Rhodes University BANKSETA Chair: Monitoring & Evaluation in a SETA Environment

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SCOPING REPORT

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Contents

List of Abbreviations

ABET	Adult Basic Education and Training
AG	Auditor-General
APP	Annual Performance Plan
ATR	Annual Training Report
BANKSETA	Banking Sector Education and Training Authority
CEO	Chief Executive Officer
CET	Community Education and Training
DEP	Departmental Evaluation Plan
DHET	Department of Higher Education and Training
DPME	Department of Planning, Monitoring and Evaluation
DPSA	Department of Public Service Administration
ETDP	Education, Training and Development Practices
Fasset	Finance and Accounting Services Sector Education and Training
FET	Further Education and Training
GTAC	Government Technical Advisory Centre
GWMES	Government-wide Monitoring and Evaluation System
GWME	Government Wide Monitoring and Evaluation Framework
HE	Higher Education
HET	Higher Education and Training
HR	Human Resources
HRDC	Human Resource Development Council
HRDS	Human Resource Development Strategy
HRDSA	Human Resource Development Strategy of South Africa
LMIP	Labour Market Intelligence Partnership
M&E	Monitoring and Evaluation
MICT	Media, Information and Communication Technologies
MPAT	Management Performance Assessment Tool
MTEF	Medium Term Expenditure Framework
MTSF	Medium Term Strategic Framework
NDP	National Development Plan
NEP	National Education Policy
NEPF	National Evaluation Policy Framework
NGO	Non-Governmental Organisation
NSA	National Skills Authority
NSDP	National Skills Development Plan
NSDS III	National Skills Development Strategy III
NSF	National Skills Fund
NSFAS	National Student Financial Aid Scheme
OQSF	Occupational Qualifications Sub-Framework
PSC	Public Finance Management Act
PFMA	Public Services Commission
PSET	Post-School Education and Training

PSETA	Public Sector Education and Training Authority
QCTO	Quality Council for Trades and Occupations
SD	Skills Development
SDL	Skills Development Levies
SAQA	South African Qualifications Authority
SETA	Sector Education and Training Authority
TETA	Transport Education Training Authority
TVET	Technical Vocational Education and Training
WP-PSET	White Paper for Post-School Education and Training
WSP	Workplace Skills Plan

Introduction and Purpose Statements

This study is part of a broader research chair programme addressing monitoring and evaluation (M&E) in a SETA environment (https://www.ru.ac.za/nalsu/projects/). To be implemented by Rhodes University over three years (August 2018 – March 2020), the programme is an initiative of South Africa's 21 Sector Education and Training Authorities (SETAs) and is strongly supported by the Department of Higher Education and Training (DHET). The Chair is funded by the BANKSETA and ServicesSETA.

The programme will address the fact that despite extensive monitoring and reporting already taking place, some important evaluative questions about our post-school education and training (PSET) system and how to strengthen it, remain unanswered. It will explore innovative methods to address the need for evaluation at multiple levels: from single initiatives by individual SETAs, to a composite national picture. Both conceptual depth and practical feasibility are important, with due consideration of the kinds of M&E that SETAs and their research partners can realistically undertake.

A key consideration is to ensure that M&E processes in the national system actually support transformation agendas. Drives to improve performance and accountability through managerialism and compliance control, could swamp the transformative intent of the post-school education and training system. Performance management should serve transformation, not inundate it. Is a balance possible?

The answers to such fundamental questions need to inform M&E tools and design. M&E is not simply a technical activity; it is deeply strategic, normative and ideological. Making sure that processes are aligned with intentions may well be where the system's capacity needs to grow and where university-based research can play a significant role.

The research programme consists of nine individual projects, aimed at developing frameworks, methods, guidelines, tools and capacity for the monitoring and evaluation of SETAs' work and impacts. The purpose of this particular study (Project 1) is to develop a high level M&E framework to be used by DHET, SETAs themselves and parties appointed, to continuously monitor and regularly evaluate the functioning of SETAs and their impact on social development and economic participation – the broad aims of post-school education and training in South Africa. The framework must enable SETAs to be accountable to their stakeholders and in equal measure, to learn from M&E findings in order to strategically increase their positive impact within their sphere of influence.

While PSET is not the only factor involved in low employment rates and economic growth, inadequate skills among the general population is a significant factor that constrains both social and economic development in South Africa. A considerable portion of the Fiscus, much effort and goodwill is invested in PSET, but the outcomes are still inadequate. SETAs are important role players in the PSET system and share the responsibility for improving the effectiveness, efficiency and impact of skills development in South Africa.

How to do this, however? M&E is required and our initial investigations indicated that SETAs do undertake monitoring and evaluations, they collect data and submit numerous reports both on schedule and in response to *ad hoc* requests. Sayer (2011) also reminds us that "as sentient beings, capable of flourishing and suffering, and particularly vulnerable to how other treat us, our view of the world is substantially evaluative in nature".

Yet current M&E process do not seem to provide enough insight into how to make the SETAs more efficient, effective and impactful. While the roleplayers have substantial reporting loads, the system nonetheless does not learn enough from the data and reporting effort, and/or fails to use what has been learnt, to improve outcomes.

From our initial review of the situation, one problem would seem to be inadequate synergy, including misalignment between various M&E systems and between the SETAs themselves. Secondly, the data collected seems at times un-strategic and inadequately managed. Thirdly, the M&E frameworks in place tend to focus on performance monitoring and compliance, with less attention on evaluation and learning about what works, and why, and what does not work, and why. And when evaluation is undertaken, initiatives may be evaluated in isolation from the wider system.

This project is an opportunity to develop an aligned, implementable M&E framework that sees PSET as a system and supports systemic and institutional learning as much as accountability.

This scoping report is the second document produced in the project, the first being the research plan completed in June 2018.

The purpose of the scoping report is to capture an initial analysis of the problem and how best to address it, as well as what initiatives have already been done in this regard. In particular, we have focussed on the national M&E and PSET policy and role players in relation to the SETAs' mandate for monitoring and evaluation, and gathered existing M&E frameworks from SETAs. A review of this data is presented here, as the basis for scoping out what needs to be done in the remainder of the study. The scoping report will refine and reduce the list of research questions proposed in the Research Master Plan, as well as the parties to be interviewed and consulted in the remainder of the study, and the questions to raise with them.

Data Sources for the Scoping Process

1. A half-day consultative workshop with research and M&E representatives of SETAs was held (facilitated by Prof Rosenberg and Dr Glenda Raven); following this workshop SETAs were requested to share their M&E frameworks with the researchers.
2. Two initial telephonic interviews for the purpose of scoping with DHET entities with known roles in SETA M&E, the first with a group including Dr Hersheela Narsee and Dr Thabo Mashongoane, and the second with Mr Mabuza Ngubane from DHET's Skills Branch (conducted by Prof Eureta Rosenberg).
3. The PSET system with role players and relevant policies were mapped out and checked with SETAs at a Collaborative Research Working Group meeting (Mike Ward).
4. Policies, PSET evaluations and other documents were reviewed (Ward).
5. SETAs were again requested to submit their M&E frameworks or plans; these were then summarised (Nande Nodada) and an initial analysis conducted (Rosenberg).

In the next sections, the findings from the policy and M&E plan analyses are shared, followed by the implications for the way forward; this will include further interviews and consultations.

Policy Analysis

SETAs are accountable to their stakeholders. This accountability needs to be located within the National Constitution, broader national planning and strategic frameworks and the more specific policies and institutional mandates within and through which various bodies seek to deliver on skills development in South Africa.

With this in mind key, sections of the Constitution are identified as are the more specific M&E frameworks including the Framework for Managing Programme Performance Information (National Treasury 2007); the Government Wide Monitoring and Evaluation Framework (GWME); the National Evaluation Policy Framework; and the more specific M&E Guidelines produced by the DPME. Within this broad national framing of monitoring and evaluation, more specific attention is given to the policy and strategies that set out the purpose and implementation requirements for skills planning and development in South Africa. Key to achieving this purpose and implementation are a number of institutional structures including the Skills Branch; the Skills Planning Unit; the National Skills Authority; the proposed skills intelligence unit (following on the Labour Market Intelligence Programme) and the Department of Planning, Monitoring and Evaluation (DPME), all of which have roles to play in the M&E of skills planning and implementation, and more specifically, the role and performance of the SETAs within the broader national plans and strategies. This scoping of national policy allows us to understand the 'line of sight' across key planning and policy documents and within this the institutional mandates for M&E as they are currently articulated.

Constitutional Mandates for M&E of Government Departments

There are a number of clauses in the Constitution that allocate responsibility for monitoring and evaluation of government entities to various institutions. Although these mandates relate to different aspects of M&E, there is potential for using information and insights from one M&E process to inform another process. In this section, one overarching clause related to government institutions is highlighted and three key institutions that have specific mandates related to M&E are identified. In a subsequent section, consideration is given to the Department of Planning, Monitoring and Evaluation that was formed in 2011 to guide M&E related activities in government.

Section 195 of the Constitution of South Africa sets out the basic values and principles governing public administration. These include requirements related to: professional ethics; efficient, economic and effective use of resources; a development-orientation; equity in provision; public participation in policy-making; accountability; transparency; effective HR management; and representativity in employment practices. These requirements apply to administration in every sphere of government and are referred to in most subsequent legislation and policy frameworks related to M&E.

Section 196 lays the basis for the formation of the Public Services Commission (PSC) and requires that this institution will ensure the maintenance of effective and efficient public administration and a high standard of professional ethics in the public service. More specifically and with relevance to this study, Section 196 4e requires that the PSC "provide an evaluation of the extent to which the values and principles set out in section 195 are complied with".

Section 181 creates the mandate to establish a number of independent constitutional institutions, one of which is the office of the Auditor-General (AG). Section 188 lists as a function of the AG that it should audit and report on the accounts, financial statements and financial management of government departments. This includes expressing an opinion on the statements of programme performance provided by the reporting government department. The AG, in conducting the performance audits, has tended to focus primarily on compliance, and less on explanations as to *why* challenges are occurring. However, this role is an important part of the evaluative framework of government, and, it is claimed, an important motivation to improving performance. (DPME, 2011)

Section 216 of the Constitution requires the establishment of a National Treasury and the legislation associated with the budgetary transparency and expenditure control in each sphere of government. This is partly accomplished at the national level through the Public Finance Management Act. The PFMA means that National Treasury needs to ensure that information on inputs, activities, outputs and outcomes underpin planning, budgeting, implementation management and accountability reporting to promote economy, efficiency, effectiveness and equity, as well as transparency and expenditure control. National Treasury has to assure value for money when it allocates budgets. In order to achieve this, Treasury needs to ensure that planning and budgets are based on evidence generated in part by monitoring and evaluation. *In order to support this work, the PFMA requires the accounting officer of a department (usually the Head of Department or the chief executive officer of a public entity), to establish a monitoring and evaluation system for the institution.*

Government Wide Monitoring and Evaluation System (2007)

In order to address the constitutional mandates for Monitoring and Evaluation, and in particular in an attempt to address the fragmented nature of M&E in government Cabinet approved the development of a Government-wide Monitoring and Evaluation (GWM&E) system. In 2007 this development work culminated in the GWM&E Policy Framework and responsibility for its implementation was given to the Policy Coordination and Advisory Service (PCAS) Unit within the Presidency. In 2009 the Department of Performance Monitoring and Evaluation was established in the Presidency and given responsibility for driving the GWM&E system (Engela et al., 2010). In 2010 the department was renamed the Department of Planning, Monitoring and Evaluation (DPME) and Abrahams (2015), citing the Presidency (2014), suggested that the DPME's custodial role for M&E is similar to the role of National Treasury in relation to financial management, and the human resources responsibility of the Department of Public Service Administration (DPSA).

It is the aim of the Government-Wide Monitoring and Evaluation System to: "provide an integrated, encompassing framework of M&E principles, practices and standards to be used throughout Government, and function as an apex-level information system which draws from the component systems in the framework to deliver useful M&E products for its users" (Presidency, 2007). *The GWM&E System (ibid. p.11) requires that government institutions formally adopt an M&E strategy that includes a description of current and future (planned) M&E systems and a capacity building plan detailing how the institution will put in place the human capacity to fulfil its M&E functions.*

The GWM&E System defines monitoring largely in terms of reporting on actual performance against what was planned or expected. Evaluation, it suggests, should guide decision making by assessing relevance, efficiency, effectiveness, impact and sustainability of initiatives. It goes on to state that impact evaluations should examine whether underlying theories and assumptions were valid, what

worked, what did not work and why. The document places a strong emphasis on the logical framework approach that links inputs, activities, outputs, outcomes and impacts.

Accounting officers (e.g. CEOs in SETAs) and accounting authorities (e.g. SETA Boards) are accountable for the frequency and quality of M&E information and the integrity of the systems responsible for its production and utilisation. Programme managers and other line managers and officials are responsible for establishing M&E systems. Designated M&E units are responsible for ensuring the implementation of M&E strategies by providing expertise and support. (Presidency, 2007, p.14)

The Policy Framework for Government Wide Monitoring and Evaluation also sets out a number of principles that have been carried through into other policies, guidelines and tools for government departments. These are:
> 1. Evaluation should be development-oriented and should address key development priorities of government and of citizens.
> 2. Evaluation should be undertaken ethically and with integrity.
> 3. Evaluation should be *utilisation-oriented*.
> 4. Evaluation methods should be sound.
> 5. Advance government's transparency and accountability.
> 6. Inclusion and *participation*.
> 7. *Learning*.

National Evaluation Policy Framework (2011)

The DPME produced the National Evaluation Policy Framework in 2011 with the express purpose of *improving public policy and programmes, decision making, accountability and the potential for improvement through learning.* The NEPF set out to address the following problem statement:
> "Evaluation is applied sporadically and not informing planning, policy-making and budgeting sufficiently, so we are missing the opportunity to improve Government's effectiveness, efficiency and impact." (DPME, 2011)

As a response the NEPF:
- defines evaluation in the public sector,
- *establishes an institutional framework for evaluations*,
- provides guidance on the approach to be adopted when conducting evaluations, and
- *provides for the publication of the results*. (ibid.)

The National Evaluation Policy Framework is positioned within the broader national planning frameworks and stresses the importance of a 'line of sight' that traces the governments strategic priorities across the levels of government. In particular, the NEPF mentions:
- A **long-term vision and plan** (currently the National Development Plan 2030)
- A **5-year plan** linked to the term of office (at the national level this is the Medium Term Strategic Framework)
- **Sectoral** (e.g. agriculture, banking) and **cross-sectoral** (e.g. employment, sustainability) plans (often articulated in the outcome delivery agreements)
- Plans for **implementation programmes** (e.g. National Skills Development Strategy III)
- **Project plans** (e.g. Artisan training project)
- ***Departmental strategic plans/ Annual Performance Plans and operational plans.*** *(The NEPF is clear that these "must incorporate both the sectoral/ cross-cutting priorities, and*

the implementation programmes and projects if these are to be implemented, monitored and evaluated, and if the line of sight is to be achieved with the sectoral/ cross-sectoral plans and the implementation programmes" (DPME, 2011).

The NEPF (in line with a number of government publications on evaluation) has a results-based management approach. It also aligns with theory of change or logical frameworks, models aimed at ensuring a logical progression from programme and evaluation design to inputs, activities, outputs, outcomes and impacts. Particular kinds of evaluation are identified such as the diagnostic evaluation that identifies the drivers of change; the design evaluation that tests the theory of change; the implementation evaluation that tests how the theory of change is working in practice; the economic evaluation that reviews the relative costs and benefits; and the impact evaluation that aims to understand the impacts of the entire intervention. In addition, synthesis evaluations that bring together insights from other evaluations and data should pull together overarching insights.

As the custodians of the National Evaluation Policy Framework and the evaluation function in government, the DPME have developed a number of guidelines and tools. These include support for standard setting, knowledge management structures for the publishing and sharing of evaluations, and quality assurance processes. In particular, the DPME have developed guidelines for establishing Departmental Evaluation Frameworks as well as guidelines for each type of evaluation (diagnostic, design, implementation, etc.).

Management Performance Framework and Assessment

Section 85 of the Constitution empowers the President, together with other members of Cabinet, to exercise executive authority by coordinating the functions of state departments and administration. It is widely recognised that some departments of government have consistently under-performed in delivering services to citizens and that there is a need to engage in a process of continual improvement. By 2010 there was a growing recognition that central to this under-performance was poor management practices and that little or no attention was being paid to the quality of management practices. A further challenge was fragmentation: where management practices were being monitored, they were fragmented across the Public Services (e.g. Treasury focusing on finance; DPSA focusing on HR management). In 2010 Cabinet mandated the DPME to develop a single, coherent framework that provided a snapshot of management practices in a department. This was the Management Performance Framework and the Management Performance Assessment Tool (MPAT), which were launched in 2011. The results of the first round of applying the MPAT were reported to Cabinet in 2012 (DPME, 2012a, 2012b).

MPAT assesses the quality of management practices across four key areas. These are:

- Strategic Management
- Governance and Accountability
- Human Resource Management
- Financial Management

Within these four Key Performance Areas, Management Performance Areas are identified and measured against standards. These assessments are measured against both **compliance** with legislated responsibility and against the **efficiency and effectiveness of management practices**. There is an intention that MPAT should not duplicate existing monitoring by the National Treasury,

DPSA or the PSC, nor should it duplicate the auditing conducted by the Auditor-General. Instead, the MPAT draws on secondary data from these departments and oversight bodies, to moderate the self-assessment of departments.

Of particular relevance to this study is the fact that under the key area of Strategic Management, Monitoring and Evaluation is recognised as a Key Performance Area and the standard for this KPA is included below.

DPME are required to support the implementation of MPAT across all government departments and have thus developed a number MPAT guidelines. Two key guidelines with relevance to this study are the guidelines for the establishment of *Departmental Evaluation Plans* (DPME, GL 2.2.16) and the *Evaluation Capacity Assessment Guidelines* (DPME, GL 2.2.17). (All DPME Guidelines available at https://evaluations.dpme.gov.za/pages/guidelines-other-resources)

Table 1: Example of an MPAT Standard

1.3.1 Standard name: Integration of monitoring and evaluation in performance and strategic management

Standard definition: the department's ability to do monitoring and evaluation, produce useful and reliable information, and use performance information in performance and strategic management

Standards	Evidence Documents	Moderation criteria	Level
Department does not have M&E or Performance Management Information Policy or Framework			Level 1
Department has M&E or Performance Management Information Policy or Framework. Department does not have standardised mechanisms and or processes and procedures to collect, manage and store data.	• M&E or Performance Management Information Policy/ Framework	• Verfication of the existence of departmental M&E or Performance Management Information Policy/Framework Public Service Regulation Chapter 3 dealing with strategic planning	Level 2
Department has M&E or Performance Management Information Policy or Framework. Department has standardised mechanisms and or processes and procedures to collect, manage and store data.	• M&E or Performance Management Information Policy/ Framework • Standardised monitoring reports generated from formal departmental performance information source(s)	• Verfication of the existence of departmental M&E or Performance Management Information Policy/Framework • Standardised monitoring reports relate to programmes in the APP with "SMART" targets.	Level 3
Level 3 plus: At least one evaluation of a major programme is conducted or in process or planned.	Level 3 plus: • Evaluation Reports or • Evaluation plans	Level 3 plus: • Department does not obtain findings by AG on performance information. • Verfication of the department conducting formal evaluations	Level 4

INVESTORS IN PEOPLE

Government Strategic Priorities

The National Evaluation Policy Framework (DPME, 2011) mentions a 'line of sight' that traces the government's strategic priorities across the levels of government and needs to inform the focus of any M&E work within government. For the purposes of this scoping report, two key national government planning documents (the National Development Plan and the Medium Term Strategic Framework) will be considered before focusing more directly on the strategic planning within the Department of Higher Education and Training.

The National Development Plan (NDP)

The National Development Plan (National Planning Commission, 2011) is a broad strategic framework that sets out South Africa's response to social, economic and environmental challenges and opportunities. In particular, it seeks to address poverty, inequality and unemployment as three key challenges faced by the country. While it is recognised within the NDP that the achievement of the objectives of the plan will require progress on a number of areas, three areas are identified as being particularly significant. There are:

- Raising employment levels through faster economic growth;
- Improving the quality of education, skills development and innovation; and
- Building the capability of the state to play a developmental, transformative role.

These priorities are closely linked, a point that is very relevant to a high level M&E framework for SETAs. The NDP articulates strong linkages between improving skills, supporting economic growth and raising employment levels. Although skills development will not automatically lead to economic growth and thus higher employment levels, there is a strong link between appropriate skills development and the ability of the economy to grow. In addition, M&E (including management performance assessments) is seen as a key contributor to building a capable state.

For PSET, the NDP envisages that by 2030, South Africans should have access to education and training of the highest quality. Key to providing quality education is the building of a strong relationship between the college sector and employers to enhance the relevance of education and training and to ensure the quick absorption of graduates into jobs. In the section of the NDP (NPC, 2011, p323) focused specifically on skills development, SETAs are identified as the entities that are responsible for the delivery of sector-specific skills interventions that help to achieve the goals of the National Skills Development Strategy and develop the skills needed by employers. SETAs are singled out as having a crucial role to play in building relationships between education institutions and the employers.

With regard to regulation, quality assurance, and the role of the skills development institutions, the NDP notes that PSET in South Africa is governed by an array of legislation and institutions. *It goes on to state that "there is duplication, overlap and at times incoherence and inconsistency" (NPC, 2011, p. 323).*

The 2014 – 2019 Medium Term Strategic Framework (MTSF)

The 2014-2019 MTSF (refined/ updated chapters are available at https://www.poa.gov.za/Pages/MTSF.aspx) is a five-year strategic plan that sets out the government's commitments for the current electoral term with includes the initial implementation phase of the NDP. The aim of the Framework is to ensure policy coherence, alignment and coordination across government plans as well as alignment with the budgeting process. In this sense the MTSF is a key component of the 'line of sight' between the NDP and the departmental plans. The MTSF is structured around 14 priority outcomes, two of which have particular relevance to M&E across the SETA system. The first, and most significant for this study, is Outcome 5 (*A skilled and capable workforce to support an inclusive growth path)* for which the Department of Higher Education and Training has significant responsibility. The second is Outcome 12 (*An efficient, effective and development-oriented public service).*

In terms of the implementation of Outcome 5, the following MTSF sub-outcomes have been identified:

- A credible institutional mechanism for labour market and skills planning;
- Increased access and success in programmes leading to intermediate and high level learning;
- Increased access to and efficiency of high-level occupationally directed programmes in needed areas; and
- Increased access to occupationally directed programmes in needed areas and thereby expanding the availability of intermediate level skills with a special focus on artisan skills.

*A number of quantitative targets for enrolment, financial assistance, work based learning opportunities and graduation are listed in the updated targets for 2019. It is telling that all of these targets are supply side targets. Only one target is listed for employment (**80%** of national qualified artisan learners are employed or self-employed).*

Although Monitoring and Evaluation are hardly mentioned in the Medium-Term Strategic Framework, there is one target under *Outcome 12 that links to the MPAT and thus potentially to Monitoring and Evaluation as a key performance area in MPAT. The target is to have "**70%** of National and provincial departments achieve at least level 3 within 50% of the Management Performance Assessment Tool (MPAT) standards for each cycle".*

National PSET Policy

Within the broad strategic and policy framework outlined above, there has been a substantial policy focus on post-school education and training. This section of the scoping report considers both the broader PSET policy and planning documents, and the skills specific policy and plans. Within this review, *particular attention is given to the monitoring and evaluation requirements and the institutions mandated to support, carry out and utilise monitoring and evaluations.*

In the decade following 1994, a number of Acts were introduced that sought to build a more inclusive post-school education and training system. These include: South African Qualifications Authority Act 58 of 1995 (SAQA Act); the National Education Policy Act 27 of 1996 (NEP Act); the Skills Development Act 97 of 1998 (SD Act); the Higher Education Act 101 of 1997 (HE Act); the Further Education and Training Act 98 of 1998 (FET Act) and the Adult Basic Education and Training

Act of 2000 (ABET Act). In order to resource this transition and support students who may not have otherwise been able to access education opportunities, the Skills Development Levies Act 9 of 1999 (SDL Act) and the National Student Financial Aid Scheme Act 56 of 1999 (NSFAS Act) were passed. Responsibility for education and training under these Acts were split between the Department of Education and the Department of Labour.

Ten years later, in 2009, the Department of Higher Education and Training was created and assumed the responsibility for all higher education and training including skills-related functions such as the National Skills Development Strategy, the Sector Education Training Authorities and a number of related funding mechanisms including the National Skills Fund and the National Student Financial Aid Scheme. These changes resulted in many new pieces of legislation or significant amendments including: the Skills Development Levies Amendment Act, 2010 (SDL Amendment Act, 2010); the Higher Education and Training Laws Amendment Act 25, 2010; and the Higher Education Laws Amendment Act, 2010, all of which amended legislation introduced prior to 2009. In terms of skills development, the implications of much of this change was reflected in the National Skills Development Strategy III (DHET, 2011) which has recently been evaluated (Mzabalazo and REAL, 2018).

A third large round of legislative change is currently being considered emanating from the White Paper for Post-School Education and Training (WP-PSET) (DHET, 2013). The WP-PSET makes strong links to the National Development Plan (South Africa and National Planning Commission, 2012) and seeks amongst other things to integrate the PSET activities and to expand the vocational part of the PSET system. Influenced by the WP-PSET, a number of recommendations are currently being taken through public review processes including recommendations for a new SETA Landscape (DHET, 2018) and the National Skills Development Plan (DHET, 2017). If accepted, these plans will have significant implications and will require another round of amendments to existing legislation and possibly the development of new Acts related to post-school education and training.

The post-school education and training legislation, strategies and plans are accompanied by a range of related acts and accords that have implications for skills development. These include the Human Resource Development Strategy (2009); the Labour Relations Act (1995); the Employment Equity Act (1998); Industrial Policy Action Plan 2016/2017-2018/2019, the National Skills Accord (2011), the Green Economy Accord (2011) and most recently, the Economic Stimulus Plan (2018) announced by the President. It is beyond the scope of this study to cover all the existing and emerging legislation, strategies and acts in detail. This report will focus only on three key pieces of existing and emerging legislation. These are the Skills Development Act (South Africa. Presidency, 2011, 1998); the White Paper on Post School Education and Training (DHET, 2013); and the National Skills Development Plan (DHET, 2017). In considering these Acts and plans, special attention is given to the principles and purpose of education and training as a basis for identifying important focus areas for monitoring and evaluation of SETAs' contributions to our national aspirations and intentions. In addition, any specific guidance and requirements with regard to monitoring and evaluation will be highlighted.

It will become evident that many of these policy and planning documents also assign responsibilities and mandates for supporting or carrying out M&E in the PSET context, to particular institutions. Within DHET, a number of entities have cross institutional monitoring and evaluation mandates. These include the National Skills Authority, the Skills Branch and the proposed Skills Planning Unit. In addition, and relevant to the context of this review, *each SETA has the responsibility of developing monitoring and evaluation plans and carrying out monitoring and evaluation of its own activities and their outcomes.*

The format of this brief review is to start with the National Skills Development Act (1998) as subsequently amended (2003, 2008 and 2011) to provide a foundation for considering the principles, purpose and monitoring and evaluation of skills development. This will be followed by a consideration of the White Paper for Post School Education and Training and finally, the National Skills Development Plan that is currently being finalised. Links will be made to the National Skills Development Strategy III (DHET, 2011) and its implementation, in the light of insights from the recent evaluation of the NSDS III (Mzabalazo and REAL, 2018). *It is the intention that this review will provide a mapping of the broad terrain within which to consider the monitoring and evaluation of SETAs and their role in skills development in South Africa.*

The Skills Development Act (1998)

The Skills Development Act has an extremely broad range of purposes with relevance to the SETAs and the monitoring and evaluation of the work of the SETAs. The purposes of the Act include:

- Develop the skills of the South African workforce so as to improve the quality of life of workers (employed, unemployed and seeking work), their prospects of work and labour mobility;
- Improve the productivity in the workplace and the competitiveness of employers;
- Increase the levels of investment in education and training in the labour market and improve the return on that investment;
- Encourage employers to support workplace-based learning and provide workers with opportunities for employment and new skills development;
- Encourage workers to participate in learning programmes (these include learnerships, apprenticeships, skills programmes and learning programmes which includes a structured work experience);
- Improve the employment prospects of persons previously disadvantaged by unfair discrimination;
- Ensure the quality of learning in and for the workplace; and
- Assist work-seekers and potential employers to connect. (summarised from Section 2 of 1998 Act)

The Act then sets out the institutional structures and mechanisms to achieve the above purposes. These include the establishment or implementation of:
- The National Skills Authority;
- The National Skills Fund;
- The SETAs;
- Accredited trade test centres; and
- A Skills Development Forum for each Province. (summarised from section 2 of the 1998 Act)

These institutions are encouraged to form partnerships between the public and private sectors of the economy to provide learning in and for the workplace and to cooperate with the South African Qualifications Authority.

A number of amendments have been made to the Act. The first amendment was required due to the promulgation of the Skills Development Levies Act; the second amendment (2003) dealt mainly with

improvements to the SETA landscape; while the third amendment (2008) was linked to the National Qualifications Framework Act and provided for the National Artisan Moderation Body, the OQSF, the Quality Council for Trades and Occupations and the Skills Development Institutes. With the establishment of the Department of Higher Education and Training, significant amendments were required as a number of responsibilities were transferred from the Department of Labour to the DHET. The fifth amendment (2011) sought to improve governance, accountability and financial management of the SETAs.

National Skills Authority

The Skills Development Act establishes the National Skills Authority (NSA) and outlines the functions, constitution and administrative structure of the NSA. Key functions relate to advising the Minister of Higher Education and Training on a national skills development policy, a national skills development strategy and the allocation of funds from the National Skills Fund. In addition, the NSA must report back to the Minister on the progress made on the implementation of the National Skills Development strategy and has the mandate to conduct investigations on any matter arising out of the application of the Act. With regard to the SETAs, the NSA must liaise with the SETAs on a national skills development policy, the national skills development strategy and the sector skills plans. As will become evident in the sections below on the White Paper for Post School Education and Training, the DHET strategic plans and the National Skills Development Plan, *there is a move to enhance the monitoring and evaluation functions of the NSA in relation to the SETAs*.

SETAs

The Skills Development Act makes provision for the establishment, amalgamation and dissolution of the SETAs. (Note: The Mining Quality Authority was originally established under different legislation but has been included in the ambit of the Skills Development Act). The Act also stipulates the functions of the SETAs which, based on relevance to this study, include the following:
- The development of a sector skills plan within the framework of the national skills development strategy;
- The implementation of its sector skills plan by establishing learning programmes, approving workplace skills plans and reports and allocating grants;
- *Monitoring education and skills development provision in the sector;*
- Promoting learning programmes through inter alia the identification of workplaces for practical experience, supporting the development of learning materials and the facilitation of learning;
- Performing any functions delegated to it by the QCTO.

The Act is also very clear that the SETAs must liaise with the NSA and submit workplans to the Director General of DHET. This includes the conclusion of *service level agreements with the Director General concerning the SETA's performance of its functions in terms of the Act and the National Skills Development Strategy. The Act goes further to state that the Minister, after consultation with the NSA, must make regulations concerning the:*

- *Standards, criteria and targets for measuring and evaluating the SETA's performance of its functions in terms of the Act and its obligations in terms of the National Skills Development Strategy; and*
- *The timetable, number, format, content and information requirements of plans and reports to be submitted to the Director General. (Section 10A of the Act as amended.* (Presidency, 2011)

The Act confirms that the SETAs must produce financial plans in term of the Public Finance Management Act. The Auditor General must audit the accounts, financial statements and financial management of a SETA and express an opinion as to whether the SETA has complied with the provisions of the Skills Development Act.

In terms of the Administration of the Act by the Department of Higher Education and Training, it is required that DHET has the resources necessary to fulfil a number of functions. These include:
- The research and analysis of the labour market in order to determine skills development needs for South Africa as a whole, each sector of the economy and organs of state;
- The formulation of the National Skills Development Strategy,
- Assistance with the Sector Skills Plans; and
- *The provision of information on skills to the Minister, the National Skills Authority, the SETAs and a range of other interested parties*.

These requirements have contributed to the Labour Market Intelligence Programme and emerging out of this, the proposal for the establishment of the Skills Planning Unit within DHET. DHET is in the process of setting up labour market intelligence structures with universities. The establishment of a Skills Planning Unit and the relationship that such a unit would have with the universities is at present unclear.

Through a process of amendments and in particular the amendments necessitated by the establishment of DHET, and the location of all post-school education and training under this department, skills development has become more closely integrated with higher and further education initiatives in South Africa. The White Paper on Post School Education and Training sets out the potential and vision for how this integration could be achieved.

The White Paper on Post School Education and Training (DHET, 2013)

The White Paper on Post School Education and Training (WP-PSET) proposes that the different parts of the post-school system become more integrated. This will require significant changes to the skills development component of the systems and in particular, the role of the SETAs, the NSA and the NSF as well as their relationships to other units within DHET such as the Skills Branch, the labour market intelligence structures and the Skills Planning Unit.

The WP-PSET also suggests that the skills development planning and implementation be more explicitly linked to broader government planning including the Human Resource Development Act/Plan and the National Development Plan. This could be enhanced by more direct links between skills development planning, implementation and monitoring on the one hand, and the state level planning, monitoring and evaluation including the Medium Term Strategic Framework and Plans, on the other.

The WP-PSET was approved by Cabinet at the end of 2013. Its subtitle "Building an expanded, effective and integrated post-school system" signals its intent.

> "It outlines policy directions to guide the DHET and the institutions for which it is responsible in order to contribute to building a developmental state with a vibrant democracy and a flourishing economy. Its main policy objectives are:
> - a post-school system that can assist in building a fair, equitable, non-racial, non-sexist and democratic South Africa;
> - a single, coordinated post-school education and training system;
> - expanded access, improved quality and increased diversity of provision;
> - a stronger and more cooperative relationship between education and training institutions and the workplace;
> - *a post-school education and training system that is responsive to the needs of individual citizens, employers in both public and private sectors, as well as broader societal and developmental objectives*. (DHET, 2013, p xi)

The White Paper indicates that *the roles of the SETAs and the NSF will be "simplified and clarified, and their capacity built in line with their core functions*". For the SETAs, these functions are summarised as:

> - Developing the skills of those in existing enterprises and the development of a skills pipeline to such workplaces (this does not differ from the provision in the Skills Development Act);
> - Engaging with stakeholders in the workplace, establishing their needs and ensuring that providers have the capacity to deliver against these (This emphasis on the links to the workplace – between education providers and the workplace is being progressively emphasised in emerging policies and plans as it speaks directly to needs identified the National Development Plan with regards skills development and the role of the SETAs). (ibid., p. xvi)

The following extracts from the WP-PSET signals the intention with regard to the roles of SETAs:

> "*In the future, SETAs (or their equivalent if they are restructured) will be given a clearer and to some extent narrower and more focused role. The aim will be to locate certain functions (such as skills planning, funding and quality assurance) in well-resourced central institutions, thus enabling sector structures to focus on engaging with stakeholders in the workplace, establishing their needs and agreeing on the best way of addressing them, facilitating access to relevant programmes and ensuring that providers have the capacity to deliver programmes that have a genuine impact. A key role of the skills system structures will be to support efforts to implement workplace learning* that complements formal education and training." (ibid. , p. 58)

> "*The adjusted role of the sector skills structures in the planning process will be aimed at supplying reliable sector-specific quantitative data to the national central planning process, engaging with key stakeholders to test emerging scenarios, and planning to support provision in priority areas. Sector, industry and regional input to the national planning process will ensure the provision of comprehensive information on workplaces in terms of the training that is taking place, the kinds of skills that are present in the workplace, and the nature of skills gaps*." (ibid., p. 59)

For the NSA, the following functions are highlighted:
- ensuring alignment between the skills development and the national development strategies and priorities;
- funding research and innovation that is not confined to a particular sector. (ibid., p. xvi)

The WP-PSET goes on to state that: "A restructured and refocused National Skills Authority will concentrate specifically on monitoring and evaluating the SETAs. This implies that it will become an expert body with high-level monitoring and evaluation skills." (ibid., p. 68) *[This suggests more specific implementation, impact and economic evaluations.]*

The WP-PSET also mentions the *DHET consolidating initiatives towards developing a central skills planning system that includes the establishment of a planning unit that will work with key public institutions to develop a national skills planning system. The role of the NSA within this planning system is not clear.* The following extract from the WP-PSET signals the intention with regard to skills planning and a skills planning unit.

> "A national process is needed which can analyse skills demands in the short, medium and long term. The DHET will establish a Skills Planning Unit which will work with key public institutions, such as universities and other research institutions, to develop an institutional mechanism for skills planning. Once established, this institutional mechanism will conduct its work within the broad framework of the Human Resources Development Plan and the National Development Plan and will become the location for engagement with the key economic departments of government. The planned institutional mechanism will become a repository of labour market information, will develop skills demand forecasting models, and will promote and build labour market research and analysis skills for the country.
>
> *The SETAs as currently established will work with the Department's Skills Planning Unit to develop the central planning mechanism. SETAs provide important workplace data, and will continue to conduct sector research and ensure that the sectoral implications of this economywide analysis are explored."* (pp. 58-59).

The WP-PSET also comments specifically on the Mandatory and Discretionary Grants that has implications for the related projects within the SETA M&E research chair (Projects 6 and 7). The following sections will need to be explored with regard to how they are being taken up in current planning.

> *"There is very little empirical evidence about the impact of the mandatory grants, the discretionary grants or funds disbursed by the National Skills Fund on skills development and on the system's objectives. In contrast, there is considerable evidence of waste and misuse of funds. There is a need for much-improved data, not only to inform planning but to enable accurate measurement of and reporting on outcomes and the impact of funds deployed." (p. 60)*
>
> *"In future, the focus of the mandatory grant will be exclusively on gathering accurate data. Employers must ensure that the WSP/ATR report includes comprehensive information about all training that is taking place in the workplace, current levels of skills, experience and qualifications of employees, and skills priorities and gaps for the short as well as medium term. Submission of this information will entitle the employer to receive the mandatory grant from the SETA." (p. 60)*

"Employers who work with the SETAs to ensure a common understanding of skills requirements, and who support their employees to participate in training programmes leading to awards and qualifications, will be able to get substantial value from the discretionary grant. Importantly, SETAs are now required to agree plans with sector stakeholders, and to report on the implementation of plans funded in this manner. *The DHET will monitor spending of discretionary funds and ensure that there is a significant increase in the relevance and effectiveness of funded training*." (p. 60)

Finally, the full section in the White Paper on Post-School Education and Training dealing with M&E of the skills system (ibid., section 8.6) is included below (emphasis added).

8.6 Monitoring and evaluation

Monitoring and evaluation must make it possible to understand the levels of *efficacy* that are being achieved, and to identify where any blockages in the system may be emerging. This

could form *part of an information loop into the Human Resources Development Strategy, and specifically the post-school strategy for the country. It should enable a more detailed and informed understanding of the skills deficits and the areas for focused growth linked to the country's needs. This implies the need for a regular monitoring process in which the data is analysed in a meaningful way, and an evaluative process which focuses on specific issues as they arise. It assumes, therefore, that varied sources of data will be available and will be integrated into the monitoring and evaluation framework. This has to take place against defined indicators which will draw on successive National Skills Development Strategies and on*

the indicators in the Minister's delivery agreement with the President.

There will also be collaboration with Departments in the economic cluster to put in place indicators and measures aligned to the key national economic development plans. The DHET will publish this monitoring and evaluation framework after consultation on what will be measured and how. The national system for skills planning referred to earlier will also provide

an important resource for tracking skills development and its impact over time. It is critical that

approaches to evaluation are incorporated early in policy development and implementation, so

that the necessary data is collected in an ongoing manner.

A restructured and refocused National Skills Authority will have its functions concentrated specifically on the monitoring and evaluation of the SETAs. This implies that it will become an

expert body with high-level monitoring and evaluation skills." (DHET 2013, p.68)

DHET Strategic Plans

These commitments are picked up in the DHET Strategic Plans for 2015/2016-2019/2020 (DHET, 2015). In particular, the strategic plans make a commitment to reviewing the SETA Landscape (again); *positioning the NSA to 'concentrate specifically on monitoring and evaluation of the SETAs'; reviewing the NSDS III; developing an integrated National Skills Development Plan and putting in*

place an *"approved Monitoring and Evaluation Framework to facilitate effective implementation oversight of the PSET system" (DHET, 2015).* The Strategy also mentions the establishment of a skills planning unit and notes that the first proposal of the organogram and flow maps for the skills planning unit has been presented and funding confirmed.

The section of the strategy focused on skills development concludes that *"Over the medium term, the Department will continue to improve the effectiveness of the skills development system to:*
- *Enhance the performance monitoring and evaluation system for SETAs;*
- *Improve the role and alignment of the SETA initiatives in support of the universities and TVET colleges;*
- *Refocus the NSA to support the monitoring and evaluation of the SETAs; and*
- *Design a new landscape for SETAs in line with the White Paper for Post School Education and Training"*.

National Skills Development Plan (DHET, 2017)

The National Skills Development Plan has been developed to respond to the policy goals of the White Paper on Post School Education and Training. A first draft was consulted on internally within DHET until November 2017. Between November 2017 and May 2018 external stakeholders were invited to make comment. This comment has been consolidated and incorporated with a full draft due at the end of September 2018 for further consultation and finalisation. The plan should be finalised by the end of 2018 for implementation from 2019/2020 onwards. *The relationship between the National Skills Development Plan and the National Skills Development Strategy – as required by the Skills Development Act – is unclear and needs some clarification in interviews with role players. The National Skills Development Plan will be incorporated into a National Plan for Post-School Education and Training (scheduled for released in 2018). There is an indication that this will negate the need for a NSDS.*

The NSDP is clear that the original purpose of the Skill Development Act is retained namely:
> "to provide an institutional framework to devise and implement national, sector and workplace strategies to develop and improve the skills of the South African workforce." (National Skills Development Act cited in NSDP, DHET, 2017, p. 5)

However, there is also emphasis on the development of an integrated PSET system and this in turn will require some statutory amendments if the plan is accepted.

The National Skills Development Plan sets out a number of *principles and goals* that, with specific reference to those most pertinent to this study, include:
1) *Locating the NSDP within an Integrated PSET System (this includes an integration of planning, funding, monitoring, evaluation and reporting on the system);*
2) Contribution to wider national objectives (this includes an alignment with the National Development Plan and a broader vision of 'quality education' as articulated in the WP-PSET);
3) And then some more *specific principles and goals (that are very important for monitoring and evaluation and require further review):*
   - *Advancing an equitable and integrated system,*
   - *Greater inclusivity and collaboration across the system,*
   - *Focusing on support system for learners,*
   - *Strong emphasis on accountability, and*

- *Rationalising the system*. (DHET, 2017, p. 8)

The National Skills Development Plan also identifies a number of skills priorities and related implementation focus areas:

1) Understanding demand based on enhanced capacity within DHET to analyse development plans and labour market information derived in part from SETA's engagement with workplaces.
2) Steering Supply: Qualifications and Provision. This will be overseen by institutions within DHET (particularly the Skills Branch) to ensure that the quality councils ensure qualifications and provision of occupations in high demand are provided for. SETAs will participate in the discussions to ensure links between providers and employers and where relevant between public and private providers.
3) Steering Supply: Funding Mechanisms. The Skills Planning Branch will collaborate with skills providers to consider how best SETAs can fund institutions, build links between training institutions and work-places, and respond to national occupational priorities.
4) Developing the capacity for growing supply which includes SETAs coordinating the efforts to meet supply needs. This includes allocation of funds from the fiscus aligned to the MTSF and MTEF. (DHET 2017, pp. 10-11)

The National Skills Development Plan has a separate section on 'Funding' (Section 5) that will have *implications for the discretionary and mandatory grants*. Importantly, *this funding will be approved within the MTSF and MTEF and is thus more closely aligned with the government wide monitoring, evaluation and reporting frameworks.* There is another section on 'Funding Allocation' (Section 6.6) that appears to restate the section on Funding using similar percentages but it is not explicitly stated that this is the same funding that is being spoken about. *It may be necessary to gain clarity from role players on how these two sections on funding and the priorities and management mechanisms outlined in the two sections, relate to each other.*

Funding Breakdown

The funding breakdown in the NSDP, outlined below, has relevance in terms of M&E role players and foci:

- *49.5% will be used to fund occupation in high demand. Clarity on how these will be determined will be important, e.g. if through mechanisms with HET, TVET and CET sub-sectors to ensure adequate funding for provision of the occupations in high demand. SETAs will have to submit forms to DHET for approval.*
- *20% of the Skills Levy will be used through the National Skills Fund to drive key skills strategies through the state. This will include meeting the training needs of the unemployed and non-levy-paying cooperatives, NGOs and community structures. This will also be used to promote strategic partnerships and will include support for the HRDC and the National Skills Authority (who it will be remembered have a key role in M&E of SETAs).*
- *20% of the SETA levy paid in the sector will continue to go to SETAs, to be paid to workplaces as per the mandatory grant process (this is key to soliciting data from the Sector role players).*
- *10% of the SETA levy will be used to support the administrative function of the SETAs.*
- 0.5% will be allocated to the QCTO to ensure its role as relevant quality assurance of public and private providers (the hope seems to be that efficiencies of shared services will lead to some

money from the 10% above being available to allocate to the QCTO for a function that it has been unable to perform to date on the funding allocation of 0.5%.)

Note that there are discrepancies between the two sections in the NSDP for the discretionary grant. It appears that the mandatory grant process will not change other than being used more effectively to get skills planning data out of the sector roleplayers.

Institutional Landscape

The National Skills Development Plan provides significant detail on the roles of the SETAs, the QCTO and the NSA. *It includes a section on the Accounting Authorities of the SETAs that will be important for Project 8, on Governance.*

SETAs

The SETAs are positioned as intermediary bodies between skills demand and supply and as such are maintained and repositioned as statutory bodies without a limited lifespan but subjected to "rigorous performance reviews" on an annual basis. There is a parallel review of the SETA landscape at present (comment period closed in September 2018). *The proposed changes may include an additional clustering of SETAs. Given the timing of this study on SETA M&E, it may be useful to feed some of the emerging insights into the discussions on the continuation of SETAs and the potential SETA landscape being proposed. The high level M&E framework proposed needs to 'work' in the new landscape.*

There is a push for efficiency across the SETAs particularly with regard to establishing shared services. There is also a big push for one QCTO for quality assurance of qualifications and providers across the SETAs. One area of focus is *a shared data and information management system* – this suggests that the M&E framework may need to have significant commonality across the SETAs. *It would be important to establish just how much shared M&E work is envisaged, e.g. common framework and a common information management system across SETAs.* DHET will provide guidelines for shared services and a framework for their operation.

The details of the roles and functions of the SETAs are copied here in full since it is likely that these will form the basis of the Monitoring and Evaluation of SETAs going forward if they are accepted in the NSDP.

From pages 16 and 17 of the NSDP (DHET, 2017) [pages 21 and 22 of the Government Gazette No. 41332].
　　Details of each of these functions include:
　　　a) Understanding demand and signalling implications for supply:
　　　　i. The purpose is specifically to encourage skills and qualifications in occupations that support economic growth, encourage employment creation and enable social development. This includes an analysis of the implications of these trends for supply planning. SETAs will support the process of *determining and outlining the demand* for occupations in their sector through:
　　　　　• *Engaging workplaces to enable them to provide increasingly relevant data on the skills of their existing workforce as well as projected skills needs*

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(against occupations). This will be against the revised template currently being developed by DHET to replace the WSP /ATR,

- *Engaging stakeholders* (including but not limited to employers, labour and government) to ascertain their perceptions of future trends in their sectors and the implications of these for the demand and supply of skills, and Engaging the relevant unit within DHET to explore the implications of the findings from the workplace data and stakeholder engagement with respect to sector trends.

b) *Steering the system*
   i. The SETAs will manage and use the levy -grant mechanism to support the process of collecting information and steer the system to ensure that funding concentrates on driving the provision of quality qualifications and /or workplace-based experience, and
   ii. These will target the existing workforce, pre -employed (students) and the unemployed and will inform the career guidance processes to encourage individuals to plan their learning and occupational pathways within this context;

c) *Supporting the development of the institutional capacity* of public and private education and training institutions:
   i. The delivery of programmes against qualifications (on all the sub -frameworks) in occupations that support economic growth, encourage employment creation and enable social development for workers, unemployed and pre -employed (students), and
   ii. Facilitate workplace-based experience as part of a qualification or for graduates post –qualification, again with a specific focus on occupations that support growth, encourage employment creation and enable social development; and

d) Performing system support functions and managing the budgets and expenditure linked to their mandate. This includes:
   i. Administering the skills grants against the agreed upon priorities and timelines, and
   ii. Working with the shared services to ensure a consistent application process for workplaces and potential learners.

There is also a section on quality assurance that makes it clear that *the functions of the SETA ETQAs and the National Artisan Moderating Body will be integrated into the QCTO.* It is also noted that the QCTO will engage with the NSA and that *mechanisms will be identified to ensure that the priorities of the QCTO are determined by the demand identified through the skills planning system. "The extent to which this results in qualifications being taken up and resulting to [sic] the intended outcomes will be monitored through the SETAs, NSA and the QCTO."*

Planning, Reporting and Accountability

The NSDP makes it clear that SETAs will henceforth work within the Medium-Term Strategic Framework five-year planning cycle of government and the three-year budget cycle. This will require that the SETAs submit annual performance plans based on this strategic planning in accordance with the Public Finance Management Act. These Annual Performance Plans "will form the basis for the monitoring of the SETAs." (DHET, 2017, p. 18)

> "The DHET will undertake a 3-year review of the contribution that each SETA and QCTO makes to the intended objectives of the system and on this basis determine adjustments to the next 3-year MTEF budget against its 5-year MTSF plan and priorities (medium term

outcomes). These will then be reviewed for the extent of alignment to the performance outcomes and ultimately to the National Development Plan". (ibid. p. 18) *[This is extremely important as it talks to all forms of monitoring and evaluation and potentially ensures the 'line of sight' required by the National Evaluation Plan.]*

The National Skills Authority

As has been noted before, the National Skills Authority has been singled out in both the White Paper and the National Skills Development Plan to play a key role in the Monitoring and Evaluation of the SETAs and QCTO. It is interesting to note that in the section on funding allocations (the section where the discussion on the role of the NSA is included in the NSDP, no specific allocation of funding is provided for the NSA. *[It will be important to get information on how the NSA will be funded and what kind of capacity it will have for M&E. There is a business plan developed by GTAC (the Government Technical Advisory Centre, an agency of Treasury).]*
In addition to some comments about increasing the capacity of the NSA, the following statements are made that have implications for SETA M&E:

> "b) The NSA will ensure that the systems are in place to support, monitor and evaluate the SETAs and QCTO implementation of the NSDP. This will include a focus on ways in which funds are allocated, who accesses these programmes and the extent to which these ensure the intended outcomes and impact. This will also take into account the work of the NSF;
>
> c) DHET will augment its secretariat support to provide the NSA with increased monitoring, evaluation and budget analysis capacity. This will allow DHET to furnish SETA performance reports to the NSA to allow for deliberation on the SETA performance within the context of the NSDP; and
>
> d) The NSA may commission additional evaluations to understand SETA contributions to and impact on the overarching system objectives as outlined in the M &E framework for the NSDP. Where challenges are identified, the NSA will make recommendations on required changes to the Minister." (pp. 21-22) *[This point suggests a 'transversal' mandate across not only the SETAs but the 'overarching PSET system – how does this relate to the mandates of the Skills Branch and the propose Skills Planning Unit?]*

Monitoring and Evaluation

Again, due to the relevance of this section to a consideration of SETA Monitoring and Evaluation, the entire section from the National Skills Development Plan is included below.

Monitoring and Evaluation

DHET will improve monitoring, evaluation and reporting capabilities by developing a monitoring and evaluation framework for the NSDP and the DHET will further outline the outcomes and indicators and intended impact of the PSET system. This will include the extent to which:

> a) Occupations in demand are being produced in the education and training system;
> b) Employers find recruitment easier;
> c) Labour indicates that individuals are able to progress in learning and career pathways;
> d) The unemployed are finding employment in fields in which they are trained; and

e) The quality of services is improving - such as health and education. (p.22) *[These priorities are very different to what is currently being measured in the MTSF and thus reported to Parliament – Need to think through the implications for alignment across policy frameworks and reporting structures.]*

Monitoring the SETAs' APPs will focus on outcomes achieved and the extent to which this appears to be contributing towards the intended impact within each sector and of the PSET system.

At the three-year point, the NSA will commission evaluative work to determine the extent to which the SETA, NSF and QCTO work is contributing to the objectives of the NSDP and NSDS Ill. This will include making recommendations on areas that need to be adapted in order to strengthen this contribution.

In addition, it is noted that the DHET will put in place the capacity to review the APPs of the SETAs.

Other Relevant Acts and Plans

The Human Resource Development Strategy

The first South African Human Resource Development Strategy was developed in 2001. It was subsequently revised in in 2010 and in the same year the Human Resource Development Council was established to oversee and support the implementation of the HRDS. The current version of the Strategy was approved by Cabinet in 2017 (Human Resource Development Council, 2017).

Within the overarching framing of the HRDS the National Resource Development Council, in 2013, developed the National Integrated Human Resource Development Plan (2014-2018). This plan contained five strategic outcome-oriented goals:

- Strengthening basic education and foundation programmes in Science, Technology, Engineering, Maths, languages and Life Orientation/skills;
- Expanding access to quality post-schooling education and training;
- Improving research and technological innovation outcomes;
- Production of appropriately skilled people for the economy; and
- A developmental/capable State.

 The current Human Resource Development Strategy of South Africa (Human Resource Development Council, 2017) indicates programmes that will be implemented to achieve these goals and contains a theory of change as well as indicators to achieve these goals. There is a significant amount of overlap with regard to the goals focused on expanding access to post-school education and training and the production of appropriately skilled people for the economy on the one hand, and the National Skills Development Plan and associated work of the SETAs, on the other. Interestingly, while the NSDP makes specific reference to aligning the work in the skills arena with the MTSF, the HRDSA documentation has already made a number of links to the MTSF and will therefore be an important reference for this work as the SETA M&E project moves forward.

The HRDC has set out in its 'key interventions' a number of monitoring and evaluation interventions that directly overlap with the monitoring and evaluation of SETAs and the work that they do. The HRDSA specifically states that:

> "Implementing this strategy is premised on effective monitoring and evaluation. As the implementation of this strategy is now aligned with the MTSF, it is envisaged that the lead department for each of the outcomes highlighted in this document will report to the HRDC programme against the relevant indicators. This will enable the HRDC to monitor progress and to identify blockages and solutions where targets are not being realised in a manner that cuts across government and social partners. In this vein, it should be noted that in terms of this strategy the overarching indicators will be quantitative. However, in terms of the mid-term review (as highlighted below) as well as the summative review there will be an attempt to understand both the changes that have taken place as well as the perceptions of the contribution that that HRDC has made to realising these developments." (HRDC, 2017, pp. 29-30)

Here are some examples that indicate that any consideration of the M&E of SETAs will need to interface with the HRDSA.

- Monitor the extent to which the HRD targets are being met. Where targets are not being met, to establish the blockages that are preventing the required progress from being made. Agree on actions to be taken and roles and responsibilities for taking these actions.
- Monitor the extent to which these are being taken.
- Monitor the extent to which HRD initiatives are responsive to global trends/ developments.
- Evaluate the impact of these changes so that there is increased data to support evidence based decision making. (ibid. pp. 29-30)

The HRDSA also notes that a mid-term evaluation and final impact evaluation on the strategy and the intervention areas must be done. In order to do this, the design of the evaluations needs "to be agreed to in the present so that no data collection opportunities are missed, and that clear baseline datasets are established and agreed to." This suggests that a SETA M&E process need to work closely with the HRDC in developing the M&E plans. The appendices of the HRDSA (HRDC 2017) document contain a number of potential indicators (Appendix 1) while the programme implementation plan (to 2020) in Appendix 2 provides a more comprehensive logical framework that includes objectives, baselines, targets, indicators and outcomes. *[We need to work with the partners in this process to avoid potential duplication of effort and ensure that the M&E at different levels in the skills system is contributing to a truly integrated system.]*

Implications of the Policy Analysis

The Constitution, and the policies and frameworks that flow from it, make it clear that there are a number of agencies both within government and established as independent bodies that have a monitoring and evaluation mandate. This has led to the situation where M&E reporting was fragmented. The Government Wide Monitoring and Evaluation Framework and the National Evaluation Framework Policy were developed to address this fragmentation. This suggests that there

may be potential to identify a 'core' of monitoring and evaluation foci for SETAs (skills development) that can be progressively 'fleshed out' at the different levels and across the different institutions, while at the same time being suitable to consolidate and aggregate for system level trends and patterns (see Figure 1 below). This scoping phase suggests that this horizontal alignment is by and large not occurring.
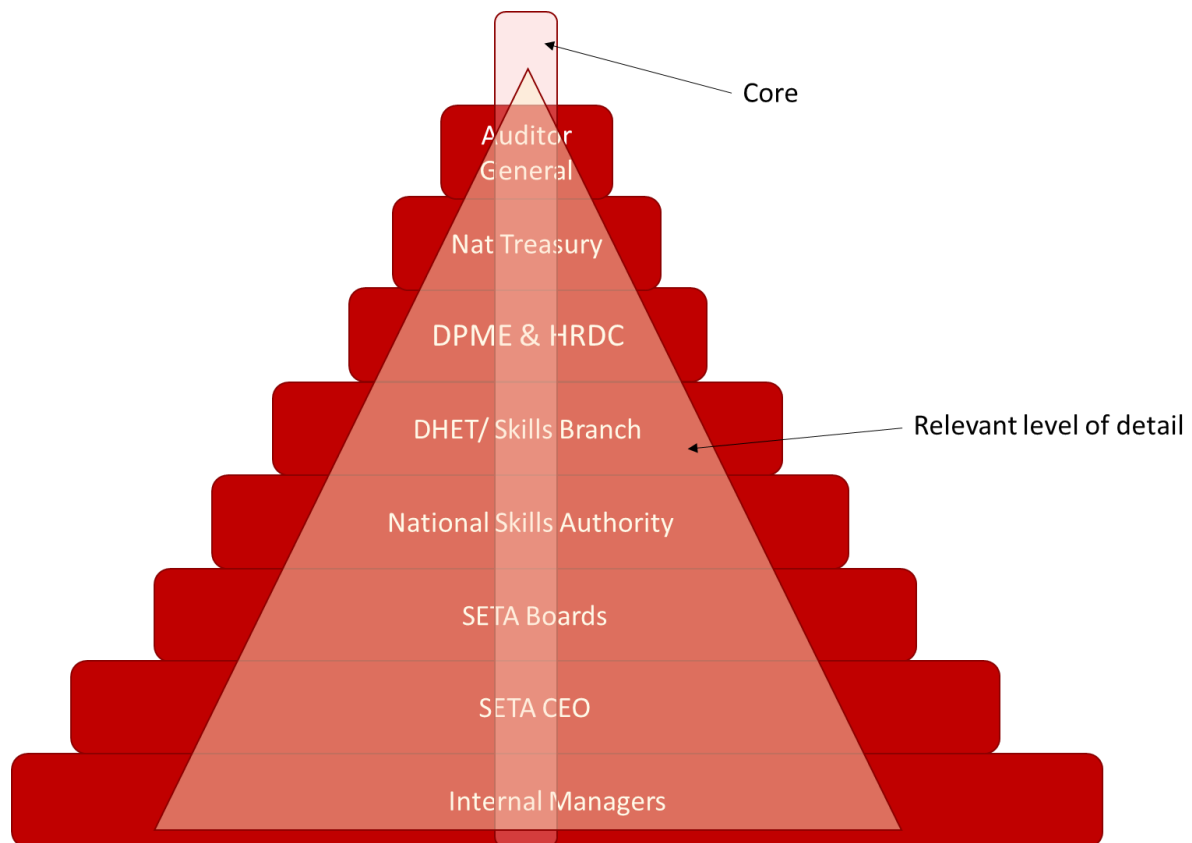

Figure 1: Possible framing for a high level SETA M&E framework that meets multiple needs efficiently

In addition to the institutional mandates identified above is the content focus as articulated in the National Development Plan (and even beyond that in global frameworks such as the Sustainable Development Goals and the Africa Agenda 2040). This is the 'line of sight' referred to in the National Evaluation Policy Framework. This content focus is currently being reduced to a few quantifiable outcome targets as captured in the MTSF. However, most of these indicators were supply side indicators while the National Development Plan was clear that a key function of the SETAs and of the PSET was to create closer alignment between the skills development institutions and the employers. While the National Development Plan highlights the need to develop the quality of education and training many of the indicators appear to measure the quantity of learners entering or exiting the training institutions.

The 1998 Skills Development Act, the White Paper on Post School Education and Training and the emerging National Skills Development Plan have clear statements on the purpose of skills development. The WP-PSET highlights improved equity in South Africa, co-ordination across PSET,

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expanded access and improved quality, strong cooperation between training providers and the workplace, responsiveness to the social and economic priorities of the individual, institutions and the country as a whole. The National Skills Development Plan sets out an almost identical set of principles and goals. The link to these principles and goals is evident in some of the better SETA evaluation frameworks but absent from most. Part of this study will need to *probe how these principles and goals are being translated by the SETAs and incorporated into the monitoring and evaluation frameworks.*

Achieving vertical alignment both in terms of institutional mandates and reporting requirements on the one hand and national priorities on the other will require significant management capacity. The Management Performance Framework requires a clear focus on Monitoring and Evaluation and the DPME have provided guidelines both in terms of what is required with regard to M&E capacity and in terms of the development of Departmental Evaluation Plans. With regard to the evaluation capacity assessment, there is mention in the DHET M&E Draft Evaluation Framework of the Auditor General's 2015 *Final Management Report for the DHET containing a diagnostic analysis of DHET's M&E system. The product of this analysis, which had input from the DPME, and provides recommendations on what needs to be undertaken to improve the Department's M&E system. It will be important to access this document* and any subsequent management reports to inform this current study.

The guidelines for the development of the Departmental Evaluation Plans (DPME, 2015) *contain a structure that is contains many sections that would address the vertical alignment mentioned above. The format for the Departmental Evaluation Plan is included here, as it will be useful to compare it with the draft plan/ framework that we have access to (March 2018 version). We also need to understand better the distinction between the Departmental Evaluation Plan and Department Evaluation Framework and ensure that we have the latest copy of both documents*. The structure below appears useful to ensuring greater alignment between the national planning, the DHET priorities and the SETA priorities.

A recurrent theme across the policies and plans reviewed is *the institutional mandates for M&E*. Within the White Paper on Post School Education and Training and the National Skills Development Plan, the National Skills Authority is specifically mentioned as taking on a substantial M&E role with regard to the SETAs. This role needs to be better understood by the current reviewers as does the resourcing and capacity building of this unit. Similarly, the current work on setting up a labour market intelligence structure needs to be explored. There may be some value in prioritising *different kinds of evaluation within different institutions* within DHET eg LMIP or the Skills Planning Unit focusing on diagnostic evaluations for the PSET sector and the NSA doing synthesis evaluations across the SETAs. There may be some way to distribute roles for different evaluations among the different role players in the system.

Contents

Figure 2: Structure for Departmental Evaluation Plan (Source: DPME 2015)

Analysis of SETA M&E Frameworks

As part of preparing the Scoping Report and in response to a suggestion from the National Skills Authority during an interview, we conducted a limited review of SETAs' existing M&E frameworks (also referred to as M&E policies, or policy frameworks).

We requested frameworks from all 21 SETAs. Twelve shared theirs with us. Although we cannot be sure that the others do not have M&E frameworks (as clear information on this was not necessarily forthcoming during the December-January period), we have concluded that they probably do not have them. That suggests that a little over half of the SETAs (12/21 = 57%) do have M&E frameworks or policies. This corresponds with a 'show of hands' during a well-attended SETA consultation conducted in July 2018.

We analysed the 12 frameworks. The documentation submitted varied from quite lengthy to one power point presentation of key features. We first summarised these documents in terms of:

- When they were produced and by whom
- What is to be monitored, and by what means (methods)
- What is to be evaluated, and by what means (methods)
- What is included regarding the resourcing of the M&E framework, and
- Any evidence that it is being implemented.

This process resulting in a useful reduction and focussing of material, although we noted that it was often difficult to distinguish between monitoring and evaluation, as some Frameworks used these terms interchangeably. One SETA (Services SETA) on the other hand had two distinct documents for Monitoring (Guide) and Evaluation (Plan).

We then did an analysis across the summaries, and found as follows:

It was often impossible to tell from the document who produced it.

Of the 12 documents we had, four were a 2018 version, some were revisions from previous versions. The oldest was a 2010 version. At least one SETA indicated that *annual reviews of the framework* should be done, presumably in the light of implementation insights and/or changing context. It was not clear from the documents to which extent this had been done. However, one framework that made mention of the need for annual reviews, was a 2016 version, suggesting annual updates had not been done in this SETA.

We expected to find that SETA M&E frameworks would be somewhat narrow, focussing mainly on compliance and performance monitoring. Indeed, in three SETAs' M&E Frameworks, the focus was almost exclusively on the compliance of the SETA and its "service providers" with procurement and other requirements, the meeting of set targets, and contract management. In these cases (e.g. TETA, MICT), this meant that the M&E framework would overlap quite strongly with Management Performance Assessment, applied both internally and to external partners.

We were interested to find that the majority of SETA M&E frameworks (9/12) were however comprehensive and even very comprehensive. That is, in addition to compliance and performance assessment, reference was made to: evaluation, including the evaluation of sponsored projects as well as own performance; the quality and relevance of provider offerings and the quality of SETAs' own planning.

Several frameworks made reference to a need to look beyond inputs to outcomes and impacts. Learning through M&E was emphasised by some SETAs, including 'second loop learning', for example, in addition to assessing whether goals have been met, also asking whether these goals were appropriate, including aligned with SETA and national priorities. Evaluating the ethical dimensions of their work (e.g. fairness, inclusivity) was mentioned by at least two SETAs, as well as the need to make the report accessible to stakeholders. A spectrum of data collection methods were suggested, including document analyses, site observations, expert panels, learner and provider interviews, etc. Meta-level and deeper questions were included in the frameworks such as: the extent to which evaluation was used for strategic planning; the extent to which findings from previous evaluations were implemented; and how changes suggested by evaluation findings, should be effected.

In some cases, the extensive range of questions included in the frameworks seemed somewhat glib in that almost all possible key concepts were included but not necessarily coherently matched up e.g. with methods. In at least eight cases, however, it seems that careful thought went into preparing the frameworks. For example, they give attention to the practicality of aligning the M&E framework with other organisational processes; the need for one "consolidated" M&E and reporting process in the organisation; or the need to build on previous evaluation reports. Several frameworks also gave attention to *the style of evaluation*, with a results-based approach being popular, as well as participatory and collaborative approaches, with the need to be on-board both in-house and external stakeholders in the M&E process, featuring prominently in some frameworks (e.g. Health

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and Welfare; ETDP SETA). These frameworks also noted that M&E should not be a separate process, but "part of the management ethos" of the organisation (FASSET SETA) with "all" entities within the SETA contribution to M&E, and needing to understand and implement it. A collaborative approach to working with stakeholders was recommended over a "punitive" approach.

Some (but not all) frameworks also refer to other practicalities for implementation including a central repository; knowledge management system; M&E database and online systems; and tools and templates are appended to some frameworks, or referred to by others. Whether they have been produced, is not clear in these latter cases.

Finally, it was noticeable that SETAs name the entities within the organisations differently, and they allocate the responsibility for M&E to different, or similar but differently named, entities. These are often:

- An M&E Unit which may be separate or within other Units;
- Research Units;
- Strategy and Planning Units;
- Information Units; or
- Reporting Units (sometimes combined with one of the others).

As noted, the responsibility for M&E is often allocated to "everyone", including project implementers external to the SETA, and the SETA's Business and Operations units, with SETA M&E staff having a coordinating and / or advisory role, and the Accounting Authority is identified as not only having the final responsibility for M&E, but also the responsibility of adequately resourcing it.

Implications of the SETA M&E Framework Analysis

The existing frameworks need to be analysed more thoroughly in the next phase of the study, in light of the policy framework outlined earlier and with input from the SETA M&E implementers themselves.

However, some insights from the analysis of the existing 12 Frameworks may be useful.

If these comprehensive frameworks have been implemented, it would mean that there is an incredible wealth of information potentially available for meta-evaluation. We therefore need to ask:

- Where are the findings of the evaluations conducted? With whom have they been shared?
- Has monitoring data (which is routinely submitted to various entities e.g. DHET, AG) been analysed to answer evaluation questions?

Secondly, although SETAs cover somewhat similar ground, it would be very difficult to ascertain what evaluations findings they may have, that can be aggregated (the compulsory MPAT reporting excluded). Thus, it may be difficult for SETAs or anyone else in the PSET system to gain aggregate or overarching insights. The MPAT (Management Performance Assessment Tool) seems to be implemented by all SETAs; DHET's Skills Branch have a multi-level staff contingent in place to receive and review reports from all SETAs on a quarterly and annual basis (and in the case of SETAs under administration, on a monthly basis). The Skills Branch checks that the SETAs have spent their

budgets and met their targets as set out in the Strategic Plans and Annual Performance Plans. This process and how it links to the rest of the M&E done by SETAs, needs to be investigated further as part of this project, and as part of Project 3 (which focusses on Standards for SETA Performance).

Thirdly, the level and practicality of thought reflected in some Frameworks suggest that several SETAs had or have *access to significant M&E expertise* for drawing up their frameworks. Any of the frameworks of BANKSETA, FASSETA, Services SETA or ETDP SETA, for example, on paper, could be after some refinement adopted as an overall framework for SETA evaluation. However, to inform that refinement, one would need to know:

- To what extent are these frameworks realistic and feasible for implementation?

The downside of the comprehensive nature of the majority of frameworks analysed, is that they may be overambitious, and unrealistic and impractical to implement within the context of the SETAs. To know whether this is the case, and therefore to inform the high level framework we develop, we need to know:

- What is the extent to which these frameworks have been or are being implemented?
- What are the challenges experienced in implementation and how are they dealt with? (e.g. SETAs may have access to theoretical expertise but less expertise in implementing innovative approaches like participatory evaluations)
- Have lessons learnt and refinements made to M&E Frameworks being documented?

To answer these questions, a selection of SETAs should now be interviewed. We have started to request interviews but have found that the designated person is not easy to identify, contact, or schedule.

Other findings regarding the frameworks are that, as required by the policy frameworks (such as the PFMA and the GWMES), the accounting authorities of the SETAs have the responsibility of ensuring that adequately resourced M&E frameworks are in place. Several SETA M&E frameworks mention the CEO's role accordingly. Other national policy guidelines give a significant role to line managers, for ensuring that M&E systems are in place and implemented. Again, it would be important to follow this up in interviews.

Finally, it is not clear to what extent the evaluations outlined in the SETA M&E frameworks draw on logic models (either logical frameworks, outcomes mapping or theory of change models) to decide what should be evaluated, and why. If this is absent, it might result in a variety of somewhat ad hoc evaluation foci.

Implications for an Overall M&E Framework for SETAs

1. SETAs are required by several policy frameworks to have an M&E framework, and to implement it.

2. The organisational role players are identified, and include the CEO and SETA Board with responsibility to ensure the framework is in place and the SETA has the human capacity to implement it.

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3. The policy frameworks require a 'line of sight' across national goals and priorities that needs to shape M&E frameworks and their implementation in a coherent manner.

4. Both organisational performance (inputs and processes including compliance and relevance) and outcomes and impacts of SETA activities and provider activities, are to be monitored and evaluated. A range of evaluation types are recommended, and included in some SETA frameworks, ranging from diagnostic evaluations to synthesis evaluations. It is not clear to what extent the spectrum of evaluations are undertaken and utilised.

5. Other principles relevant to M&E include a results-based approach, utilisation-focussed evaluations, inclusivity and participation, and a focus on learning. Several SETA M&E frameworks include these principles, and it is important to find out the extent to which they are able to achieve such approaches, what the challenges may be, and how they are being overcome.

6. SETAs are affected by multiple levels and multiple spheres of planning. They need to report to multiple roleplayers in the PSETA system and beyond. This creates the potential for duplication and inefficiencies. Government has recognised this and frameworks for coordination and integration have been proposed.

7. The exact roles of various entities in system are not entirely clear from the policy frameworks. Specifically, the NSA has a significant new M&E role in relation to SETAs, but is not resourced accordingly. The new funding frameworks in the NSDP are also unclear. This study will need to be resourced with the latest versions of this and other plans, and consult with senior officials for accurate interpretations.

8. Significantly, SETAs are not required to report to each other. This might suggest a missed opportunity for lessons learnt from evaluation, for consolidation and avoidance of duplication. There could be much potential in creating such a mechanism. Shared functions are also foreshadowed in the NSDP.

9. A further clustering of SETAs may make it harder for SETAs to build strong relationships with employers, strengthen the quality of sector data and refine the strategic nature of work-based learning planning.

10. The relationship with the MPAT process needs to be further clarified.

11. The work done for this scoping report also informs other studies, including Projects 3, 6, 7 and 8.

12. There seems to be a lack of clarity on the extent to which SETAs can determine their own strategic directions. This is significant as an important aspect of M&E is to be able to test and inform strategic trajectories.

Way Forward

1. Interim findings will be shared at the Collaborative Research Working Group meeting on 22 February, and following feedback, the rest of the study will be set up. Key role players will be invited to this meeting.

2. The map of M&E in the SETA environment as an activity system that has been drafted, will be discussed and refined during interviews (listed in 3 and 4).

3. Further interviews must be conducted on mandates and initiatives to develop an integrated, streamlined M&E system (starting with the tiered system outlined here); as well as broader funding frameworks; the envisaged PSET landscape including a central skills planning facility, and in particular the SETA configurations and roles; and comments on the draft M&E Activity System Map. This will include interviews with DHET (including NSA, QCTO, Skills Branch); DPME; HRDC. The sample will be based on key informants and to some extent snowballing; where one key informant may identify another for further interviewing. The envisaged sample for high level interviews is however no more than ten.

4. Interviews must be conducted with SETA M&E and/or research staff to understand the nature of implementation of M&E in organisations, resourcing, scope, utilisation, knowledge management, challenges and successes, as well as why some SETAs do not have M&E frameworks. The analysis of the existing frameworks will be further informed by a comparison with frameworks emerging from the policy analysis, perhaps most notably the DPME guidelines.

5. This scoping report did not refer extensively to an in-depth review of evaluations of SETAs, and the work started in this regard will be taken further, and inform the consultations and recommendations.

6. The draft research questions (appended below) will be modified and reduced.

7. Dates will be determined for the two consultative workshops with stakeholders, where first interim and then final findings will be shared. In the first workshop, a proposal for a more streamlined system will be deliberated with carefully selected participants.

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Appendices

Appendix 1: Policy Review Mind Map

Appendix 2: Graphic Representations to inform discussions
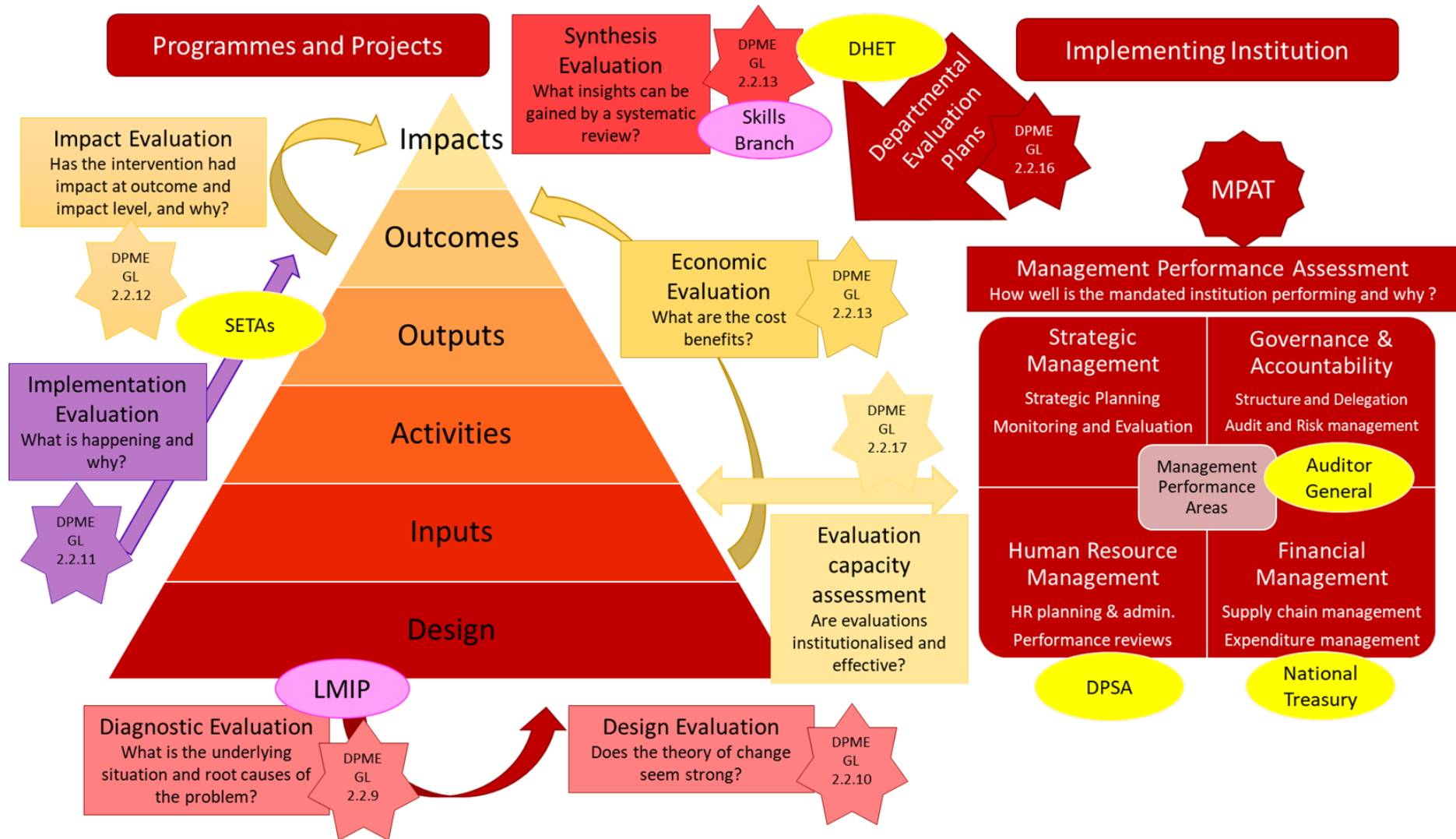
Appendix 3: Research Questions

High Level Research Questions

1. What should SETAs monitor and evaluate in the complex system of PSET in SA?

2. How can SETAs realistically conduct this M&E?

3. How can the PSET system as a whole optimally learn from M&E in a SETA environment?

Sub-Questions

1. What is the theory of change guiding the SETAs in general, the associated logical framework, results framework and outcomes maps?

2. What are the associated generic indicators of success at outcome and impact levels? (bearing in mind the DHET framework)

3. What are the generic evaluation questions related to quality, relevance, impact and sustainability (bearing in mind the DHET framework) and how should they be addressed? This should be guided by a broader question: How best do we find value?

4. Should SETAs develop their own aligned theories of change, logical frameworks, indicators and evaluation questions, and if so, how?

5. What is the most efficient and meaningful way to report against indicators and what are the associated challenges?

6. How can other methods e.g. evaluative case studies, address the limitations of indicator-based monitoring, and what are the associated challenges?

7. How can a cost-benefit analysis tool be integrated into M&E frameworks?

8. How can tracer studies be integrated into M&E frameworks?

9. How can project evaluations be included in the M&E framework?

10. How can performance assessment be linked to overall M&E?

11. Can a realist evaluation method be used to optimise systemic learning and if not, what are the alternative frameworks for designing evaluations?

12. On the basis of all the above, what would an integrated M&E framework for SETAs look like?

13. How should this framework be implemented and what are the associated requirements?

Appendix 4: Data Sources and References

METHODS	INSTRUMENTS	DATA SOURCES	LOCATION
Desk top research: Policies (conducted early in the study to inform the Scoping Report)	Policies will be sourced in the first instance through the SETA Collaborative Research Working Group and DHET	Relevant M&E frameworks of the DHET, DPME, NSA, existing SETA frameworks; frameworks used in other countries for comparative purposes	Rhodes

REMINDER - RESEARCH REPORT OUTLINE:

Title: ***A High Level Monitoring and Evaluation Framework for SETAs***

Executive Summary

Acknowledgements and Citations

Chapter 1: Background to the Study

Chapter 2: Research Process

Chapter 3: Review of the Policy Framework, Existing Studies and M&E Frameworks

Chapter 4: Theory of Change, Logical Frameworks and Outcomes Mapping

Chapter 5: Monitoring: Identifying, Defining and Working with Indicators

Chapter 6: Evaluation: Alternatives to Complement Indicator Based M&E

Chapter 7: Incorporation of Tracer and Tracker Studies

Chapter 8: Incorporation of Cost-Benefit Analyses and Return on Investment

Chapter 9: Recommended Overarching M&E Framework

Chapter 10: Requirements for Implementation

Bibliography/References

Appendix 5: Reminder - 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
- M**&E Framework** – this will be included in the research report, but also summarised in a shorter, user friendly 'pull-out' document with diagrammatic outlines.
- **Guidelines for Integration and Implementation** – also included in the research report, and pull-out.

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Appendix 6: Reminder - Payment Schedule

Tranche	Deliverables	Invoice Date	Amount	Amount inclusive of VAT
1 (25%)	Master Research Plan Approved	23 July 2018		R163 500.00
2 (25%)	Scoping Report	31 January 2019		R163 500.00
3 (20%)	M&E Framework	30 Oct 2019		R130 000.00
4 (20%)	Guidelines for Integration and Implementation	30 January 2020		R130 000.00
5 (10%)	Close out Report	01 March 2020		R 65 400.00
	Total Amount			**R652 400.00**

Appendix 7: Reminder - Detailed Research Plan

Stage of Research	Activities	Outputs/ Deliverables	Timeframe		Resources Required
			Start	Finish	
1	Finalise Research Plan	Master Research Plan Approved	July 2018	July 2018	Budget for travel during set-up
2	Conduct desk top studies and key informant interviews	Scoping Report	August 2018	January 2019	Access to documents and contacts; travel budget; research time
3	Further desk top studies, interviews and focus groups; writing up framework and draft tools	M&E Framework	January 2019	Oct 2019	Access to documents and contacts; travel and meeting budget (venues, catering); research time
4	Focus groups with key stakeholders; integration of other tools (CBA Tool, Tracer Protocols, etc.) and development of guidelines	Guidelines for Integration	Nov 2019	Jan 2020	Access to documents and contacts; travel and meeting budgets (venues, catering); research time; feedback
5	Produce and present final report	Close out Report	Feb 2020	March 2020	Writing time; travel budget; presentation opportunity