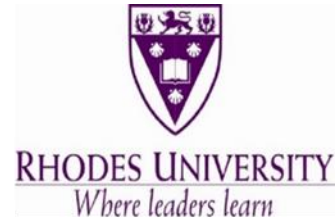




higher education
& training
Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA



Rhodes University BANKSETA M&E Chair Research Plan: Project 3

TITLE OF RESEARCH	<i>Project 3: Develop Standards for SETA Performance</i>
CONTRACT NUMBER	<i>475.4710.644</i>
START DATE	<i>23 July 2018</i>
END DATE	<i>30 October 2019</i>
CONTACT DETAILS (PROGRAMME MANAGER):	<i>Prof Eureka Rosenberg</i> <i><u>E.Rosenberg@ru.ac.za</u></i>

PURPOSE OF THE RESEARCH

This project will develop Performance Standards to be used in the assessment of SETA Performance. It will be guided by the High Level Monitoring and Evaluation Framework for SETAs to be developed in this research programme, and by an evaluation of the existing performance assessment framework(s) in place, in particular the MPAT (Management Performance Assessment Tool). The Standards are to be used by the SETAs themselves, the Department of Planning, Monitoring and Evaluation (DPME), DHET and parties appointed, to assess the performance of SETAs in relation to the given and agreed upon frameworks. These assessments must enable SETAs and other roleplayers in the system to be accountable to stakeholders and in equal measure, to learn from the findings in order to increase their positive impact within their sphere of influence.

This project is an opportunity to develop an aligned, implementable M&E framework that sees post-school education and training (PSET) as a system and supports systemic and institutional learning as much as accountability. Previous initiatives aimed at improving SETA performance and the assessment of SETA performance will be considered, and efforts made to overcome their limitations. This may need to include early on-boarding of all key roleplayers, and change management processes possible within the scope of the research chair. The standards could be broad enough to be also used in a future PSET landscape.

RESEARCH QUESTIONS

High Level Research Question

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

Sub-Questions

1. Who are the stakeholders in the assessment of SETA (management) performance? By whom is performance assessments conducted and to whom are they reported?
2. What is meant by SETA (management) performance? What is the relationship between performance, management and compliance in the SET environment?
3. What are the current standards and assessment frameworks and how are they being implemented?
4. What associated benefits and challenges are experienced by all roleplayers in the system?
5. With which other standards and frameworks inside and outside of SETAs should the performance assessment be aligned (if any)? Can performance assessments inform broader evaluations and be linked to an integrated M&E framework for SETAs?
6. What efforts have to date been made to improve performance assessments and address challenges, and what can we learn from them? (include research and evaluation reports)
7. What are factors that influence (enable and constrain) SETA performance?

8. How do SETAs and other stakeholders think their performance should be assessed and against which standards?
9. In this light, what performance standards are recommended and how should they be implemented?

LIMITATIONS OF RESEARCH

The prevailing systems (e.g. in DPME or DHET) may put limitations on the extent to which an innovative system, or a system which addresses fundamental problems, can be proposed. If new standards are to be introduced, a change management process may be needed, but the Chair cannot closely manage the change process of adopting new standards. The budget also puts limitations on the scope of what can be achieved e.g. numbers of researchers and facilitators that can be appointed and resourced.

HIGH LEVEL RISKS

Risk	Risk level	Risk Management Strategy/Mitigation	Responsible person
Availability of data and reports	H	Obtain support from DHET, DPME and SETA representatives.	ER
Access to respondents	H	Work through senior contacts in DHET and SETA Collaborative Research Working Group; set up meetings well in advance	ER with SETAs and DHET
Proliferation of similar initiatives	H	Identify reasons why previous studies and other efforts to improve performance assessments have not been entirely successful, and use the information to benefit the current study	ER with SETAs and DHET
Buy-in from stakeholders	H	Work through senior contacts in DHET as well as the SETAs' Collaborative Research Working Group.	ER with SETAs and DHET
Too big a scope, mission creep and not completing on time	H	Be realistic in the scope of what can be achieved; identify the requirements of all possible role players and manage their expectations through regular communications and feedback.	ER with SETAs and DHET

RESEARCH INSTRUMENTS AND METHODS

METHODS	INSTRUMENTS	DATA SOURCES	LOCATION
Desk top research: will be conducted throughout the study but particularly in the early stages to	Literature will be sourced from the university and DHET library and archives, own publications, online resources.	Literature, policy documents and evaluation and research reports including (but not limited to): <ul style="list-style-type: none"> • Sayer, A. 2011. <i>Why Things Matter to People. Social science, values and ethical life.</i> Cambridge University Press, Cambridge. 	Rhodes University, Grahamstown

inform the scoping report		<ul style="list-style-type: none"> The management performance tool and the state of management practices in the public sector. Final Report. DHET, 2014 Report on the Implementation Evaluation of the MPAT. Palmer Development Group and DPME, 2015. DPME Guideline 4.1.1. Process for implementing MPAT in National Departments. Updated 2012. DPME. Guidelines on SETA Grant Regulations 2015, DHET 	
Interviews with key informants in DPME, DHET, SETAs (conducted throughout)	Semi-structured interview guides; to understand what works well, issues, challenges, past proposals and efforts to address them	Face to face and remote interviews with Treasury, DPME, DHET, NSA, SETAs. BankSETA and DHET will be required to assist in opening these doors.	Gauteng
Focus groups /workshops (conducted throughout the study; facilitated by the project lead with support, and recorded)	Used for ongoing SETA engagement and an expansive learning process; data gathering on what is, what is absent, what should be there and how it could be achieved, member checking (of interpretations) and review of products (draft framework)	Relevant representatives from the organisations listed above; in particular research and M&E staff; to deliberate how best to overcome issues and challenges; what changes would be feasible and appropriate; and how to drive them; what tools and resources as well as capacity building would be needed. Arranged with support from the BankSETA and the SETA Collaborative Research Working Group. A slot in the monthly SETAs Collaborative Research Working Group is proposed.	Gauteng Dates of WG meetings: 31 August (Wits), 28 Sept, 26 October, 30 Nov 2018; 2019 to be decided
Discourse analysis	To trace the transformational intent in the SA policy and M&E frameworks	Will draw on methods used by Harris, J. 2000. <i>RPL: Power, Pedagogy and Possibility</i> . HSRC Press, Cape Town; and the analysis of bureaucratic systems in Graeber, D. 2015 <i>The Utopia of Rules</i> . Melville House, London.	Rhodes
Analytic review and standards and assessment tool development	Using a critical realist framework of what is there and absent, what should be and how it could be achieved.	Based on all above sources. A think tank will be established to ensure that the thinking is innovative yet grounded in the realities on the ground.	Rhodes and Gauteng

SAMPLE AND POPULATION:

The assessment standards and framework to align with the frameworks of the DPME and DHET, and possibly also those of the NSA, NSFAS and HRDC. Therefore, these entities should be consulted early in the study. 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 5.

The sample will also include the research managers and M&E representatives of SETAs and where relevant, possibly SETA CEOs. A sample of around 50% of the SETA research managers (i.e. 10) and M&E coordinators (also 10) will be interviewed. Finally, two researchers who have previously evaluated or developed performance management frameworks for the SETA environment will be interviewed.

Contact list of Possible Respondents

Organisation	Name of Respondent	Contact Number	Contact Email Address
DHET Directorate: Planning, Policy and Strategy	Dr Hersheela Narsee Acting Deputy Director General	012 312 5657	Narsee.H@dhet.gov.za
DHET Directorate: Policy, Research and Evaluation	Rakal Govender Acting Director	012 312 5657	Govender.R@dhet.gov.za
National Skills Authority	Dr Thabo Mabogoane; Ms Olwethu Nyewe	c/o DHET 012 312 5300 Mohlakoana.R@dhet.gov.za	Mabogoane.T@dhet.gov.za nyewe.o@dhet.gov.za
National Skills Fund	Dr Gideon Sauls	083 660 0766	Sauls.g@dhet.gov.za
Presidency: Dept of Planning, Monitoring and Evaluation	Dr Ian Goldman, Head of Evaluation & Research Unit; Antonio Hercules, Evaluation Director, Jabu Mathe		ian@presidency-dpme.gov.za antonio@presidency-dpme.gov.za Jabu@presidency-dpme.gov.za
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MQA	Mr Leasen Sewnath Mr Francis Lamola		leasens@mqa.org.za francisl@mqa.org.za
PSETA	Ms Andrica Letsoalo, Skills Planning Researcher, Mr Godfrey Chooka, Mr Lucky Mkhonza	012 423 5741 076 315 1672 012 423 5774	andrical@pseta.org.za godfreyc@pseta.org.za luckym@pseta.org.za
SASSETA	Mr Lubabalo Ngxola		Ingxola@sasseta.org.za
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TETA	Mr Nkosinathi Gumbi, Mr Tshepo Mlangeni; Mr Matsemela Moloj; Mantlwane Kgobe	012 943 3173	nkosinathi@teta.org.za , tshepo@teta.org.za matsemelam@teta.org.za MantlwaneK@teta.org.za
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Human Resource Development Council (HRDC)	Ms Blondie Chabani		Chabani.b@dhet.gov.za
Wits, UCT and consulting researchers	Dr Presha Ramsarup Carmel Marock Dr Jeanne Gamble		Presha.ramsarup@wits.ac.za carmelmarok@singizi.co.za gamble@mweb.co.za
Council on Higher Education and Training (CH)	Mr Ntokozo Bhengu	082 528 5882	Bhengu.n@che.ac.za
Palmer Development Group (PDG)	Ms Nishendra Moodley, Lead Evaluator	021 761 1402/09 082 338 8994	nishendra@pgd.co.za

RESEARCH REPORT OUTLINE:

Title: ***Standards for SETA Performance***

Executive Summary

Acknowledgements and Citations

Chapter 1: Background to the Study, Definitions and Scope

Chapter 2: Research Process

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

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

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

Chapter 6: Roleplayers' Perspectives and Relevant Alignments

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

Bibliography/References

OTHER DELIVERABLES

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

PAYMENT SCHEDULE

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

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	September 2018	January 2019	Access to documents and contacts; travel budget; research time
3	Plan and conduct a consultative workshop with relevant roleplayers and stakeholders	Workshop Report	February 2019	May 2019 (workshop in May 2019)	Access to documents and contacts; travel and meeting budget (venues, catering); research time
4	Analysis of all data, development of standards and guidelines (tool)	Performance Standards Tool	June 2019	October 2019	Research time; feedback on tool
5	Produce and present final report	Close out Report	Oct 2020	Nov 2020	Writing time; travel budget; presentation opportunity; feedback on draft report