) confidence relates to “the day to day functioning of the relationship”. It is often governed by some form of contract, for example grant approval, and control processes that place obligations on both parties. It might, therefore, cover the confidence that the sector has in funding decisions being made on time or of the Executive being confident that the sector would put in place appropriate funding control systems; and
- Finally **Trust** needs to be considered. Again, referring to Hems’ work this is defined as being “linked to the overall goals of the relationship”. As such the growth in trust could be seen as the ultimate goal of the Compact.

Relating these areas back to the earlier questions as to what the Compact is, it is clear that the Compact is being defined as all 4 of the elements identified in Paragraph 4.3, albeit that the final one, support documentation, is not being addressed explicitly.

## CONCLUSION

4.21 This Chapter has outlined some of the issues that are likely to impact upon the design, and the interpretation, of the outcomes of any monitoring and evaluation exercise. Some of these may seem to be rather pedantic, reflecting issues of definition. However they are likely to condition responses to monitoring and evaluation. Whilst it may be difficult, in the short term, to take account of these they do need to be borne in mind. The Chapter then went on to synthesise a variety of information in order to identify the key areas that any monitoring and evaluation framework needs to try to assess. Essentially each of the areas highlighted in Paragraph 4.20 is an area for which some monitoring and evaluation indicator needs to be developed. The next Chapter, therefore, looks in more detail at the existing data and information sources that might have potential for providing such indicators.

## **CHAPTER FIVE                    MONITORING AND EVALUATION INFORMATION**

### **INTRODUCTION**

5.1 Having looked at some of the issues surrounding monitoring and evaluation of the Compact, and identified the key areas which any monitoring and evaluation framework needs to focus upon, this Chapter looks at the various information sources that might have the potential to be used for monitoring and evaluation purposes. The Chapter is structured as follows:-

- First 2 continuing and existing data sources, both of which are collated by the Executive, are examined;
- The Consultation Registration and Evaluation System that the Executive is setting up is then considered;
- Two “one-off” information sources are examined; and
- Conclusions are then drawn.

### **CONTINUING EXISTING INFORMATION SOURCES**

5.2 There are 2 information sources that have been categorised as continuing and existing: that is the data is currently collected and collated, has been for a while and will be in the future. The sources are the Executive’s Direct Funding and Indirect Funding Databases (Table 5.1). As their titles imply both relate to funding, in particular grant allocations from the Executive and other public bodies. There is already general criticism of compacts for being too dominated by funding issues (see Craig, et al, 1999). Indeed funding is only one of 4 topics covered by the Executive’s Good Practice guidance notes. Accordingly there must be concern that, were too much emphasis placed upon funding as a Baseline or monitoring indicator, then the other issues that the Compact covers would be lost sight of and groups not in receipt of funding might be ignored. There are also, apparently, concerns as to how comprehensive the databases actually are. This needs to be borne in mind when considering the information they contain.

5.3 The Direct Funding Database contains details of the voluntary organisations funded by each Executive Department and Division. The information covers:-

- Organisation funded, although it is not always possible from this to know what types of activity the organisation is involved in (for example what does BACUP do?);
- The Department and Division providing the funding;
- The type of grant provided. This is, in effect, the budget heading from which the grant is paid, for example the Millennium Volunteers Fund, Councils for Voluntary Service, or Rural Challenge;
- The legislative basis for giving the funding;
- The Policy Priority Area to which the grant is contributing, for example Rural, Volunteering Sector, Special Educational Needs or Older People; and

- The amount allocated in the relevant financial year.

**Table 5.1 Continuing Existing Information Sources**

<b>Source</b>	<b>Collator</b>	<b>Information Collected</b>	<b>Advantages</b>	<b>Disadvantages</b>
Direct Funding Database	Scottish Executive	Annual funding from each Executive Department/ Division, including organisation supported grant source, amount and the Policy Priority area being supported.	<ol style="list-style-type: none"> <li>1. Details of voluntary organisations funded by the Executive.</li> <li>2. Time series data available.</li> </ol>	<ol style="list-style-type: none"> <li>1. Covers funding only.</li> <li>2. May not be totally accurate.</li> <li>3. The activity/project being funded is not always obvious.</li> </ol>
Indirect Funding Database	Scottish Executive	Annual funding from NDPBs and Agencies including organisation funded, amount.	<ol style="list-style-type: none"> <li>1. Details of funding provided by NDPBs and Agencies.</li> <li>2. Time series data available.</li> </ol>	<ol style="list-style-type: none"> <li>1. Covers funding only.</li> <li>2. May not be totally accurate.</li> <li>3. 85% of spend is not disaggregated.</li> </ol>

5.4 As this information is on an Excel spread sheet it should be easily manipulated if there were a desire to aggregate data by Policy Priority Areas or Type of Grant. Time series information is also available as the dataset goes back 4 years. It should, therefore, be possible to look at trends in funding by the various categories listed above.

5.5 The Indirect Funding Database has similar details of voluntary organisations funded by Departmental sponsored Non-Departmental Public Bodies (NDPBs) and agencies, going back for 3 years. The information includes:-

- The Department or Division providing the funding;
- The NDPB or agency responsible for managing funding;
- The voluntary organisation funded, for example Social Firms Scotland and Young Scot Enterprise. However, as with the Direct Funding Database, the activity being supported is not always obvious;
- The amount of planned spending; and
- A regional breakdown, albeit that this excludes the distribution of resources under a number of headings (see Paragraph 5.6).

Again, as the information is contained on a spread sheet, various aggregations should be possible.

5.6 Unfortunately some of the very large funding allocations are not disaggregated to specific end users. For example, in 2001/2002 out of total funding of £304 million, £177 million was distributed to various unspecified housing associations, £48 million to “multi-agency partnerships pursuing Social Inclusion Strategies” whilst a further £34.8 million was distributed by the Scottish Arts Council to bodies described as “various”. In total, therefore, 85% of funding was allocated through 3 out of 721 funding categories for which no breakdown by area or activity is given.

5.7 The limited disaggregation of the Indirect Funding Database therefore means that its use for monitoring and evaluation purposes is limited. The Direct Database may have more potential. However its financial focus means that it is only covering one of the Compact’s key areas, whilst the tangential relationship of the information to the Compact may mean that it can only be used to provide surrogate variables.

## **CONTINUING FUTURE INFORMATION SOURCES**

5.8 The Executive is in the process of setting up a Consultation Registration and Evaluation System, which incorporates a Registration and an Evaluation Form. This is to become operational in April 2003 and will eventually provide continuing, or time series, data (Table 5.2). As both forms cover policy consultation they overlap with a key area of the Compact.

**Table 5.2 Continuing Future Information Sources**

<b>Source</b>	<b>Collator</b>	<b>Information collected</b>	<b>Advantages</b>	<b>Disadvantages</b>
Consultation Register	Scottish Executive	Target audience and consultation methods and timetables for policy consultations.	1. Can target voluntary sector. 2. Collect information that specifically relates the Compact.	1. Untried as yet. 2. Response rate?
Consultation Evaluation Report	Scottish Executive	The impact of the consultation, liaison, feedback and time given for responses.	1. Could be used to monitor and evaluate specific aspects of the Compact.	1. Untried as yet. 2. Response rate?

5.9 The Consultation Registration Form will hold details of forthcoming consultation exercises and the information will be entered into a database. This will include such data as the target audience, consultation methods and timetables. Information on the target audiences identifies “Voluntary Sector: Umbrella Groups”, “Voluntary Sector: Community Groups” and “Equality Groups”, with Equality Groups being further subdivided into 12 interest groups, for example Older People and those on Low Incomes. Many of these are either of interest to the voluntary sector or will have voluntary sector representative bodies.

5.10 The Consultation Evaluation Form, to be completed after a consultation has closed, covers such things as the impact of the consultation, liaison, feedback given to consultees and the time given for responses. It will be possible to relate the evaluation responses back to the target groups identified in the Registration Form. Accordingly, it should be possible to use the Evaluation data to monitor such things as the time allowed to receive consultation responses and the feedback being provided to consultees.

5.11 It might also be possible to look at the impact of consultation on policy, thereby enabling aspects of the Compact, such as proofing, to be evaluated. However the information needed to do this will be provided as text, with respondents being asked to give a summary, of not more than 150 words, on what has been done as a result of consultation. There will, therefore, be resource implications if it were to be analysed. It might, however, be worth considering if the Form could include a more specific question, addressed at proofing. For example, something along the lines of, “Please outline any changes made to policy as a result of consultations with the voluntary sector”, would give some indication that the impact of policy on the sector was being taken account of.

5.12 When the System is implemented, and if it has widespread support across the Executive, it would seem to have considerable monitoring and formative evaluation potential. Completion of the Consultation Registration Form is to be a requirement if consultation teams are to have their consultation paper published on the Executive’s website. This sanction may mean that compliance is high. However there do not seem to be any sanctions if the Evaluation Form is not completed, although it is the intention to send an email reminder to all who have registered a consultation. Despite this, the variable response to other data collection exercises within the Executive (see Paragraph 5.19), may mean that compliance may not be 100%.

5.13 The data collected would also have to be disaggregated in so far as the voluntary sector accounts for only 2 out of the 12 target audiences identified. However, as the data will be captured, and held, electronically, this should not be a major problem.

5.14 Greater difficulties may be caused if there is a lack of understanding amongst respondents as to the nature of the voluntary sector. The responses to an earlier Mapping Exercise, undertaken by the Executive, demonstrated a degree of confusion amongst some as to how voluntary groups were defined (see Paragraph 5.21). If this is widespread within the Executive then the information collected through the System may be of limited use.

## “ONE-OFF” INFORMATION SOURCES

5.15 The Executive has undertaken 2 data collection exercises (one in conjunction with SCVO) that have potential to be used to review, or form a Baseline, for the Compact (see Table 5.3). The first of these was Compact specific.

5.16 The Annual Review of Implementation of the Scottish Compact was based on returns to 3 questionnaires. These were sent to:-

- Scottish Executive Divisions;
- NDPB and Agencies; and
- 400 voluntary and community bodies on SCVO’s Research Panel (see Paragraph 6.3). This latter survey was undertaken by SCVO.

5.17 Although the Review is the main source of Compact specific information it is not without its problems. The main ones are:-

- The variable response rates. Given this, some of the impressive percentages quoted in the Review are based on small numbers of responses;
- The differences in the questionnaires, with the Divisional, NDPB and agency questionnaires consisting largely of open ended questions dealing with such things as experiences of working with the voluntary sector and difficulties encountered in trying to meet the Compact’s commitments. In contrast the voluntary sector questionnaire mainly asked respondents to rate their experiences, of such things as partnership working and funding issues, on a 3 point scale. This makes comparisons difficult as partners to the same agreement were being asked different things;
- Implicit in the questionnaires, certainly the voluntary sector one, was the view that the Compact was about government changing its ways and attitudes towards the voluntary sector. Thus the voluntary sector questionnaire was essentially an assessment of the sector’s perceptions of how government has changed. The governmental questionnaires were more balanced, in so far as questions were asked about the implementation of the Compact internally, through such mechanisms as objective and target setting. These differences, although a good reflection of much of the writing on compacts (which tends to imply that compacts are about government making commitments and changes rather than the voluntary sector), and also a fair reflection of the one-sided nature of the Good Practice Guides, mean that bringing the two sets of results together, in a way that reflects the concept of the Compact as a partnership, is difficult; and
- The focus of all questionnaires was on process and, to a lesser extent, outputs rather than outcomes or impacts. However this was, perhaps, inevitable given that the Compact was still being established and had, as the responses show, yet to permeate very deeply into the organisations being surveyed.

**Table 5.3 “One-off” Information Sources**

<b>Source</b>	<b>Collator</b>	<b>Information collected</b>	<b>Advantages</b>	<b>Disadvantages</b>
Annual Review of Implementation of the Scottish Compact	Scottish Executive and Scottish Council for Voluntary Organisations (SCVO)	Views of the Executive, Non-Departmental Public Bodies (NDPBs), Agencies and the voluntary sector on the compact and government-sector relations over the past year.	1. The only survey to explicitly address the Compact. 2. Provides a variety of information that could be used to develop a Baseline.	1. Methodological and philosophical differences between the 2 surveys making up the Review. 2. Variable response rate.
Mapping of Scottish Executive contact with the voluntary sector <sup>7</sup>	Scottish Executive	Policies and issues that impact upon the sector and the voluntary sector groups and agencies with which Divisions have contact.	1. Snapshot of Executive-voluntary sector links. 2. Could have Baseline potential.	1. Variable response rate. 2. Variable data quality.

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<sup>7</sup> The Mapping exercise was the first attempt at looking at the scale of contacts with the sector across the Executive. It was undertaken for internal purposes and no decision has been taken as to whether it will be repeated.

5.18 The Review document, unfortunately, does not always summarise the information that was requested through the questionnaires. A particular case in point is the question to the Executive's Divisions on having an objective in their workplans regarding responsibilities for Compact implementation. There is a similar question in the agency and NDPB questionnaire. However, neither set of responses is summarised in the Review. This is disappointing as such information could form a useful input into a Baseline which could then be monitored. One can only assume that the omission of this information was either because respondents did not provide it or that very few had such an objective.

5.19 More recently the Executive undertook a "Mapping of Scottish Executive contact with the voluntary sector", albeit that no analysis has been done, as yet, of the information returned. This was an initial exercise done for internal purposes. As a first attempt at mapping contacts with the sector across the Executive it is perhaps not surprising that there are felt to be some problems with the robustness of the data. The exercise also raised methodological issues regarding the sample framework. For example it was unclear if all Departments or Divisions should be included as the extent of contact with, and influence over, the sector was felt to vary (see Paragraph 4.11). This might then explain the low response rates from some Departments. This is an issue that is looked at in greater detail in Chapter 6.

5.20 Accepting these caveats, the various Divisions were asked to report on their contacts under 4 headings:-

- Published policies and consultations that impact upon the sector;
- Current issues that have implications for the sector;
- Links with intermediary voluntary organisations; and
- Working and review groups that involve the sector.

5.21 A rapid scrutiny<sup>8</sup> of the information shows that:-

- Of the 94 Divisions identified, responses were received from over two thirds;
- The respondents identified 82 links with intermediary bodies and 96 links with groups on which the voluntary sector was represented. However there was, not surprisingly, considerable overlap. Many organisations, especially the umbrella groups, had links and involvement across a large number of Departments and Divisions. For example SCVO was mentioned 17 times as a intermediary body (21% of responses) and 8 times as a member of a group (8% of responses);
- The frequency and regularity of meetings with groups varied widely. For example Community Care 1, Branch 4 met with the Mental Health and Well Being Support Group 12 times a year. Others were less structured, as can be seen from such comments as "all voluntary organisations in theory can be part of the partnership process"; and
- Some of the responses indicated that there was a need for wider understanding of the voluntary sector. For example one respondent stated "I am ...not clear how voluntary bodies are defined", whilst another said that she did "not really know what intermediary voluntary organisations are". Whilst these responses may

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<sup>8</sup> The figures derived from the Mapping exercise should be treated as indicative as there has not been sufficient time to undertake a detailed analysis. It is also felt that there may be duplication in some responses. The information therefore needs to be treated with caution.

indicate a failure to read the guidance given on the form it would seem to be indicative of the types of problem that any survey dealing with the sector-government interface is likely to encounter.

5.22 The 2 “one-off” information sources are therefore not without problems. Particular problems with the Mapping information are the level of non-responses from some Divisions and the variations in the detail provided. The Review suffers from low return rates from some categories of respondents, although any alternative is likely to face similar difficulties.

5.23 Despite these problems, in their current form, both sources could be built upon to provide a Baseline. For example, the Review contains some useful information such as a snapshot of the views of the voluntary sector on their relationships with government over all of the 4 areas of the Compact (Funding, Consultation, Partnership Working and Policy Proofing). The Mapping information provides a snapshot of Executive-voluntary sector networks which could also be fed into a Baseline.

5.24 If these 2 sources are to be used in developing a Baseline then one implication is that they be repeated at regular intervals in order to monitor progress. However any such repetition would need to ensure that some of the problems outlined above were overcome. This might mean modifying and adding questions.

## **CONCLUSIONS**

5.25 Although a variety of information is available, the majority has been collected for non-Compact purposes. Using the unmodified data for monitoring and evaluating the Compact could be difficult as there is often limited correspondence between the data and the Compact’s objectives. Its use to provide a Baseline would also seem to have problems. Despite this, the various datasets do have some potential. The use to which the data could be put is dealt with in Chapter 7. The exception is the Indirect Funding database. The extent to which the data is aggregated means that it is hard to see it being of much use.

5.26 Given that the data has limited use it is likely that there will be a need to collect information through surveys of the sector and government. Accordingly the next Chapter considers the issues involved in devising any sampling framework.

## **CHAPTER SIX                      DEVELOPING A COMPACT SAMPLING FRAMEWORK**

### **INTRODUCTION**

6.1     At a general level it is easy to determine the parties to the Compact agreement from which any sample should be drawn: government, as defined in the Compact documentation, and the voluntary and community sectors. However the situation becomes more complicated when each of these constituencies is explored in greater detail. Accordingly the purpose of this Chapter is to look at some of the issues involved in identifying the sample frame. This develops in greater depth some of the issues touched upon in Chapter 4.

### **DEFINING A VOLUNTARY SECTOR FRAMEWORK**

6.2     Defining the voluntary and community sectors with any precision is difficult. The main reason for this is that, although various networks and datasets exist, they cover only a part of the sector, for example registered charities. There are, however a number of networks, some of which are already used to collect non-Compact specific information (Table 6.1). These might have the potential to be used in a way that could either inform a compact Baseline or could form a sample framework for collecting monitoring information on a systematic basis, either using existing data as surrogate variables or by collecting additional information. All of these networks are facilitated or convened by SCVO.

6.3     The first is SCVO's Research Panel of Voluntary Sector Organisations. This is a stratified sample of 5,000 voluntary organisations. It now holds data going back 10 years. Its stratified sample basis means that it is possible to gross up statistics and obtain data that is reasonably representative of the sector as a whole. The data held covers:-

- A breakdown by “field of work”. This might have potential to be used for measuring specific interests that government has. For example if the Executive decided that “services for elderly people” were to be a political priority then the number of organisations on the Register involved in this activity over time could be tracked;
- Sources and types of income, albeit these are based on a sample of charities, housing associations and credit unions. Income could also be tracked over time and changes highlighted; and
- The geographical distribution of charities by local authority area. This might be useful if there was a political desire to promote voluntary activity in certain localities, for example rural areas. Again this could be tracked over time.

6.4     The main problem with the Panel is that the most detailed, and up-to-date, information held relates to voluntary organisations that have charitable status. However, the gap in information on non-charitable organisations is being addressed by the Scottish Voluntary Sector Data Management Consortium: a partnership between SCVO and a cross-section of Councils for Voluntary Service (CVS). The Consortium is developing a framework for data exchange in order to develop standard data and sampling frameworks for the whole of the Scottish voluntary sector, covering local, regional and national organisations.

**Table 6.1 Networks with Information Capture Potential**

<b>Network</b>	<b>Convenor</b>	<b>Purpose</b>	<b>Advantages</b>	<b>Disadvantages</b>
Research Panel of Voluntary Sector Organisations	SCVO	Gather accurate information on the charitable sector in Scotland. Snap shot of the sector including income, expenditure, staff, volunteers, activities involve in and geographic location.	1. Stratified random sample of the sector. 2. Time series data available. .	1. Currently only includes charities. 2. Aggregated data. 3. Tenuous link to the Compact in its current form. 4. Poor response when used to collect information for the Compact Annual Review (29%).
Members Survey	SCVO	Gather members' views on SCVO.	Survey already undertaken so that Compact questions might be added at minimal additional cost.	1. Only SCVO members and may not be representative of the sector. 2. Low response rate.
Intermediaries Network	SCVO	To discuss matters of common interest and formulate a sector position.	Small group, covering a range of issues, which is to have opinions on the Compact.	1. How representative of the sector are they? 2. Use might marginalise small groups.

6.5 The Panel was used by SCVO to send out 400 short questionnaires as part of the 2000-01 Compact Review (see Paragraphs 5.16 to 5.18). However the response rate was relatively low, at 29%. There was a particularly low response from national voluntary organisations, exactly the segment of the sector that one might expect to be interested in the national Compact. One explanation for this may be that such organisations have direct involvement with the Executive and therefore see the Compact as largely irrelevant to their needs.

6.6 The second network is made up of SCVO's members. SCVO has undertaken Surveys of its 1,600 members. On average around 400 (28%) responses are received. However membership is not representative of the sector, there being a bias towards the larger organisations and an under-representation from rural areas and the North of Scotland (SCVO, December 2002). To overcome these problems SCVO membership has been reviewed and associate membership extended to network or intermediary bodies (such as CVSSs) and rural organisations in the Highlands and Islands. Given these attempts to make membership more representative, the Survey might have potential to be expanded to include questions about the Compact.

6.7 SCVO also convenes an Intermediaries Network. This brings together a range of umbrella organisations (around 25) that operate at the national level, for example the Scottish Federation of Housing Associations. The purpose is to discuss and develop a stance on matters of common interest, such as reform of charities law. The feeling is that the members are familiar with, and will have opinions on, the Compact. As such they could be used as a sounding board. However, there must be concerns as to how representative their views may be of the wider sector. There are general concerns in the literature about the domination of compacts by the "institutional voluntary sector", which includes umbrella groups (McCurry, 2001, p. 18). Were this Network to be used as the basis for some monitoring exercise then there must be well founded fears that smaller groups may feel marginalised. However, set against this, must be the fact that the Network exists and is operational.

6.8 There are a number of other databases of the sector that are being set up (Table 6.2). The main ones are:-

**Table 6.2 Databases in the Process of being Developed**

<b>Database</b>	<b>Initiator</b>	<b>Key features</b>	<b>Advantages</b>	<b>Disadvantages</b>
Workforce Panel	SCVO	Representative sample of the sector in Scotland	1. Representative sample. 2. Use as a research tool may result in response rates being high	1. Could become institutionalised and therefore unrepresentative. 2. Not yet set up.
Local Enterprise Companies and Councils for Voluntary Service (CVS) <sup>9</sup>	Various LECs and CVSs.	Locally based inventories of voluntary organisations	1. In depth local coverage of the sector. 2. LECs involvement shows interest in the sector is moving out from the Executive.	1. Definitions might be inconsistent. 2. Local focus - might not be relevant to the National Compact. 3. Patchwork coverage
Office of the Scottish Charities Regulator	Scottish Executive	Register of active charities allied to a reporting and monitoring regime.	1. Cover all active charities. 2. Funding may mean that it is able to develop a detailed database.	1. Charities only. 2. Regulatory and fiscal use might restrict its use for other purposes.

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<sup>9</sup> These databases seem to be set up independently of one another.

- SCVO's Workforce Panel, which is in the process of being developed and should be in place later in 2003, assuming there is co-operation from SCVO's membership. The Panel is to be a sub-set of members selected so that they are representative of the wider voluntary and community sector, in so far as this is known. The main purpose of the Panel will be to track changes in employment in the sector. It will therefore be used as a research tool, with members being given incentives to "buy-in" to it. The intention is that periodic surveys will be undertaken, using email questionnaires. The fact that respondents will have bought into the Panel is felt to be a way of obtaining a high response rate. Given that the Panel is being constructed in a way that ensures it represents the sector, it may have potential to be used as a sample frame for Compact monitoring and evaluation. However there is always a danger that those who are members of the Panel become, in effect, institutionalised so that over time membership results in their opinions diverging from those of the wider sector. This is a not major danger when this type of fora is used to collect quantitative information, which is the current intention. . However, as it is likely that much of the material to be collected about the Compact will be qualitative there could be a danger that the process of undertaking periodic surveys influences perceptions of, and reactions to, the Compact;
- Some Local Enterprise Companies (LECs) have begun to work with their local CVSs to collate databases for their areas, albeit that they do not always use the same definitions of the sector; and
- The setting up of a body to regulate and support the charity sector in Scotland, provisionally known as the Office of the Scottish Charities Regulator (OSCR). This will develop a comprehensive register of charities that are active, thereby overcoming one of the problems with other lists and databases of charities which often include bodies that are dormant. A new monitoring and reporting regime will be introduced based on the annual submission of reports and accounts.

## **OTHER VOLUNTARY SECTOR SAMPLING ISSUES**

6.9 There are, therefore, a number of databases and information networks that could potentially be used to derive a sampling framework for monitoring and evaluating the Compact. These vary in a number of aspects, especially the extent to which they are representative of the sector. However their use also raises another question: the extent to which those included in any of these networks want to have involvement with government and therefore see the Compact as being relevant to them.

6.10 The Compact states explicit that: "not all voluntary organisations will have an interest in seeking partnership with Government. Some will prefer to pursue their own objectives without reference to the state. Others may find themselves more often in opposition to the Government than in partnership", (The Scottish Office, 1998, p. 1). Despite this statement, it is difficult to see that any part of the sector, however defined, is not affected by government at some time and in some way, especially given the broad definition of "government" in the Compact (see Paragraph 4.9). The most recent example of this is the proposed updated definition of charitable status that is to be introduced as part of the OSCR reforms. Clearly the intensity of the interface will vary and some parts, and members, of the sector will be more interested in developing a partnership than will others. However, many more may have

an interest in influencing policy or legislative outcomes, regardless as to whether they see consultation or lobbying as part of a partnership development process.

6.11 It is also likely that the large national organisations within the sector already had good links to government prior to the Compact. They may therefore gain limited benefits as it is implemented. Paradoxically, it may be those parts of the sector that either claim not to be interested in the Compact, or not to have heard about it, that stand to gain the most from its implementation.

6.12 Given this it may be that the main criterion for developing a sample framework is that it is representative of the sector in Scotland, rather than being composed largely of groups that already have, or are eager to develop, partnerships and dialogue with government. Accordingly any sample should represent the sector in terms of its: size (employees and income); geographical distribution; organisational type (national, regional, local and umbrella bodies); and range of activities. Although such a sample might include groups that currently find the Compact irrelevant, the implementation process might, over time, change this situation. This is something that monitoring could track.

## **DEFINING GOVERNMENT**

6.13 Defining parties to the Compact from government is easily done as they are listed in the Compact. However there are issues regarding:-

- The intensity of contact that the various parts of government have with the sector. At its extreme this might involve some parts of government claiming that they have no contact with, or influence over, the sector;
- Directing any survey to a member of staff who has an awareness and understanding of the Compact and can therefore give answers that are a realistic reflection of the organisation's response to the Compact's commitments. The responses to the Annual Review clearly indicated that some parts of government either had not taken on board their commitments under the Compact or the survey had been directed to the wrong person. This either reflects a lack of corporate commitment to the Compact or poor internal management structures or possibly both; and
- The definitions used by government in defining the sector. For example one of the respondees to the Executive's Mapping Exercise placed the health and social services (hospitals and day centres) within the sector. This lack of understanding, or misunderstanding, could easily bias results.

6.14 The intensity of contact with the sector could have an impact upon the response rates to any survey, with those who feel that they have limited contact being reluctant to respond. One solution to this might be to initially limit any survey to those parts of government that are felt to have the most contact with the sector. The Mapping Exercise gives some guidance on this for the Executive, something that is touched upon in Chapter 4 (Paragraph 4.11). However, the danger with this approach is that those parts of government that are not covered may feel that this absolves them from the need to implement the Compact. The initiatives that some LECs are currently making to map voluntary organisations within their areas would also seem to be indicative of a gradual move within government to embrace the sector. One can also look at the experience in Northern Ireland, where all of the Executive's 12

Departments have developed Strategies for supporting the sector as part of their commitments under “Partners for Change” (Paragraphs 3.21 to 3.26). None are able to opt out on the grounds that their contact with, and impact upon, the sector is limited. Given this, it may be that limiting any survey to a sub-set of government will give the wrong signals about the Executive’s commitment to the Compact.

6.15 Difficulties in targeting the appropriate person with any survey form are by no means unique to work on the Compact. However, if it is not possible to identify a single point of entry into a particular part of government this would seem to be indicative of a lack of commitment to the Compact in that management has not responded and made implementation a priority by allocating responsibility to a named individual. If this is indeed a problem, as some of the responses to the Review would seem to indicate, then there may be merit in considering adopting the approach suggested by the Treasury (HM Treasury, 2002) in allocating responsibility to a named senior member of staff (see Paragraph 3.11).

6.16 The final management related issue is the definition of the sector. It is accepted that defining the voluntary sector accurately and concisely is difficult, even for those who are part of the sector. This seems to be an even greater problem for some parts of government (see Paragraph 6.13). Accordingly there may be a need to define the sector so that all parties to the Compact are clear about what it encompasses.

## **CONCLUSION**

6.17 There are a variety of databases and networks from which a sample of the voluntary sector could be drawn. When making a decision the key has to be that any sample is representative of the sector. This means that it will not be biased towards national organisations and ones that already have good awareness of the Compact. The assumption is that the entire sector is affected by government and therefore it all has an interest in the Compact even if, at the moment, some may see it as irrelevant. It may be that it is this group that has the most to gain.

6.18 Government is more easily defined than the voluntary sector. However it is likely that some Departments and NDPBs are so large that they have multiple interfaces with the sector. It may be difficult to capture this through a survey and indeed it may be difficult for any one person within the organisation to be aware of all the contacts with the sector. However, if this is the case, then it needs to be seen as an internal management issue for the organisation rather than being used as an excuse to avoid participation in Compact monitoring and evaluation.

6.19 It can also be argued that, as the intensity of interaction with the sector is likely to vary, then initially only those parts of government with the most frequent involvement with the sector should be included within the monitoring and evaluation remit. The danger with such an approach is that it sends the message to those not involved that the Compact is irrelevant to them. It may also serve as an excuse for some parts of government to avoid becoming more familiar with the sector. For these reasons it is proposed that any monitoring and evaluation framework needs to cover all of the government parties to the Compact. Even those that see it as irrelevant will be forced, through engagement in the process, to become more familiar with it and hopefully more aware of the sector and its role and potential.

## CHAPTER SEVEN      MONITORING AND EVALUATION INDICATORS AND BASELINE FORMULATION

7.1 Chapter 4 pulled together work from a variety of sources and identified 11 key factors that any monitoring and evaluation framework would need to use (Paragraph 4.20). Of these, 4 were specific to the Scottish Compact, dealing with the Good Practice Guides and associated guidance. The remainder were generic, dealing with issues such as the Awareness and Trust that seem to be fundamental to any Compact. The first part of this Chapter looks at the extent to which the data sources analysed in Chapter 5 could be used, either in their current form or in some modified way, to develop monitoring and evaluation indicators and baseline information.

### DEVELOPING INDICATORS

7.2 There are 2 data sources that seem to have monitoring and evaluation potential. These are:-

- The Direct Funding Database; and
- The Consultation Registration and Evaluation System.

7.3 Table 7.1 identifies the indicators that could be derived from the Direct Funding Database. These are divided into those that could be derived directly, with a minimum of additional work, and the indirect ones that would need some manipulation before they could be formulated. They are as follows:-

- A direct surrogate indicator for **Partnership** is the amount of funding allocated to particular groups. However this is seen as being an Evaluation, rather than a Monitoring indicator. For example, if over the period of evaluation there had been a policy decision to provide additional support to particular groups or areas (for example young people or rural areas) then the database could be used to track the pattern and amount of spending;
- One of the main factors underlying the effectiveness of the Compact is the development of mutual **Trust**. One surrogate indicator for **Trust** is the amount of the Executive's budget that is allocated to the sector. If this increased over time then this could be interpreted as being indicative of the Executive trusting the sector to take on additional roles;
- An indirect indicator is the percentage of funding applications determined within the 3 month period. This is clearly an important issue, as Paragraph 4.14 identified, accordingly efforts should be made to monitor it under the **Funding** heading;  
**Mutual Understanding** could be monitored by deriving a surrogate indicator: the percentage of applications approved. The assumption is that the greater the percentage of applications that are approved then the more this reflects the sector submitting applications that meet funding rules, thereby showing that, amongst other things, there is greater understanding of the Executive's funding programmes and criteria. Clearly other assumptions could be made. For example,

**Table 7.1 Indicators Derived From the Direct Funding Database**

Activity Area	Direct	Indirect
Awareness		
Dissemination		
Use		
Usefulness		
Consultation		
Policy Proofing		
Partnership	% funds allocated to particular groups <sup>10</sup>	
Funding		% of applications determined within 3 months.
Mutual understanding		% of applications approved.
Confidence		% of applications determined within 3 months % of approved applications with which no problems are experienced.
Trust	% Executive budget allocated to the voluntary sector.	

<sup>10</sup> “Groups” are here defined as specific sub-sets of the population or specific parts of Scotland that the Executive has decided to give funding priority to, such as young people or rural areas.

an increased approval rate might reflect more resources being made available. However, it seems valid to assume that the Executive applies its funding criteria consistently. Accordingly, even with these different interpretations, it is felt this indicator is valid; and

- **Confidence** could be measured by 2 surrogate indicators: the percentage of allocations determined within 3 months and the percentage of approved applications with which no problems (such as failure to claim grant payments) are experienced. If the percentage of both indicators increases then it could be seen as indicative of a growth in confidence with both parties having faith that the other will meet its contractual commitments

It will be seen that there is some overlap between the indicators, with one being used to measure both Funding and Confidence. This is inevitable and indeed it would be possible to allocate some of the indicators to other categories given that they are by no means watertight.

7.4 Table 7.2 considers the indicators that can be derived from the Consultation Registration and Evaluation System. It will be seen that more of these can be derived directly than from the Direct Funding Database. However, as with Table 7.1, there is a degree of overlap between indicators. The indicators are:-

- Measuring the time given for receiving, and the time given for reporting on, consultations can be used to monitor conformity to the **Consultation** Good Practice Guide. One of the key measures would be that at least 3 months are allowed for consultees to submit responses;
- **Policy Proofing** could be monitored in 2 ways: either directly by analysing the text responses to the Evaluation form and identifying responses that indicate that policy has been changed as a result of feedback from the sector; or by adding to the Form a specific question that asks for examples of any changes that have been made as a result of consultation with the sector (see Paragraph 5.11);
- A surrogate indicator for **Partnership** could be the extent to which, as part of the consultation exercise, there was liaison with the sector. To this end it might be useful to modify the Evaluation Form so that some of the key sector umbrella bodies (for example SCVO) are identified by name under the “External Organisations” heading;
- **Mutual Understanding** could be measured by a surrogate indicator, the percentage of total consultation responses that originated from the sector. The assumption is that, as understanding grows, then the sector becomes more willing to respond to consultations. However such an indicator would have to be interpreted with caution as different consultations will clearly have varied relevance to the sector; and
- **Confidence** can be indicated by 2 surrogates: the percentage of total responses that originated from the sector; and responses from the sector as a percentage of the number of invitations to respond sent to the sector.

7.5 From Tables 7.1 and 7.2 it will be seen that of the 11 areas identified for which monitoring/evaluation indicators need to be derived, the databases could be used to formulate 9 directly and 4 indirectly. However many of the indicators are surrogates: that is they are not directly measuring aspects of the Compact but are measuring things that are tangential and need to be made relevant by making a number of assumptions. Given this there could be debate about their usefulness.

**Table 7.2 Indicators Derived From the Consultation Registration and Evaluation System**

<b>Activity Area</b>	<b>Direct</b>	<b>Indirect</b>
Awareness		
Dissemination		
Use		
Usefulness		
Consultation	Time given for consultation. Time given for reporting on consultation.	
Policy Proofing	Changes to policy as a result of consultations with the voluntary sector <sup>11</sup> .	
Partnership	External liaison with the sector <sup>12</sup> .	
Funding		
Mutual understanding	% of total consultation responses from the sector.	
Confidence	% of total consultation responses from the sector. Responses from the sector as a % of number of sector invitations.	
Trust		

<sup>11</sup> One of the suggested Proofing indicators would require the addition of an additional question to the Consultation Registration and Evaluation System (see Paragraph 7.4).

<sup>12</sup> “External liaison with the sector” refers to liaison “when preparing or conducting the consultation exercise” with voluntary sector bodies, as specified on the Executive’s Consultation Evaluation Form. Such an indicator would require that the Form be slightly modified (see Paragraph 7.4).

7.6 It is likely that some of the indirect indicators, derived from the Direct Funding Database, will require additional work by the Executive to devise them. However if this information is not already readily available it seems important that it be produced. Regardless of its value for Compact monitoring, it would seem to be basic management information that any organisation should collate.

## **DEVELOPING A MONITORING AND EVALUATION SYSTEM**

7.7 It appears that 4 of the monitoring/evaluation areas (Awareness, Dissemination, Use and Usefulness) are not covered by any of the data sources. Reference to Paragraph 4.20 shows that the type of indicators needed to monitor these 4 areas are:-

- **Awareness** could be monitored by finding out if copies of the Compact and the Guides had been received and if staff in government and the sector were aware of them and their contents;
- **Dissemination** considers the extent to which the Compact and associated documentation has permeated into the organisation. One way of measuring this would be to interview staff at various levels within an organisation to see if they were familiar with the Compact. This is the form of appraisal used in Investors in People accreditation. Such an approach would, however, have considerable resource implications;
- **Use** would cover the extent to which staff in government and the sector make use of the Compact and Guides in their mutual interactions. Indicators might be the extent to which the documentation is referred to and quoted; and
- **Usefulness** covers the extent to which the use of the documentation, especially the Guides, was felt to facilitate sector-government interactions. An obvious aspect of this, that might influence formative evaluation, would be to ask for suggestions as to how the guidance could be improved.

7.8 The type of information identified in Paragraph 7.7 is not currently available from any of the datasets. Accordingly it would need to be collected through surveys. It would, however, make little sense to collect such a limited amount of information. There would seem to be more merit in using a survey to collect information on all 11 areas of the Compact as outlined in Paragraph 4.20. The information collected, or derived, from the datasets could then be used to supplement this and add additional dimensions.

## **THE MONITORING SURVEY**

7.9 Members of the Compact Review Group were circulated with a draft survey based on the 11 areas identified as being the essence of the Compact. The survey was designed to be distributed and analysed electronically, with the survey form being sent as an email attachment. Collating the responses electronically means that the questions would need to be closed, with respondents being provided with a range of options from which they would select one. The information gathered would, therefore, be both limited in detail and impressionistic. This approach would, however, minimise costs whilst increasing the response rates. It was also intended that essentially identical surveys would be distributed to the sector and government, thereby avoid the difficulties with the 2000-01 Annual Review

which asked the 2 groups different questions. The survey is to be undertaken annually. Although some respondents saw this as being too frequent, on balance it is felt that this is appropriate. It will enable issues to be identified, and appropriate action taken, at an early stage. A longer time interval may mean that concerns are only identified once they have become significant problems.

7.10 There was general agreement that the survey covered the key areas and no additions were suggested. There were a number of suggestions for improvements to the content:-

- That the options “unaware” or “unknown” be added to the multiple choices. It was felt that this addition would avoid a large number of non-responses;
- The wording on some of the questions be revised to make it less ambiguous; and
- Some open ended questions be added so that more of the flavour of the sector-government relationship be picked up.

7.11 In line with the first 2 of these suggestions the survey has been revised. It is included as Appendix 2. It would be easy to add some open ended questions. However there are resource implications, in that such questions would need to be analysed and classified manually. Accordingly it is not proposed that this be done. Instead, to obtain more detailed information about Compact implementation, it is proposed that 2 other complementary approaches be used: focus groups and an Annual Meeting (see Paragraph 7.19).

7.12 There was some concern about the proposal to distribute the survey electronically as it was felt that not all groups within the sector would have access to email. However a number of respondents gave estimates of the percentage of groups that they felt had email access. These were generally high. For example it was estimated that 95% of registered charities had access, whilst a survey commissioned in 2001 by the Executive’s Rural Policy Team found that 50% of respondents (many of whom were from the voluntary sector) had internet access at work. Many others had access through community facilities or at home. The only low internet penetration was in small “one-off” community organisations of which only 10% were estimated to have access. Despite these variations, it is still felt that an email survey is the most cost effective approach. Any under-representation of specific groups will be covered through focus group membership and through the sample methodology, which is considered next.

7.13 Chapter 6 considered how to define a sample framework. The conclusions reached were that:-

- Any survey of the voluntary sector should be based on a sample, with the key criteria being that the sample be representative of the sector; and
- The whole of government be surveyed, regardless of the intensity of contact with the sector and the knowledge of the Compact that individual organisations or Divisions might have.

7.14 There are many approaches that could be developed for sampling a representative cross-section of the sector. However, there seems little merit in reinventing the wheel. Accordingly the suggestion is that the Executive work with SCVO and makes use of its Workforce Panel, which is in the process of being set up (Paragraph 6.8). Not only is this being constructed so that it is representative of the sector (in so far as this is known) but, as there will be perceived benefits in participating, the response rates to any survey should be

high. The Panel would therefore be used as the sample base for sending out the annual monitoring survey. This would be facilitated by the fact that all Panel members would have email access.

7.15 It is assumed that contact with government will be relatively easily undertaken, given that the Executive carried out the Annual Review. Accordingly it is proposed that the same database be used. It is recognised that there might be problems in gaining a response in some parts of government, in that the survey might not be directed to the appropriate person, whilst some agencies might know little about the Compact and may have done nothing about its implementation. Accordingly it is proposed, in parallel with the survey, that a number of other actions be taken to publicise and implement the Compact within government. These are outlined in Paragraphs 8.4 to 8.6.

## **SUMMARISING THE CORE INDICATORS**

7.16 The original assumption, when the Review started, was that it would be possible to make use of existing data to identify a number of core monitoring and evaluation indicators. As the earlier Paragraphs make clear, this has been only partially possible. Accordingly there is a need to formulate Compact specific indicators and collect these through a survey to supplement those derived from the Direct Funding Database and the Consultation Registration and Evaluation System (Tables 7.1 and 7.2). Appendix 2 gives the proposed contents of the survey.

7.17 In total 34 indicators have been derived from the 2 data sources and the survey. These are summarised in Tables 7.3 to 7.5. For each, the key area it relates to is shown as is its source and frequency of collection. The detailed definitions of each are given in: Paragraph 7.3 for indicators derived from the Direct Funding Database; Paragraph 7.4 for those derived from the Consultation Registration and Evaluation System; and Appendix 2 for the ones that are to be derived from the survey.

7.18 It is proposed that information on each should be collected annually and that the Executive (presumably the Voluntary Issues Unit) should be responsible for collection, analysis and dissemination. As the proposal is that the survey is undertaken electronically, data management is not seen as a problem. Distribution and the collation of results should be easily undertaken once the contact addresses have been assembled.

## **FOCUS GROUPS AND AN ANNUAL MEETING**

7.19 Monitoring the Compact using the datasets and the survey will miss some of the “flavour” of the Compact. Accordingly it is proposed that these sources of information be supplemented by 2 others, designed to gather information in a more discursive way. These are:-

**Table 7.3 The Core Monitoring Indicators for Awareness, Dissemination, Use, and Usefulness**

<b>Activity Area</b>	<b>Indicator</b>	<b>Source</b>	<b>Frequency of collection</b>
Awareness	a) Receipt of the Compact. b) Receipt of the Good Practice Guides. c) Awareness of the Compact. d) Understanding of the Compact.	a) Annual Compact Monitoring Survey. b) Annual Compact Monitoring Survey.	All Annually. .
Dissemination	a) Dissemination of the Compact. b) Designated Compact contact and information point.	a) Annual Compact Monitoring Survey. b) Annual Compact Monitoring Survey.	All Annually.
Use	a) Use of Compact and Good Practice Guides. b) Reference to the Compact and Good Practice Guides.	a) Annual Compact Monitoring Survey. b) Annual Compact Monitoring Survey.	All Annually.
Usefulness	a) The usefulness of the Compact. b) The usefulness of the Good Practice Guides.	a) Annual Compact Monitoring Survey. b) Annual Compact Monitoring Survey.	All Annually.

**Table 7.4 The Core Monitoring Indicators for Consultation, Policy Proofing, and Partnership**

<b>Activity Area</b>	<b>Indicator</b>	<b>Source</b>	<b>Frequency of collection</b>
Consultation	<ul style="list-style-type: none"> <li>a) Time given for consultation.</li> <li>b) Time given for reporting on consultation.</li> <li>c) Use of Good Practice Guidance during consultations.</li> <li>d) The productivity of consultations.</li> </ul>	<ul style="list-style-type: none"> <li>a) Consultation Registration and Evaluation System.</li> <li>b) Consultation Registration and Evaluation System.</li> <li>c) Annual Compact Monitoring Survey.</li> <li>d) Annual Compact Monitoring Survey.</li> </ul>	All Annually.
Policy Proofing	<ul style="list-style-type: none"> <li>a) Policy changes as a consequence of consultation.</li> <li>b) Use of the Good Practice Guides when discussing the impact of policy.</li> <li>c) Appreciation of the impact of policy on the sector.</li> </ul>	<ul style="list-style-type: none"> <li>a) Consultation Registration and Evaluation System.</li> <li>b) Annual Compact Monitoring Survey.</li> <li>c) Annual Compact Monitoring Survey.</li> </ul>	All Annually
Partnership	<ul style="list-style-type: none"> <li>a) External liaison with the sector.</li> <li>b) Percentage of funds allocated to particular groups.</li> <li>c) Use of the Good Practice Guide when working in partnership.</li> <li>d) The effectiveness of partnership working.</li> </ul>	<ul style="list-style-type: none"> <li>a) Consultation Registration and Evaluation System.</li> <li>b) Direct Funding Database.</li> <li>c) Annual Compact Monitoring Survey.</li> <li>d) Annual Compact Monitoring Survey</li> </ul>	All Annually.

**Table 7.5 The Core Monitoring Indicators for Funding, Mutual Understanding, Confidence and Trust**

<b>Activity Area</b>	<b>Indicator</b>	<b>Source</b>	<b>Frequency of collection</b>
Funding	<ul style="list-style-type: none"> <li>a) Percentage of applications determined within 3 months.</li> <li>b) Use of the relevant Good Practice Guide when making funding decisions.</li> <li>c) Openness and transparency of funding policies and practices.</li> <li>d) The efficiency of funding administration.</li> </ul>	<ul style="list-style-type: none"> <li>a) Direct Funding Database</li> <li>b) Annual Compact Monitoring Survey.</li> <li>c) Annual Compact Monitoring Survey.</li> <li>d) Annual Compact Monitoring Survey.</li> </ul>	All Annually.
Mutual understanding	<ul style="list-style-type: none"> <li>a) Percentage of total consultation responses from the sector.</li> <li>b) Percentage of funding applications approved.</li> <li>c) The development of mutual understanding.</li> </ul>	<ul style="list-style-type: none"> <li>a) Consultation Registration and Evaluation System.</li> <li>b) Direct Funding Database</li> <li>c) Annual Compact Monitoring Survey.</li> </ul>	All Annually.
Confidence	<ul style="list-style-type: none"> <li>a) Percentage of total consultation responses from the sector.</li> <li>b) Responses from the sector as a percentage of the number of sector invitations.</li> <li>c) Percentage of funding of applications determine within 3 months.</li> <li>d) Percentage of approved applications with which no problems are experienced.</li> <li>e) The development of mutual understanding.</li> </ul>	<ul style="list-style-type: none"> <li>a) Consultation Registration and Evaluation System.</li> <li>b) Consultation Registration and Evaluation System.</li> <li>c) Direct Funding Database</li> <li>d) Direct Funding Database</li> <li>e) Annual Compact Monitoring Survey.</li> </ul>	All Annually.
Trust	<ul style="list-style-type: none"> <li>a) Percentage of the Executive's budget allocated to the voluntary sector.</li> </ul>	<ul style="list-style-type: none"> <li>a) Direct Funding Database</li> </ul>	Annually.

Focus Groups, with every 2 years 3 focus groups being convened, covering rural, urban and semi-rural/small town Scotland. Alternatively the groups could be structured along thematic lines, for example covering different client groups. The groups would be used to explore in greater depth issues arising from Compact development and implementation. Each group would be facilitated by an experienced external consultant who would also be responsible for producing a report with recommendations. Membership would be by invitation, with members selected from local voluntary groups operating within the area and the government sector. Attempts would also be made to correct any bias in survey responses by inviting underrepresented groups. Meeting every 2 years is felt to be a reasonable balance between the costs involved in convening the groups and their utility, as more frequent meetings may, after the first, result in few new issues emerging; and

- An Annual Meeting, which brings together sector representatives and government ministers, officials and key staff from NDPBs and agencies, is also proposed. This would discuss Compact implementation, changes needed to make it more effective and other issues that were impacting upon government and the sector. The “model” would be the meetings held in England and Wales. This would be a clear indication that the Compact was given high level political priority and would raise its profile within the sector and government. It may be that existing meetings could be used for this purpose, with their focus changed so that the Compact becomes the umbrella for sector-government discussions.

## **AN ANNUAL REVIEW AND ACTION PLAN**

7.20 The results of the various monitoring initiatives outlined above need to be brought together into an Annual Review. This would summarise the information collected, identify the issues, and discuss how these should be resolved. The Review would be prepared by the Executive and the sector (ideally SCVO) and presented and discussed at the Annual Meeting, at which it would form the “spine” of the agenda. Following any revisions, it would be published jointly by the Executive and the sector.

7.21 Any monitoring exercise, if it is to have a purpose beyond tokenism, has to be part of a process whereby policy is informed and modified. An effective monitoring system has to have a feedback loop, something that did not seem to exist for the 2000-01 Annual Review. To create such a loop it is proposed that there be an Annual Compact Action Plan, along the lines of that prepared in England. This would be the output of the Annual Meeting and the Review. It would identify the specific actions that needed to be undertaken to aid Compact implementation and allocate responsibility for these along with a timetable. Once the first Plan was prepared, then its implementation would form part of the annual monitoring round. Progress would be considered at the Annual Meeting and revisions and changes made which would then be incorporated into the next year’s Plan.

## **DEVELOPING A BASELINE**

7.22 Given that the Compact was published in 1998, any Baseline produced in 2003 will be very misleading, in that attitudes measured are likely to have been affected by the

implementation of the Compact. Despite this there would seem to be 2 main options for developing a Baseline:-

- To use the results of the first monitoring survey (Paragraph 7.9 to 7.15) as the de facto Baseline and then measure subsequent changes relative to this; or
- To develop a Baseline from the 2000-01 Annual Review (Paragraphs 5.16 to 5.18) supplemented by information from 3 other sources (the Direct Funding Database, the Mapping Exercise and SCVO's Research Panel).

7.23 The Annual Review, although not without its problems, contains a variety of information:-

- For the Executive's Divisions it covers: the main focus of interaction with the voluntary sector; positive and negative experiences; difficulties experienced in meeting Compact commitments; and views on the Compact's usefulness. Responses are summarised quantitatively so that changes can be tracked over time;
- NDPBs' and Agencies' information is similar, covering: the main focus of interactions; positive and negative experiences; difficulties in working with the sector and the usefulness of the Compact. Again the Review gives a quantitative summary that could be tracked over time; and
- For the Voluntary Sector, perceptions of changes in working relationships over the main Good Practice areas are summarised as percentages on a 3 point scale. The Review also gives percentages for respondents knowing about the Compact and citing it in their dealings with the Executive.

7.24 The 3 other sources mentioned in Paragraph 7.22 could be used to provide what may be best described as a contextual Baseline, that is a Baseline that is not Compact specific but which sets the scene within which the Compact operates. These sources are:-

- The Direct Funding Database which should be capable of ready manipulation to provide a variety of information about grant sources and the Policy Priority Area being supported (as outlined in Paragraph 5.3);
- The Executive's Mapping Exercise which provides a partial overview of the Executive's contacts with the sector (Paragraph 5.19); and
- SCVO's Research Panel which gives an overview of the shape and size of the voluntary and community sectors in Scotland (Paragraph 6.3).

7.25 It needs to be stressed that these sources do not provide Compact specific information. However one of the attractions of using them to produce a Baseline is that they exist. Despite this, their use for monitoring and evaluation purposes would mean that the information would have to be updated. There would be resource implications in doing this for the Review and the Mapping Exercise. It is also the case that the former will have been supplanted by the email survey. Accordingly it is proposed that the Baseline be derived from the responses to the first annual email questionnaire (Paragraphs 7.9 to 7.15), supplemented by the indicators shown in Tables 7.1 and 7.2 and additional contextual information derived from the Direct Funding Database and SCVO's ongoing analysis of the sector's shape. The other information sources outlined above could then be used to supplement these as necessary.

## DEVisING AN EVALUATION FRAMEWORK

7.26 The monitoring approach outlined above is essentially a mixture of formative evaluation (in so far as the results of the monitoring exercise inform and influence Compact implementation) and summative evaluation, in that some elements of the approach are looking at the outcomes of Compact implementation (for example the growth in Trust and Confidence between the 2 parties). Monitoring and evaluation are therefore not being treated as totally separate processes.

7.27 The outputs of the Annual Review will thus be a mixture of operational issues and more in-depth analyses of the impact of the Compact in terms of developing a deeper, and more fruitful, relationship between the sector and government. Evaluation, therefore, is best seen as being a deepening of the monitoring process. The Annual Review will provide the context. It is then suggested that evaluation be undertaken in the following way:-

- A survey be carried out of government and the sector to gather contextual information on the processes and structures set up to implement the Compact and perceptions of its effectiveness in influencing relationships between the 2 parties;
- A sample of government departments, agencies and NDPBs is selected and the extent to which they are implementing, and have implemented, the Compact be analysed. This will be done by undertaking interviews with staff to assess their awareness of the Compact and to see if it has influenced their interactions with the sector;
- Undertaking a sample survey of voluntary and community groups. The sample would be selected so that it is representative of the sector. Again the aim would be to assess familiarity with, and use of, the Compact, and the extent to which it was felt to have been useful in facilitating interactions;
- The 2 sample surveys would be used to generate a number of case studies, of both good and bad practices in Compact use. These would then be explored in greater depth through interviews with the parties involved in order to identify key issues; and
- A series of recommendations would be formulated intended to make the Compact and its implementation more effective.

The samples (drawn from government and the sector) would be derived from the sample frame used for the Annual Monitoring Survey: that is all government departments, agencies and NDPBs and a representative sample of the sector as included in SCVO's Workforce Panel. There would therefore be a close relationship, in terms of the sample frame, between ongoing monitoring and the less frequent evaluation. Given that there will be an Annual Survey and a series of Focus Groups every 2 years it is felt that, initially, evaluation should be undertaken every 3 years. This is a sufficiently short timescale to allow the results, especially, good practice identification, to influence Compact implementation. As the Compact becomes more mainstreamed then it is recommended that evaluation only takes place every 5 years.

7.28 Table 7.6 outlines in more detail the main areas that the evaluation indicators would seek to explore. The survey would set the context, gathering less detailed information about systems, processes and impacts using a closed questionnaire. This would then be deepened by carrying out semi-structured interviews with staff in government and the sector.

**Table 7.6 Key Evaluation Indicators**

Indicator	Method of Collection
Named individual (s) responsible for Compact dissemination.	Survey.
Named individual (s) responsible for Compact implementation.	Survey.
Internal systems in place for disseminating information about the Compact.	Survey.
Effectiveness of these systems:- a) staff having contact with the sector/government being aware of the Compact; and a) staff having contact with the sector/government being aware of their obligations under the Compact.	Survey/interviews.
Impact of these systems:- a) greater mutual understanding; b) greater mutual confidence; and c) greater mutual trust.	Survey/interviews.
Perceptions of these systems:- a) examples of policy/practice changes as a result of the Compact; b) examples of the Compact not being adhered to; and c) examples of policy/practice which contravenes the Compact.	Survey/interviews.
Identification of:- a) good practices in Compact use and implementation; and b) bad practices in Compact use and implementation.	Survey /interviews.
Suggestions for changes to Compact implementation processes and procedures.	Survey/interviews.

7.29 This evaluation proposal is not the type of detailed framework that the original tender proposed. This is now not thought to be necessary, or appropriate, given that the suggested approach to monitoring contains elements of both formative and summative evaluation and the fact that the type of indicators that it was originally felt could be generated from existing datasets do not exist.

## **CONCLUSION**

7.30 This Chapter has identified a number of indicators that could be used to monitor and evaluate the Compact. It would be possible to formulate many more. The problem is that to then collect information about them would be time consuming and expensive. Accordingly the suggested approach is one that seeks to minimise costs, whilst covering what are felt to be the main elements of the Compact process. Whilst the use of a broad brush survey undoubtedly has deficiencies, its augmentation by other ways of collecting information, such as the use of focus groups, should mean that the true nature of sector-government relations are identified.

7.31 The use of a monitoring framework blending formative and summative evaluation is felt to be a way of increasing the impact of evaluation.. Rather than the usual “after-the-event” evaluation, which often has limited effect, the suggested approach, especially the link to an Annual Meeting and Action Plan, should ensure that there can be ongoing modifications to the Compact, thereby increasing its effectiveness.

7.32 This Chapter has contained a number of detailed recommendations. The next Chapter repeats some of these by gathering together all of the recommendations of the Review.

## CHAPTER EIGHT CONCLUSIONS AND RECOMMENDATIONS

### INTRODUCTION

8.1 The Compact was published in 1998. Since then, for whatever reason, there has been limited progress in monitoring and evaluation. It could now be argued, with some justification, that the Scottish Compact lags behind those elsewhere in the United Kingdom. This is not just a reflection of monitoring and evaluation progress but also of other factors, for example the lack of an action plan and the type of high level political commitment that seems to be characteristic of implementation in England, Northern Ireland and Wales. There is also very limited Baseline information that would illustrate the state of sector-government relations in 1998. The Compact itself, despite the establishment of the Parliament, has not been updated (unlike the situation in Wales) whilst the Good Practice Guides do not reflect the concept of a partnership.

8.2 All of these factors mean that to simply produce a series of recommendations addressed at monitoring and evaluation would be very misleading given that the Compact seems, certainly in comparison with progress elsewhere, to be partially developed. Accordingly this Chapter makes a number of Recommendations, several of which are about setting up structures and processes. Were these to be established, then monitoring and evaluation would be far simpler as there would be more specific actions to keep track of.

8.3 The Recommendations are structured as follows: first a number of general ones are made; these are followed by ones specifically related to monitoring, as outlined in Chapter 7, including suggestions for manipulating and modifying existing datasets; then the baseline is considered; finally evaluation is dealt with.

### GENERAL COMPACT RECOMMENDATIONS

8.4 The Compact was published in 1998, before the Parliament was established. Although revisions are apparently underway nothing has, as yet, been published. The Good Practice Guides, although not so dated, suffer from being very one sided as does SCVO's guidance to the sector. Accordingly it is recommended that:-

#### **Recommendation 1**

- The Compact be updated and revised.

#### **Recommendation 2**

- The Good Practice Guides be updated and revised.

The contents of both should reflect the fact that the Compact is a partnership, involving government and the community and voluntary sectors. As such the Guides should identify the commitments of both government and the sector and need to be joint Executive-SCVO documents. It may be that, rather than revising them all at the same time, they should be

rewritten as specific policy areas develop, as long as this is not used as an excuse for avoiding taking action.

8.5 The profile of the Compact should be raised by associating it more publicly with senior politicians, as is the case in England and Wales. Accordingly it is recommended that:-

### **Recommendation 3**

- There is an Annual Meeting between the sector, senior politicians, civil servants and senior management from agencies and NDPBs.

It might be possible that such a meeting could be set up by rebadging existing meetings and initiatives under the Compact title and extending the list of invitees.

8.6 Compact implementation seems to be very permissive. Although an implementation strategy is in the process of being developed, it is recommended that a more systematic approach be taken. Accordingly it is suggested that:-

### **Recommendation 4**

- An Annual Action Plan be drawn up by the Executive and the sector. This will contain specific actions that are to be implemented, along with details of the timescales and the organisations responsible for implementation.

### **Recommendation 5**

- The Annual Meeting discuss progress in implementing the Plan. This then forms part of the basis for the formulation of the next year's Plan.

### **Recommendation 6**

- The government parties to the Compact are required to produce plans which detail how they propose to go about meeting their Compact commitments. Such plans need to be specific and to be phased so that they can be monitored.

It could be argued that it would be more effective, and avoid creating another layer of bureaucracy, if the implementation of the Compact were to come about through its inclusion in existing plans. Whilst acknowledging this, it is felt that, in the short term, if the Compact is to be given priority within government, it needs the higher profile that the requirement to produce a specific implementation plan will bring.

### **Recommendation 7**

- The Scottish Council for Voluntary Organisations draw up a plan which outlines how the sector should go about meeting its Compact commitments. This plan needs to be specific and phased so that it can be monitored.

### **Recommendation 8**

- Within government (including agencies and NDPBs) key individuals be identified who will be the main contact point for information about the Compact.

### **Recommendation 9**

- Within government (including agencies and NDPBs) key individuals be identified who will be responsible for ensuring that the Compact is implemented.

It may be that the individuals needed to implement Recommendations 8 and 9 will be the same person in some parts of the Executive, agencies or NDPBs. Elsewhere it may be that 2 different individuals are needed as it is particularly important that those responsible for implementation have the requisite seniority.

## **MONITORING**

8.7 The above Recommendations will have an impact upon monitoring in that they have inherent in them both elements of monitoring and the notion of incorporating feedback into the Compact implementation process. Specific monitoring recommendations are now given.

### **Recommendation 10**

- A number of direct and indirect monitoring indicators should be derived from the Direct Funding Database and the Consultation Registration and Evaluation System (as detailed in Tables 7.1 and 7.2).

### **Recommendation 11**

- To facilitate the use of these 2 sources consideration should be given to:-
  - Collecting additional funding information covering: the percentage of grant applications determined within 3 months; the percentage of applications approved; and the percentage of approved applications with which no problems are subsequently experienced; and
  - Modifying the Consultation Evaluation Form by: adding an additional question which asks if any changes were made to policy as a result of consultation with the sector; and listing SCVO as one of the specified external organisations consulted.

### **Recommendation 12**

- There should be an Annual Compact Monitoring Survey.

### **Recommendation 13**

- The survey should be distributed and analysed electronically.

The survey will be distributed to the named individuals who have responsibility for ensuring that the Compact is implemented within government (Recommendations 8 and 9). Within the sector the recipient will be the Workforce Panel contact (see Recommendation 16).

#### **Recommendation 14**

- The survey should be symmetrical, that is it should ask essentially the same questions of the sector and government.

#### **Recommendation 15**

- The survey of the sector should be based upon a representative sample.

The need for a representative sample is considered in Paragraphs 6.9 to 6.12. It is recommended that any sample should reflect the sector in a number of dimensions, in particular: the size (number of employees and income) and type (national, regional, local and umbrella groups) of organisations; key activities; and spatial distribution.

#### **Recommendation 16**

- The Executive should work with SCVO to see if its Workforce Panel could be used as the sample framework.

The Panel is in the process of being set up and its composition is, as yet, not confirmed. However the intention is that it will include a cross-section of the sector as suggested in Recommendation 15.

#### **Recommendation 17**

- The survey of government Departments, Divisions, agencies and NDPBs that are parties to the Compact should be a census.

It may be that some of the Executive's Divisions have purely an internal focus. If this is the case then they can be excluded from the census as long as there is certainty that their activities do not impact upon the sector.

#### **Recommendation 18**

- The survey should be augmented by the use of 3 Focus Groups that would be convened every 2 years. The groups would cover: rural, urban and small town/suburban Scotland. Alternatively they could be convened along thematic lines: for example specific client groups. Members would be invited from voluntary groups, and the government sector, operating within the locality or covering the specific theme areas.

## **BASELINE**

8.8 Much of the information that could be used to devise a baseline has problems associated with it. Accordingly it is recommended that:-

### **Recommendation 19**

- The Baseline is derived from the responses to the first Annual Compact Monitoring Survey (Paragraphs 7.9 to 7.15 and 8.7, (Recommendation 12)) supplemented by the indicators outlined in Tables 7.1 and 7.2 and contextual information obtained from other sources (see Paragraph 7.25).

## **EVALUATION**

8.9 It is argued that formulating a separate evaluation framework is now of limited importance as the suggested monitoring approach blends formative and summative evaluation. Accordingly it is recommended that:-

### **Recommendation 20**

- Evaluation is based on surveys and a series of interviews which analyse the processes operating within a sample of government bodies and voluntary sector organisations. This would then be augmented by case studies of good and bad practices. The sample frame would be derived from that used for the Annual Compact Monitoring Survey.

### **Recommendation 21**

- Whilst the Compact is still being mainstreamed by government, evaluation should take place every 3 years. Once it is well established then every 5 years would seem to be sufficient.

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## **APPENDIX ONE                      EDINBURGH CITY COUNCIL AND EDINBURGH VOLUNTARY ORGANISATIONS COUNCIL PARTNERSHIP AGREEMENT**

The Agreement was drawn up between the City and the Edinburgh Voluntary Organisations Council (EVOC) in 1997. It involved a Partnership Statement and through it a number of protocols were formulated. The Agreement was driven by the Partnership Monitoring and Development Group. This had a cross-party membership of councillors and representatives from EVOC and other City-wide groups such as ones representing the elderly and young people.

Despite its name, the Group was not involved in formal monitoring. Through its meetings and discussions there developed a far greater mutual understanding of the issues and priorities facing the voluntary sector and the Council. This is seen as an important output of the process. It resulted in the growth of mutual respect from which the recent development of a formal written compact has been able to proceed. There were also a number of changes to policies and practices, in particular ones related to Council funding of voluntary organisations. For example there is now a single grant application form, the timetable for application submissions and decisions is distributed in advance and, where organisations are in receipt of support from a number of departments, one department takes the lead. These changes were as a result of these issues being raised at the Group. However, whilst other issues were discussed, for example the treatment of financial reserves, these have not always been resolved.

A more formal output of the Group's discussion was an annual questionnaire to voluntary groups seeking their views on the grant application and approval process and asking for information on performance. Feedback resulted in changes being made to the grant form. However, of greater significance for monitoring, is the information requested on performance. This is used to develop 3 performance indicators:-

- The extent to which funding related targets are attained by grant aided organisations. The average across all departments is currently 75%;
- The ratio of paid staff hours to volunteer hours across the funding departments; and
- The leverage of Council grant aid, with the average being £4.10 of other support attracted for every £1 of Council grant. As with all of the other indicators variations across funding Departments can be identified.

This information is collated and is to be reported to the Council Executive on an annual basis. It is a condition of grant support that this information is provided. The monitoring information requested has recently been added to. For example information is now to be provided on such things as black and ethnic minority service users.

The Council is now in the process, along with a range of partners, of moving towards having a formal written Compact. This will then be one of the inputs into the wider community planning process. It may be that the indicators can then be used as a baseline measure for some aspects of voluntary sector engagement.

Although the details on the Compact are still being discussed it seems that it will include an Action Plan that will be rolled forward annually. The partners involved in the Compact are likely to be, in addition to a number of representatives from the voluntary sector: Lothian and Borders Police, the Lothian National Health Service Trust, Communities Scotland and Scottish Enterprise Edinburgh and Lothian. This membership indicates that the aim is to replicate the national compact's membership at the local level, moving away from the Positive Partnership Statements which were between the authority and the sector with little, or no, involvement of other public bodies.

## APPENDIX TWO SURVEY QUESTIONNAIRE

The content of this draft survey has been developed to take account of what are felt to be the key dimensions of the Scottish Compact. It aims to cover the following areas: Awareness, Dissemination, Use, Usefulness, Consultation, Policy Proofing, Partnership, Funding, Mutual Understanding, Confidence and Trust.

The intention is that essentially the same survey form will be distributed annually to government and the sector, there being only minor changes in wording between the questions. This would allow comparisons to be drawn between the responses by government and the voluntary sector.

As an example, this form is worded for use by one of the Executive's Divisions.

### Awareness

1. This Division has received a copy of the Compact.

Yes                      Uncertain                      No

2. This Division has received a copy of the Good Practice Guides.

Yes                      Uncertain                      No

3. Within this Division staff who deal with the voluntary sector are aware of the Compact.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

4. Within this Division staff who deal with the voluntary sector have a good understanding of the Compact and its objectives.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

### Dissemination

5. Information about the Compact is disseminated widely within this Division.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

6. Within this Division there are designated members of staff who are the main Compact contact and information point.

Yes                      Uncertain                      No

## **Use**

7. This Division makes use of the Compact and the Good Practice Guides in its dealings with the voluntary sector.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

8. The voluntary sector refers to the Compact and Good Practice Guides in its dealings with this Division.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

## **Usefulness**

9. This Division finds the Compact useful in its dealings with the voluntary sector.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

10. This Division finds the Compact Good Practice Guides useful in its dealings with the voluntary sector.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

## **Consultation**

11. Over the last year, when consulting with the voluntary sector, the Division has made use of the Compact Consultation Good Practice Guidance.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

12. Over the last year consultations with the voluntary sector have become more productive.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

## **Policy Proofing**

13. Over the last year discussions on the impact of policy on the voluntary sector have made use of the Compact Policy Proofing Good Practice Guidance.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

14. Over the last year this Division has developed a greater appreciation of the impact of policy upon the voluntary sector.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

## **Partnership**

15. Over the last year partnerships between this Division and the voluntary sector have made use of the Compact Partnership Good Practice Guidance.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

16. Over the last year partnership working with the voluntary sector has become more effective.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

## **Funding**

17. Over the last year Divisional funding decisions affecting the voluntary sector have made use of the Compact Funding Good Practice Guidance.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

18. Over the last year funding policies and practices within the Division have become more open and transparent.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

19. Over the last year funding administration and decision making within the Division have become more efficient.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

## **Mutual Understanding**

20. Over the last year this Division has developed a better understanding of the voluntary sector.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

## **Confidence**

21. This Division now feels greater confidence in its day-to-day dealings with the voluntary sector than it did a year ago.

Strongly agree    Agree    Undecided    Not known    Disagree    Strongly disagree

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