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Rhodes University BANKSETA Research Chair:
M&E in a SETA Environment



WORKSHOP REPORT

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List of Abbreviations

APP	Annual Performance Plan
DHET	Department of Higher Education and Training
DG	Discretionary Grant
DPME	Department of Planning, Monitoring and Evaluation
GWMES	Government-wide Monitoring and Evaluation System
HR	Human Resources
HRDC	Human Resource Development Council
M&E	Monitoring and Evaluation
MG	Mandatory Grant
NDP	National Development Plan
NEPF	National Evaluation Policy Framework
NSA	National Skills Authority
NSDP	National Skills Development Plan
NSF	National Skills Fund
PSET	Post-School Education and Training
SETA	Sector Education and Training Authority
SP	Strategic Plan
SSP	Sector Skills Plan
ToC	Theory of Change

WORKSHOP REPORT

This report is part of a broader research chair programme consisting of nine projects addressing monitoring and evaluation (M&E) in a SETA environment (<https://www.ru.ac.za/elrc/projects/>). Implemented by Rhodes University over two years (August 2018 – March 2020), the programme is an initiative of South Africa's 21 Sector Education and Training Authorities (SETAs) and the Department of Higher Education and Training (DHET). The Chair is jointly funded by the BANKSETA and ServicesSETA.

While this workshop report is a deliverable in Project 3 (Performance Management), its contents are also relevant to the other projects within the SETA M&E research programme, in particular the overall M&E Framework (Project 1).

Rhodes University BANKSETA Research Chair: M&E in a SETA Environment

TITLE OF RESEARCH	M&E in a SETA Environment <i>Project 3 (Performance Management): Workshop Report</i>
CONTRACT NUMBER	<i>475.4710.644</i>
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END DATE	<i>01 March 2020</i>
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Background

Research programme lead Rhodes University convened a consultation workshop with SETA M&E role players on 12 June 2019 in Johannesburg at the ServicesSETA offices. This workshop formed part of the broader SETA M&E programme being implemented by Rhodes University with funding support from the BankSETA and ServicesSETA and general support from all SETAs, DHET and the NSA. Forty-six people attended the workshop representing a range of organisations (including 15 SETAs, DHET, NSA, Rhodes and Wits University) and positions (including SETA CEOs, COOs, senior managers, M&E professionals, research managers and SSP managers, as well as DHET officials). (See Appendix 1 for Attendance Register). The workshop provided an opportunity to share and reflect on the insights and recommendations emerging from the National Skills Summit and the various projects within the broader SETA M&E Programme. These insights and recommendations are informed by and closely aligned to the broader M&E framework provided by the Department of Performance Monitoring and Evaluation within the Presidency. The following quote introduced a number of key areas for consideration to workshop participants, that were explored during the workshop.

“In 2007, the Presidency issued the policy framework on the government-wide M&E system, which linked performance information, official statistics and evaluations and coordination of various role-players at the administrative centre of government to champion M&E practices. ... The system has focused on improving performance, as well as improved accountability.”

Goldman, I., Mathe, J.E., Jacob, C., Hercules, A., Amisi, M., Buthelezi, T. et al., 2015, Developing South Africa’s national evaluation policy and system: First lessons learned. *African Evaluation Journal* 3(1), Art. #107.

As an activity within Project 3 (Develop Standards for SETA Performance), this workshop also contributed to the overall development of an “aligned, implementable M&E framework that sees post-school education and training (PSET) as a system and supports systemic and institutional learning as much as accountability” (Project Document). More specifically, this workshop provided a forum for discussing the challenges and possibilities for improvement with regard to the streamlining and strengthening of SETA monitoring and evaluation. Given the timing of the workshop that corresponded with the finalisation of the first drafts of the Sector Skills Plans (SSPs), the role of Monitoring and Evaluation (M&E) in relation to these plans was of particular interest to many attendees. This interest was further enhanced by the recent inclusion of a new Chapter 5 within the SSP framework that focuses specifically on M&E. Two parallel focus group discussions were thus included in the workshop, one of which focused on performance management and reporting related to M&E and the other on the development and use of M&E processes in relation to the development of the SSPs. (See Appendix 2 for the programme.)

This brief report provides a summary of the presentations, discussions and emerging insights from the workshop. (See Appendix 3 for the presentation used to stimulate and focus discussion.)

The workshop was facilitated by Prof Eureta Rosenberg, Mr Mike Ward and Mr Khotso Tsotsotso.

Overview of the Workshop

The first half of the workshop focused on sharing insights and recommendations emerging from the programme overall, and opening discussions were concerned with how SETA leaders and DHET respond to these. Three main areas were covered, namely reflection on the National Skills Summit, streamlining SETA monitoring and reporting, and strengthening evaluation and its use.

National Skills Summit Report Back

Two Ministers presented keynote addresses at the National Skills Summit, which was convened by the National Skills Authority (NSA) with other government partners on 14-15 March 2018. Minister Naledi Pandor noted that South Africa is comparatively well resourced with funding for post-school education and training (PSET) and emphasised a need to evaluate the *impact* of the application of this funding. Minister Nkosasana Dlamini-Zuma also emphasised the need for evaluations that determine not only whether the PSET role players are ‘doing it right’, but also, whether they are ‘doing the right things’. The report on the evaluation of the National Skills Development Strategy (NSDS III, by Mzabalaza and REAL) was presented; a key finding was that the available funding is not efficiently and effectively spent, with much of the available funding for skills development remaining unspent.

Following the plenary session, Commission 5 of the Summit focused on Monitoring and Evaluation. This commission included a presentation from the SETA M&E Chair. Through this and other presentations, and discussion, the Commission identified a number of issues that included:

- Current system concentrates on monitoring with less attention to evaluation of impact
- 12 of the 21 SETAs have M&E plans and among those SETAs with plans, not all are adequately resourced to implement the plans
- Research and evaluation capacity is generally still inadequate
- Lack of a system perspective in evaluation planning (ad hoc and disconnected evaluations)
- SETAs not sharing evaluation findings and systems with each other
- Inconsistency between planning, implementation, reporting
- Data quality and curation issues, with questions asked about the role of SETMIS.

Based on these issues the Commission developed the following recommendations:

- Drive system change based on research, planning, implementation, monitoring and evaluation
- Strengthen research partnerships and M&E as part of governance and accountability
- Improve governance and accountability through collective planning and using relevant systems, processes and tools
- Develop M&E framework to guide SETAs M&E activities (DHET)
- Impact indicators to be included in SETA APPs and SLAs
- Strengthen M&E capacity within DHET and SETAs
- Develop a coordination strategy for SETA M&E
- Identify and coordinate cross-cutting priority areas by SETAs
- Start a project for all SETAs to improve data quality
- Establish and centralise research repository to inform system improvements
- Partnerships, collaboration among SETAs for M&E purposes; CoP to learn best practices in M&E.

Discussion following presentation of National Skills Summit outcomes

- A number of the participants noted that there is an existing M&E system for the SETAs but that the various components of this system are poorly aligned. It was felt that the Government Wide Evaluation Framework did not give clear direction on what needs to be monitored and evaluated and that without clear guidance, multiple systems were being used by SETA M&E role players.
- Substantial research is currently taking place within the SETAs and other skills stakeholders regarding planning, M&E and reporting and there is a need to consolidate and communicate this work.
- Different terminology was used to suggest that “a skills value chain” and “logic of change” be developed to clarify the role of different M&E and reporting frameworks.
- The alignment across the various planning and reporting frameworks was raised as a key issue in terms of the skills value chain. Most importantly, the relationship between the Sector Skills Plans; the Strategic Plans; the Annual Performance Plans; the Service Level Agreement (between SETAs and DHET); and the other ad hoc reporting to, for example, parliamentary committees or line Departments, requires alignment. Here the role of DHET and NSA was highlighted.
- The focus of targets was also raised with a concern that far too much emphasis was given to numeric indicators (often associated with activities and outputs) rather than more evaluative insights associated with outcomes and impacts.
- There was acknowledgement that the new SSP framework provided (and explained by DHET at the workshop) was a significant improvement and allowed for substantial alignment between SETAs. The next step was to ‘work across the planning value chain’ to ensure alignment between the SSP, the SP, the APP, the SLA etc.

SETA M&E Research Programme

Emerging high level insights

Prior to the workshop a number of high level insights that are emerging from the various research projects were summarised. Many of these insights were raised by participants in the discussion recorded above, suggesting that the research is identifying real concerns. The following section lists some of these insights along with pertinent questions that require further investigation. A few examples of the kinds of comments that recurrently come up in interactions with SETA M&E stakeholders are included. These insights are considered in more detail in relation to two broad recommendations, namely streamlining monitoring and strengthening evaluation.

- A number of reviews and evaluations have recommended a reduction in objectives for SETAs and a clearer prioritisation in the face of diverse demands (Grawitzky 2007; Singizi 2007; Marock et al. 2008; Marock 2012; DHET 2013; Mzabalazo and REAL 2018).
 - Given the investment in SETAs, could their efficiency and effectiveness be enhanced to address the objectives listed in, for example, the NSDP, or is the scope simply too ambitious/ contradictory/ vague?

- The SETA mandate includes both a sector specific focus (defined with employers/ labour) and a developmental mandate as envisaged by the NDP, the NSDP, the MTSF and thus DHET.
 - Does this result in a tension between the SSP, SP and APP, on the one hand, and the Service Level Agreement with DHET?
 - *“SETAs seemed to be expected to contribute to all the goals, regardless of their relevance in the sector. For example, some sectors do not employ artisans but were expected to contribute to their training, others focussed on the public service but were expected to support SMMEs etc.” (Marock 2007, p51)*
- SETAs are required to report to multiple entities including: Parliamentary Committees; the Auditor General, National Treasury, DPME, DHET (Skills Branch, SETA Support, NSA), SETA Board and Stakeholders such as Industry and Government Line Departments. In addition, there are often requests for ad hoc and specific information outside of normal reporting cycles.
 - *“Our frustration is that everyone wants a report, DHET wants a report, Treasury want a report, Department of Transport wants a report ... and they are different. All different templates.”*
- SETAs have developed a diversity of structures, functions and tools for monitoring and evaluation with a large variation in capacity and outputs.
 - *“NSA have recently conducted a review of the documentation produced by three SETAs and this revealed a significant diversity in terms of reporting structure and in terms of capacity within the SETAs.”*
- Ongoing challenges in terms of the collection and interpretation of data through an integrated data management system has undermined the usefulness of and confidence in skills development data. This is compounded by the development of literally hundreds of indicators and the need to capture and interpret the data behind these indicators.
 - Would it be more sensible to iteratively develop indicators for monitoring, with a focus on a few key indicators to begin with, and expand the number and complexity of indicators as more capacity for quality data collection and interpretation is developed?
- Much of the monitoring and evaluation at this point is focused on inputs and outcomes i.e. relatively short time frames and more directly accessible data. Longer term and more complex outcomes and impacts are monitored and evaluated far less frequently.
 - *“At the moment ... we are still reporting more at an output level, we start looking at outcome results more when we do a tracer study, which is more an evaluation.”*

Streamlining Monitoring and Reporting

One of the key challenges associated with monitoring skills development is the centrality of skills to a wide range of organisational, national and global aspirations and plans. This means that employers, employees and government may be monitoring skills development in relation to individual company/ organisation competitiveness/ efficiency; national priorities as articulated in the National Development Plan, the Human Resource Development Strategy, the Post School Education and Training strategies and plans; and the Sector Skills Plans of the SETAs. In addition, stakeholders will be monitoring and reporting against regional and global plan targets as contained in the Sustainable Development Goals. This results in ‘skills’ being a key concern across a complex web of policies, plans, institutions and specific departments within institutions (see presentation for mind map skills system related to SETAs in Appendix 3). This in turn requires that SETAs monitor a wide range of activities/ outputs/ outcomes and impacts and report these to a number of institutions as portrayed in the Figure 1.

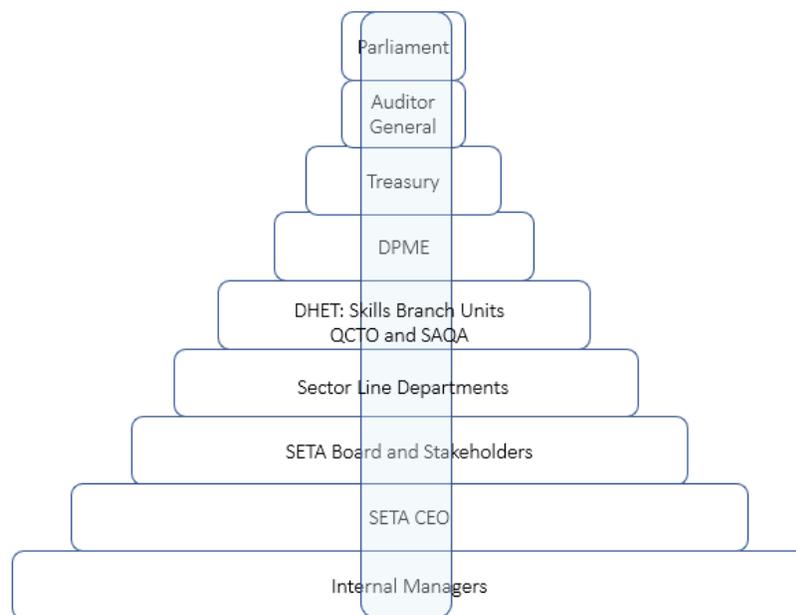


Figure 1: Multiple Stakeholders with Core Reporting Requirements

This in turn requires significant capacity to capture and interpret monitoring data. In many SETAs both the data capture and interpretation capacity is not sufficient. In responding to the diverse requests SETAs have developed their own monitoring systems and indicators, although some (but not all) report into SETMIS, which has the intention to provide a central platform for data. This makes sharing and learning across SETAs and between SETAs and DHET difficult. In the context of limited resources for monitoring however, there is likely to be an inverse correlation between the number of goals and indicators that are set, on the one hand, and the number of goals/ indicators that are achieved. In other words, if 3-4 goals are set with say 10 indicators, it is more likely that these goals and indicators will be tracked and potentially achieved, than if 10-15 goals (of a similar level) are set with 100 indicators.

Based on the above insights, three key questions, with associated recommendations, were presented to the participants as a stimulus for discussion. These were as follows:

- 1) Can one template, with a few key indicators, be used to report to all relevant stakeholders on: expenditure and performance; programmes and beneficiaries; and outputs, outcomes, impacts and lessons learnt. Our recommendation is that these indicators be identified and consolidated to form the 'core' down the centre of Figure 1. (Follow-up interviews with SETA stakeholders – to whom they report – have been scheduled.)
- 2) Can a few activities that are likely to contribute an inordinate amount towards achieving the core objectives of SETAs be identified in terms of both management and delivery? Our recommendation is to identify these activities (possibly through a theory of change process) and focus attention on them.
- 3) Can standardised data be collected and made available to multiple stakeholders? Our recommendation is to review the SETMIS platform with this in mind. (Follow-up interviews have been scheduled.)

Discussion based on presentation

- A number of participants noted that systems such as SETMIS were in place for data collection and that we should build on and refine existing systems rather than start something new.
- There were significant differences of opinion on how functional and useful SETMIS is after 10 years of development. Some participants felt that the system was functioning well while others noted challenges related to good data input from SETAs, service providers and employers.
- There was also a concern that SETMIS exacerbated the challenges regarding excessive indicators and that there was a need to focus on 'what value is being created' by the data being fed into SETMIS, and how it is being used.
- There was a call from some of the participants to clarify the 'big theory of change' and then streamline the monitoring to enable SETAs and other stakeholders to track and address relevant issues. (This need was subsequently reiterated by DHET and plans are underway to run a ToC workshop.)
- One participant noted that the SETAs are doing a great deal to contribute to skills development and monitoring data should be used to better communicate these successes.
- There was general agreement that greater clarity was needed on the contribution that skills development made to key aspirations and plans; the responsibilities and thus data needs of diverse institutions working to realise these aspirations and plans; and the common 'core' and its implications for monitoring. This was summarised by participants as the need to develop a clear theory of change and use this as the basis for streamlining monitoring data collections, sharing, reporting and use.

Strengthening Evaluation and its Use

This part of the workshop started with a consideration of international guidelines on evaluation as contained in the DPME publication quoted earlier. This led to a consideration of the contributions that the different forms of evaluation identified by the DPME, and for which guidelines have been developed, could contribute to strengthening SETA M&E and the use to which M&E processes are put. These inputs are summarised briefly below before considering the inputs during the subsequent discussion.

Based on an article by Goldman et al. (DPME 2015) the following international guidelines for evaluations were briefly presented during the workshop:

- For credibility, show the independence and quality of evaluation
- The need for different types of evaluations
- Standardised systems to overcome limited capacity
- Annual or rolling multi-year evaluation plan
- A budget allocation of 2% – 5% of programme budgets
- A central capacity to support evaluations in government, both developing policy, systems and supporting methodology and quality assurance
- Improvement plans should be developed based on the evaluations and their implementation closely monitored.

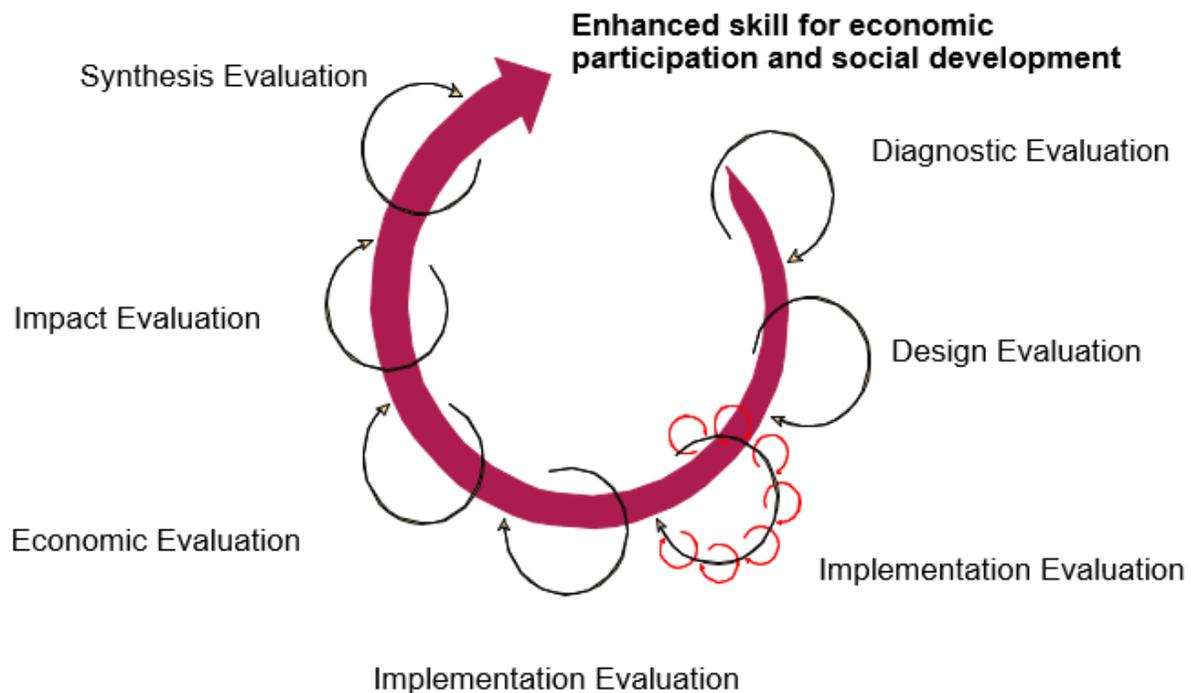


Figure 2: Organisational Learning through Evaluation

In line with these guidelines and linked directly to the various forms of evaluation for which the DPME have developed guidance notes, the SETA M&E programme has been exploring how to link the combined functions of both performance evaluation and organisational learning. The intention of this focus is to align with and support the National Evaluation Policy Framework that aims primarily at improving performance within government institutions. As is articulated elsewhere (Ward and Rosenberg, 2019) there is a significant overlap between expansive learning at an organisational/ activity system level, and the forms of evaluation identified by the DPME (see Figure 2). During the workshop brief examples of the different forms of evaluation were mentioned as well as their role in supporting performance improvement.

Discussion based on presentation

- Given the timing of this workshop, just as SETAs were finalising their SSPs, there was significant interest in the potential to plan and implement a five-year M&E planning cycle. There was substantial discussion on the need to use diagnostic and design evaluations more strategically to inform sector skills planning.
- There was also again strong emphasis on the need to develop a Theory of Change and to use the evaluation process outlined above to show the relevance and to reflect the value proposition of the ToC.
- The culmination of the NSDS III and the swearing in of a new Minister offered an opportunity in terms of new national/ political priorities and it was suggested by participants that an evaluation process could inform a new Theory of Change.
- There is a need to ensure that the SETA Boards are on the same page and able to approve and support the plans developed as a result of M&E processes and the M&E framework itself (this was also emphasised in one of the break-away sessions).
- There was some discussion about whether the SSP or the APP was the more appropriate place to feature an M&E component.
- There was a call to engage with DHET and top management in SETAs to create awareness of the importance of M&E.

Discussion on Systemic Changes

Following the presentations and discussions outlined above, a more general discussion focused on the broader systemic issues that either enabled or hindered the recommendations emerging from the study and the group.

- At the outset of this discussion it was recognised that DPME have done substantial work on M&E and that their policy and guidelines were good. There was a need to start using the guidelines available. It was recognised that while DHET may have been using the guidelines, they have not necessarily supported the SETAs to use the M&E policies and guidelines.
- There was concern about whether all SETAs have the capacity to develop the new Chapter 5 in the SSP. DHET at this point is focussing on the insights being developed from M&E, but in future there may be more focus on the actual methodology as well as the findings. The current SETA M&E research programme should inform this development.

- There are significant disjunctures between institutions (e.g. between SETAs and TVET colleges) in terms of evaluation frameworks that made findings difficult to consolidate or compare.
- There are significant disjunctures between units within SETAs, with poor collaboration between planning, research and M&E units. This led to a call for a clearer definition of functions related to M&E and possibly even an organogram linked to the M&E strategy/ plan/ framework. (There was also a caution against creating standardised *structure* (maybe useful to have standardised *functions*) as SETAs differ significantly due to the sectors that they service.)
- Linked to the above was a call for guidance on the elements that make up a functional M&E unit.
- SETMIS came up again as an important focus with a call to ensure that SETMIS is producing quality data for relevant monitoring and evaluation.
- Given the importance and enthusiasm for the SETA M&E research programme, it was felt that it is important to clarify the ‘political ownership’ of the programme. Specifically, DHET and NSA need to clarify their role in the entire project – BankSETA and Services SETA were clear that they were supporting the project on behalf of all SETA M&E stakeholders.

Parallel Sessions

Following the plenary discussion, two parallel sessions were then held. One session focused on strategic planning and reporting issues and was attended by approximately 10 senior SETA and DHET staff (facilitated by Prof Rosenberg). The other session provided SETA planning, research and M&E specialists an opportunity to discuss how they were engaging with M&E in relation to Chapter 5 in the SSP, and were given support by two resource persons (Mike Ward and Khotso Tsotsotso). More detailed accounts of these two sessions are recorded in separate reports. For the purposes of this workshop report, the areas of discussion, insights and emerging recommendations are summarised.

Parallel Session 1: Strategic Planning and Reporting

This session was originally planned to engage with executive managers from the SETAs and senior managers from DHET. However, only two SETA CEO/ COOs attended the plenary session, and there is a need to follow up on these discussions with appropriate level and organisational representatives, such as the SETA CEO Forums.

Two key questions were discussed namely:

- To what extent is M&E used for strategic planning purposes? What could improve the strategic use of M&E?
- There is a perception that SETAs have a dual mandate – answering to both sector and development agendas – that in turn leads to a proliferation of indicators and conflicting roles and reporting mandates. Is this perception valid and what should be done to address its implications?
- (See slide 27 for other questions that were not covered due to time constraints.)

Much of the discussion in this group focused on the interface between these two questions. The SETAs felt that they did a substantial amount of strategic planning based on research and the development of the SSPs. However, this strategic planning was undermined by priorities ‘dropped in’ and targets set

separately by DHET and in some instances Ministers or CEOs. These targets at times contradicted SETA strategic plans based on research and M&E, and led to queries from the Auditor General, and governance issues, as SETAs were not able to follow through on their evidence-based strategic planning. This was evident both in the Service Level Agreements between the SETAs and DHET and, in some instances, in the ad hoc requests/ demands from the Minister to focus on achieving certain targets.

The participants suggested that there was a need to engage with both DHET and the SETA Boards to, once approved, respect the strategic plans of the SETAs.

There was also discussion on the need to develop clearer guidelines on the development and implementation of an M&E Framework for SETAs. One suggestion was that DHET and NSA needed to take a more proactive role in developing a ‘standardised framework and structure for implementation’. However, this was contested in the plenary session where participants also noted the need for flexibility to respond to the unique features of each sector and SETA.

Parallel Session 2: M&E in the SSP

This year (2019) a new chapter (Chapter 5) has been introduced into the SSP framework and requires that SETAs reflect on what they have learnt through M&E processes and how the SETA will use this to improve their planning and implementation during the next 5-year cycle. Five main areas of discussion emerged during this parallel session:

- Many SETA participants noted that although they had done M&E in the past, they had not used it to guide their planning. Going forward they planned to develop an ‘evidence based strategic/ project implementation cycle’. This was often represented in Chapter 5 as a very simple Plan-Do-Check-Act (PDCA) cycle (see Figure 3). It is proposed that the more detailed expansive learning cycle and the associated evaluation framework depicted in Figure 1 would add significant value to this planning process.
- A number of SETAs are focussing on the ‘Strategic Priority Areas’ that were identified in previous SSPs. However, in many instances they had not developed a theory of change and therefore were having to retrospectively create these in order to evaluate whether objectives had been achieved and how. A discussion on how the detailed evaluation learning cycle could contribute to this process suggested the importance of a design evaluation process early on in the strategic planning process.



Figure 3: PDCA Cycle

- Participants noted that the work on Chapter 5 was in many instances creating links between the Research Unit and the M&E unit within SETAs – often for the first time. They also noted that the depth of M&E expertise required to develop Chapter 5 was in some instances not available in-house to some SETAs. One suggestion for addressing this it to reskill existing quality management staff (who may become redundant with the establishment of a shared QCTO) to become M&E specialists within the SETAs.
- In considering the table related to M&E performance developed for this parallel session (see Figure 4) there was a lack of clarity about what was meant by the different terms e.g. M&E Framework, M&E Plan, M&E Policy etc. in the SETA landscape. There was, however, general agreement that the SETAs were all at very different levels of development and capacity with regard to the M&E performance matrix.

No M&E Plan	M&E Plan Developed	M&E Plan Resourced	M&E Plan Implemented	Ongoing M&E Plans Refined
No evaluations done	Ad hoc evaluations	Systematic evaluations done	Evaluations feed into strategic planning	Multi-year evaluations done
No M&E staff	Some M&E staff	M&E staff capacitated	Adequate number of M&E staff	Collaboration with other SETAs on M&E
Evaluation focus unclear	Quality of outputs evaluated	Relevance of outputs evaluated	Outcomes evaluated	Impacts evaluated
Diagnostic evaluation	Design evaluation	Implementation evaluation	Economic evaluation	Synthesis evaluation

Figure 4: Performance Matrix related to SETA M&E

- This in turn revived the conversation about whether DHET should provide a standard structure for SETAs to plan for, implement and resource M&E. There was a strong argument that it would be better for DHET to allow individual SETAs to develop actual structures within broad functional requirements and an associated competency framework linked to these functions.

Recommendations and Actions emanating from the Workshop

- Develop a more nuanced and detailed understanding and timeline of existing planning processes to support a better incorporation of M&E processes. Map out the year from a SETA and DHET planning perspective. When are different plans developed/ considered by relevant stakeholders and signed off? Do this in terms of SSP, SP, APP, MTSF, SLAs, ARs etc. What is the place of M&E in informing these processes and how is it incorporated into/ linked to these processes? This includes understanding M&E policies, frameworks, plans and sections in the abovementioned documents and other performance management/ improvement processes.
- The Theory of Change (Programme Design) and Monitoring Indicators are related to one another and cannot be developed in isolation. It is therefore proposed that a workshop focusing on these three aspects of the skills development planning be organised with relevant stakeholders. This workshop will have to consider the role of SETAs within the broader skills development landscape as articulated in the White Paper on PSET and the National Skills Development Plan.
- Summarise the multiple reports produced to date (including this workshop report) into accessible briefs of key insights and associated recommendations, as the beginning of the “High Level Monitoring and Evaluation Framework for SETAs” (Project 1). It should at first be developed in a “Report and Respond” format to allow for engagement with the findings and encourage the submission of additional content for consideration.
- Review the Chapter 5 submissions as well as any new M&E frameworks/ plans/ policies and develop templates based on Theory of Change workshop mentioned above.
- Consider a capacity development initiative for SETA quality management specialists to expand M&E expertise.
- Review the current SETMIS data entry and reporting formats for more insight into current data integrity. Also review the integration/ integrity across the various post-school Management Information Systems. Develop recommendations for key indicators for inclusion/ priority within SETMIS based on the proposal for streamlining indicators.



Appendices

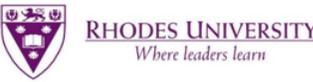
Appendix 1: Attendance Register

See PDF of original Attendance Register.

Appendix 2: Programme

Programme

- Welcome 9h00
- Overview and Update from National Skills Summit 9h15 – 9h45
- Streamlining Monitoring and Reporting 9h45-10h15
 - The challenges; the possibilities for improvement; discussion
- Tea 10h15 – 10h45
- Strengthening Evaluation and its Use 10h45-11h15
 - The challenges; the possibilities for improvement; discussion
- Systemic requirements to make a new framework 'work' 11h15-11h45
- CEO Focus Group | In Parallel | SSP Support on M&E (Ch5) 11h45-12h45
- Lunch 12h45 – 13h45 Choose a topic of interest to discuss after lunch
- Workshops, Focus Groups, Interviews 14h00-15h30
- Closure by 17h00



Appendix 3: Presentation Slides

See PDF of slides. (Slides also available at <https://www.ru.ac.za/elrc/projects/>)

Appendix 4: Research Questions

High Level Research Question (for Project 3)

1. Which standards should be used to assess SETA performance?

Sub-Questions

1. Who are the stakeholders in the assessment of SETA (management) performance? By whom is performance assessments conducted and to whom are they reported?
2. What is meant by SETA (management) performance? What is the relationship between performance, management and compliance in the SET environment?
3. What are the current standards and assessment frameworks and how are they being implemented?

4. What associated benefits and challenges are experienced by all role players in the system?
5. With which other standards and frameworks inside and outside of SETAs should the performance assessment be aligned (if any)? Can performance assessments inform broader evaluations and be linked to an integrated M&E framework for SETAs?
6. What efforts have to date been made to improve performance assessments and address challenges, and what can we learn from them? (include research and evaluation reports)
7. What are factors that influence (enable and constrain) SETA performance?
8. How do SETAs and other stakeholders think their performance should be assessed and against which standards?
9. In this light, what performance standards are recommended and how should they be implemented?

Appendix 5: Proposed Research Report Outline

Title: *Standards for SETA Performance*

Executive Summary

Acknowledgements and Citations

Chapter 1: Background to the Study, Definitions and Scope

Chapter 2: Research Process

Chapter 3: Insights from the Literature, Past Research and Evaluations

Chapter 4: SETA Performance, Management, Compliance and Associated Theories of Change

Chapter 5: Activity System and Factors Enabling and Constraining SETA Performance

Chapter 6: Role Players' Perspectives and Relevant Alignments

Chapter 7: Recommended Performance Standards, Assessment Guidelines (Tool) and Requirements

Bibliography/References

Appendix 6: Other Deliverables

- **Masters Research Plan** – This document will guide the research; details may from time to time be revised in consultation with BANKSETA, if changes are required by changes on the ground or important insights
- **Scoping Report** – details of what will be included in and excluded from the study, and further details of the organisations and individuals to be included in the study; existing and international frameworks to be considered; policy frameworks; and a map of performance assessment in the SETA environment as an activity system.
- **Workshop Report** – Overview of process followed, participants, and key outcomes [This document]
- **Performance Assessment Tool** – included in the research report as Chapter 7, but also summarised in a shorter, user friendly ‘pull-out’ document with diagrammatic outlines.

Appendix 7: Payment Schedule

Tranche	Deliverables (Project 3)	Invoice Date	Amount	Amount inclusive of VAT
1 (25%)	Master Research Plan Approved	23 July 2018		R 81 250.00
2 (25%)	Scoping Report	31 January 2019		R 81 250.00
3 (20%)	Workshop Report	31 July 2019		R 65 000.00
4 (20%)	Performance Standards Tool	31 October 2019		R 65 000.00
5 (10%)	Close out Report	01 Dec 2020		R 32 500.00
	Total Amount (Project 3)			R325 000.00