

Draft Framework for Validation of SETA Quarterly Performance Reports



Department of Higher Education and Training



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Acronyms

AET	Adult Education and Training
DHET	Department of Higher Education and Training.
NSF	National Skills Fund.
PFMA	Public Finance Management Act, 1 of 1999.
QMR	Quarterly Monitoring Report.
RPL	Recognition of Prior Learning
SETA	Sector Education and Training Authority.
SLA	Service Level Agreement
SPM	SETA Performance Management
TVET	Technical and Vocational Education and Training



Executive Summary

The mandate and scope of the Department of Higher Education and Training covers the entire post school landscape. It covers educational provision for all those who have left school as well as for those who have never been to school but require education and training opportunities. It includes formal further and higher education and training in colleges and universities, skills upgrading and/or re-skilling for adults in the labour market as well as education and training opportunities for the unemployed.

The Skills Development Act, 97 of 1998 (The Act) is the key piece of legislation which guides interventions aimed at skills development in the country. The Act establishes the SETAs and the National Skills Fund (NSF). The main functions of SETAs are to develop sector skills plans, develop and register learnership programmes, quality assure qualifications, and disburse the skills development funds. In 2001, the National Skills Development Strategy (NSDS) was launched with the aim of transforming education and training in South Africa by improving both the quality and quantity of training. The NSDS I and II consisted of a set of performance indicators which define certain levels of training which have to be met by the SETAs and the NSF. The responsibility for implementing the NSDS thus rests with the SETAs and the NSF.

In 2011, the third phase of NSDS III was launched by the Minister of Higher Education and Training, which gave the direction for skills training in the country for the 2011-2016 period. The NSDS III seeks to foster the Post school institutions that are involved in skills development (especially public institutions) to work together and share resources in a bid to effectively and efficiently tackle the skills shortage in the country.



1. Introduction

In terms of the Act, the Director-General is the Accounting Officer. SETAs are therefore required to report to the Director-General on the efficient and effective use of the skills development levies. SETAs are also governed by the PFMA, the provisions of which are designed to ensure that public funds are spent effectively and efficiently.

To ensure that SETAs are publicly accountable, each SETA is required to enter, annually, into a Service Level Agreement containing targets with the Director-General. SETAs are then required to submit QMRs to register progress against the set targets.

The SPM plays a critical and central role in managing and evaluating the performance of SETAs against the SLA targets in terms of the required standards. It is on this basis that the SPM provides this framework to serve as a reference and a guiding document to standardise the process of SETA QMR validation.

As per all other guidelines issued by the DHET, an informal approach has been followed to make the Guide as user friendly as possible. It is therefore not a substitute for the Act and should not be used for legal interpretations



2. Purpose of Validation

The purpose of validation is to authenticate the currency and accuracy of the data that is reported by the SETAs to the DHET. The validation process further verifies whether proper processes and procedures as required by various regulations of the Act were followed in the course of realizing the NSDS III.

3. General Applicable Rules

1. SETAs must keep signed/certified ID copies/dated supporting documents of learners or entities for validation purposes.
2. Evidence must be current and be presented in hard copies.
3. All the reported data must be linked to the NSDS III Goals and outcomes.
4. A SETA may not report activities of the previous financial years against the current SLA targets.
5. The date received stamp on evidence will not be considered by the DHET.
6. Sample for validation must be provided to the SETA at least 5 working days prior to the validation date.
7. Sampling will be done randomly by DHET and will be a minimum of 20 files on each reported programme.
8. Validation will be done every quarter and within 15 working days after the submission date of a quarterly report.
9. Validation findings will be communicated to the SETA through the office of the SETA CEO within 10 working days after the validation date.
10. The SETA should provide a final report (if any) in line with the validation findings within 5 working days after having received the report.
11. Validation will be done in the presence of at least one SETA official.
12. In the event that the SETA reports performance information with insufficient evidence, to support its validity and authenticity, such report shall be returned to the SETA for correction and resubmission for further verification by the DHET.
13. If during the validations discrepancies are found on the sampled data for a performance indicator, the whole batch shall be returned by the DHET officials to the SETA for it to correct such inconsistencies and resubmit the entire performance indicator data to the DHET for re-sampling of a new validation sample.
14. SETAs may not revise validated performance information.



Current Evidence

Refers to evidence belonging to the current financial year.



4. NSDS III Goals, Goals and Outputs

4.1 Establishing a credible institutional mechanism for skills planning

NSDS Outcome 4.1.1. National need in relation to skills development is researched, documented and communicated to enable effective planning across all economic sectors

The performance indicator of this outcome is the number of small, medium and large firms that contribute to the improvement of the quality and quantity of the labour market information received by SETAs in the form of workplace skills plans, annual training reports and PIVOTAL training reports to inform planning.

The following documents should be provided by the SETA as evidence:

- Proof of submission of WSP/ATR
- Proof of payment

4.2. Increase access to occupationally-directed programmes.

NSDS Outcome 4.2.1: Middle level skills needs are identified and addressed in all sectors.

NSDS Outcome 4.2.3: High level national scarce skills needs are being addressed by work ready graduates from Higher education institutions.

The performance indicator for this Outcome is the number of learners that are assisted to enter and complete programmes in order to address the middle level skills needs in the sector.

Learnerships Entered

The following documents should be provided by the SETA as evidence:

- DHET/QCTO learnership registration certificate
- Registered and duly signed Learnership agreement.
- Duly signed fixed term contract of employment.
- Certified copy of learner's ID.
- Certified copy of learner's highest qualification.
- Training provider's certificate of accreditation applicable to the learnership.



Duly signed

Means that the agreement/contract is signed by all the relevant parties and initialled on each page.



4.2.1 Bursaries Entered

The following documents should be provided by the SETA as evidence:

- A duly signed bursary agreement entered into between the learner and the SETA or its contracted Agent.
- Certified copy of Bursar's ID.
- Proof of registration/ admission from the University or College.



Contracted Agent

Refers to any provider appointed by the SETA to administer the SETA's bursary scheme.

The provider may be a University, FET college, Employer, etc

4.2.2 Internships Entered

The following documents should be provided by the SETA as evidence:

- A duly signed Internship agreement; or
- A duly signed fixed term employment contract between the intern and the employer.
- Certified copy of learner's ID.
- Certified copy of the learner's qualification.

4.2.3 Skills Programmes Entered

The following documents should be provided by the SETA as evidence:

- A duly signed skills programme agreement or a duly signed Learner registration form with clear start and end dates of the programme.
- Certified copy of learner's ID.

4.2.4 Learnerships Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.2.1.
- Certified copy of completion certificate/Statement of results.

4.2.5 Bursaries Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.2.2 with the exclusion of the admission letter.
- Certified copy of the qualification or a letter from the institution confirming that the Bursar has completed the qualification.



4.2.6 Internships Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.2.3.
- A close-out report from the employer where the learner was placed or a certified copy of a certificate/letter stating that the learner completed the internship programme.

4.2.7 Skills Programmes Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.2.4.
- Certified copy of a completion certificate/statement of results/ETQA assessment report.

4.2.8 Artisan Entered

The following documents should be provided by the SETA as evidence:

- A duly signed Apprenticeship/Learnership agreement or contract.
- Certified copy of learner's ID.
- Certified Copy of the apprentice's highest qualification.

4.2.9 Artisan Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.2.9.
- Certified copy of trade test certificate signed by QCTO.
- Trade test centre's certificate of accreditation.

4.3 Encouraging better use of workplace-based-skills programmes

NSDS Outcome 4.5.1: Training of employed workers addresses critical skills, enabling improved productivity, economic growth and the ability of the work force to adapt to change in the labour market.



4.3.1 Learnerships Entered


The following documents should be provided by the SETA as evidence:

- DHET/QCTO learnership registration certificate
- Registered and duly signed Learnership agreement.
- Duly signed fixed term contract of employment.
- Certified copy of learner's ID.
- Certified copy of learner's highest qualification.
- Training provider's certificate of accreditation applicable to the learnership.

4.3.2 Bursaries Entered

The following documents should be provided by the SETA as evidence:

- A duly signed bursary agreement entered into between the learner and the SETA or its contracted Agent.
- Certified copy of Bursar's ID.
- Proof of registration/ admission from the University or College.



Contracted Agent

Refers to any provider appointed by the SETA to administer the SETA's bursary scheme.

The provider may be a University, FET college, Employer, etc

4.3.3 Skills Programmes Entered

The following documents should be provided by the SETA as evidence:

- A duly signed skills programme agreement or a duly signed Learner registration form with clear start and end dates of the programme.
- Certified copy of learner's ID.

4.3.4 Learnerships Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.3.1.
- Certified copy of completion certificate/Statement of results.

4.3.5 Bursaries Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.3.2 with the exclusion of the admission letter.



- Certified copy of the qualification or a letter from the institution confirming that the Bursar has completed the qualification.

4.3.6 Skills Programmes Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.3.3.
- Certified copy of a completion certificate/statement of results/ETQA assessment report.

4.3.7 Candidacy Programmes Entered

The following documents should be provided by the SETA as evidence:

- A duly signed candidacy agreement or
- A duly signed contract between the candidate and the employer
- Certified copy of candidate's qualification
- Certified copy of candidate's ID.

4.3.8 Candidacy Programmes Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.3.7.
- Proof of registration with the relevant professional body.

4.3.9 Recognition of prior Learning (RPL)

The following documents should be provided by the SETA as evidence:

- A duly signed letter from the employer outlining the learners competencies
- Certified copy of a certificate/ statement of results/assessment report.
- Certified copy of learner's qualification.
- Certified copy of learner's ID.

4.4 Promoting the growth of a public TVET college system that is responsive to sector, local, regional and national skills needs and priorities



Outcome 4.3.2: Partnerships between DHET, SETAs, employers, private providers and public TVET colleges are resulting in increased capacity to meet industry needs throughout the country.

The performance indicator for this goal is the number of TVET Colleges students and Universities students assisted by the SETA to find placement for workplace experience in order to complete their qualifications. The performance indicator is the number of TVET colleges/Employers that the SETA has entered into formal agreements, MoU or contracts with. The formal agreements could be for any programme that the SETA has identified to assist the learners in the sector.

4.4.1 TVET College Student placement Entered

The following documents should be provided by the SETA as evidence:

- A duly signed Workplace Experience agreement;
- A duly signed fixed term employment contract
- Certified copy of Student's ID

4.4.2 TVET College Student Placement Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.4.1.
- Certificate/A duly signed letter of completion from employer.

4.4.3 University Student Placement Entered

The following documents should be provided by the SETA as evidence:

- A duly signed Workplace Experience agreement;
- A duly signed fixed term employment contract
- Certified copy of Student's ID

4.4.4 University Student Placement Completed

The following documents should be provided by the SETA as evidence:



- All the documents listed in 4.4.3.
- Certificate/A duly signed letter of completion from employer

4.4.5 SETA/TVET College Partnerships

The following documents should be provided by the SETA as evidence:

- A duly signed agreement/MoU/Contract with clear defined deliverables and timelines entered into between the SETA and the TVET College.

4.4.6 SETA/University Partnerships

The following documents should be provided by the SETA as evidence:

- A duly signed agreement/ MoU/ Contract with clear defined deliverables and timelines entered into between the SETA and the employer.

4.4.7 SETA/Employer Partnerships

The following documents should be provided by the SETA as evidence:

- A duly signed agreement/ MoU/ Contract with clear defined deliverables and timelines entered into between the SETA and the employer.

4.4.8 Lecture Development Programmes Entered

The following documents should be provided by the SETA as evidence:

- A duly signed skills development programme agreement or a duly signed learner's registration form with clear start and end dates of the programme.
- Certified copy of learner's ID.

4.4.9 Lecture Development Programmes Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.4.8.



- Certified copy of learner’s statement of results.

4.5 NSDS Goal: Addressing the low level of youth and adult language and numeracy skills to enable additional training

Outcome 4.4.1: A national strategy is in place to provide all young people leaving school with an opportunity to engage in training or work experience, and improve their employability.

The performance indicator for this outcome is the number of learners assisted to enter and successfully complete AET programmes including foundational learning.

4.5.1 AET Programmes Entered

The following documents should be provided by the SETA as evidence:

- A duly signed learner’s registration form with clear start and end dates of the programme and the learner’s level of education (highest qualification).
- Certified copy of learner’s ID

4.5.2 AET Programmes Completed

The following documents should be provided by the SETA as evidence:

- All the documents listed in 4.5.1.
- Certified copy of a certificate/ statement of results/assessment report.

4.6 Encouraging and supporting the co-operatives, small enterprises, worker initiatives, NGO and community training Initiatives

NSDS Outcome 4.6: Encouraging and supporting cooperatives, small enterprises, worker-initiated, NGO and community training initiatives.

NSDS Outcome 4.6.2: Partnership projects to provide training and development support to small businesses are established in all sectors and their impact reported on.


NSDS Outcome 4.6.3: Worker, NGO and community-based education programmes are supported and their impact measured and reported on.

The performance indicator for this outcome is the number of small businesses/Cooperatives assisted by the SETA in terms of training and development.

4.6.1 Small Business Support

The following documents should be provided by the SETA as evidence:

- A duly signed contract entered into between the small business and the SETA;



Small Business
Refers to an enterprise employing a maximum of 49 workers.



- Or a registration form for the small business support stating the kind of support provided.
- Or Workshop/meeting attendances register with clear purpose of supporting small businesses.
- Or proof of payment by SETA to the small business (Grant payment).

4.6.2 Co-operatives

The following documents should be provided by the SETA as evidence:

- A duly signed contract entered into between the co-operative and the SETA;
- Or a registration form for the co-operative support stating the kind of support provided.
- Or Workshop/meeting attendances register with clear purpose of supporting co-operatives
- Or proof of payment by SETA to the co-operative (Grant payment).

4.6.3 CO-OPs, NGO, CBO , NLPE and Trade Unions

The following documents should be provided by the SETA as evidence:

- A duly signed contract entered into between the Co-ops/ NGO/ CBO/ NLPE/ Trade Union and the SETA; or
- Registration form for the small business support stating the kind of support provided; or
- Workshop/meeting attendances register with clear purpose Co-Ops/ NGO/ CBO/ NLPE/ Trade Union; and
- Registration certificate or affidavit confirming the status/ registration of the enterprise.

4.7 Building Career Guidance and Vocational guidance

NSDS Outcome 4.8.1: *Career paths are mapped to qualifications in all sectors and sub-sectors, and communicated effectively, contributing to improved relevance of training and greater mobility and progression*



4.7.1 Career Guidance

The following documents should be provided by the SETA as evidence:

- Event's invitation or SETA project plan for career guidance
- Attendance register for career guidance beneficiaries
- Career guidance booklet with the updated sector scarce skills list booklet (only at first quarter validation unless amended)



Please note!

The attendance register should have the date, place and the purpose of the event.

4.8 NSDS III Projects

4.8.1 Rural Development Projects

The following documents should be provided by the SETA as evidence:

- A duly signed agreement/ MOU/ Contract with clear defined deliverables and timelines entered into between the SETA and the contracted institution or organization.

5. Key developmental and transformation imperatives

6. Glossary of Terms

Bursary

A grant provided to students in line with the SETA



policy, to assist the student with the costs associated to his/her studies at a college or university.

Candidacy

means the structured work experience component part of an occupational qualification as determined by the relevant professional body and may follow the completion of an academic qualification required for access to the assessment for the issuing of a professional designation. This may lead to the designation registered on the National Qualification Framework (NQF)

Foundational learning

Refers to the low level or basic training programme aimed at providing the learner with primary skills to allow for further training.

Internship

refers to a workplace-based experiential learning opportunity that is generally offered as a supervised programme to supplement formal study completed.

Learnership

A learning programme as defined in the Learnership Regulations published in Government Gazette 30010 of 29 June 2007.

Lecturer

means any person, who teaches, educates or trains other persons or who provides professional educational services at any college, and who is appointed in a post on any lecturer establishment under the FET Act;

Rural Development Project of rural people

Project/s that a SETA commit to support development

Skills Programme

Is an occupation-based learning programme aimed at building skills that have economic value, and which incorporates at least one unit standard. It is registered by a SETA and delivered by an accredited training provider.

Workplace Experience

refers to a workplace-based experiential learning opportunity for a learner/student to complete their qualification.



Work Integrated Learning

is an umbrella term to describe curricular, pedagogic and assessment practices, across a range of academic disciplines that integrate formal learning and workplace concerns, which culminates in a qualification or part qualification and can include practicums, professional practice, internships, work experience, industry based learning, cooperative education, service learning, real work learning, placements, experiential learning and clinical placements.