

Theory of Change and Logframe Workshop

Towards community colleges:

How will we make changes happen?



higher education
& training

Department:
Higher Education and Training
REPUBLIC OF SOUTH AFRICA



THE PRESIDENCY
REPUBLIC OF SOUTH AFRICA

DEPARTMENT: PERFORMANCE MONITORING AND EVALUATION

DHET/DPME

8 and 9 October 2014

Garden Court Hotel, OR Tambo International Airport, Johannesburg

Background, Context and Analysis

Imagine

A Community College

What we imagine

Policy	Aligned with vision and goals for the country and developed with full stakeholder participation
Location	In an accessible location with a central site and satellite Community Learning Centres widely distributed
Beneficiaries	For adults and especially those not in employment, education or training (the NEETs)
Functioning	Fully functional with teachers teaching Interactive and responsive Linked to community and its challenges Well run, managed, governed Viable A sophisticated learning institution Community orientated

Imagine (continued)

Provision	Easy access to meaningful, useful programmes and courses Variety of programmes offered to the local community A “One stop shop”
Programmes	School equivalency programmes Foundational programmes for university Facilities for Independent study Vocational skills Learners doing apprenticeships with SETAa People learning skills - such as plumbing, cooking, etc. Skills programmes Livelihoods related programmes
Materials	Good learning materials wherever possible
Articulation	Programmes articulate with further education and employment opportunities
Partnerships	Variety of partners sponsoring various projects including Learners doing apprenticeships with SETAs

Imagine (continued)

Staff	Good, qualified, knowledgeable teachers teaching Qualified teachers Community members as teachers Motivated
Hours	Open week days and weekends from morning till night (10 pm)
Infrastructure and resources	Really well resourced with stress on access to modern state of the art information technology Good physical infrastructure including computers and ubiquitous free wif-fi Accessible, supportive, responsive spaces Lively noisy spaces Quite areas for independent study Many spaces for groupwork Good signage Outdoor lunch area
Quality	High standards

Imagine (continued)

Diversity

Of people ('races'), languages, ages and skills
Programmes and courses (formal and non-formal)

Atmosphere

Vibrant, engaging, learning, enabling, happy centre and spaces with many young people around

Background

- The White Paper and background to the Community College policy
- The role of the Department of Higher Education and Training in realising this policy
- The existing Public Adult Learning Centre situation

Context

- The Adult Education and Training context: policies, legislation, institutions, output, data
- The previous Public Adult Learning Centres: case studies
- The Report of the Task Team on Community Education and Training Centres
- Towards a consolidated view of our experiences

Analysis

- **Stakeholder analysis** (stakeholders, roles, capacity)
- **Problem analysis** (key problems, constraints, opportunities, cause-and-effect relationships)
- **Objective Analysis** (developing solutions (and pathways to solutions) from identified problems)
- **Strategy Analysis** (selecting the most appropriate strategy to achieve the outcomes desired)

Stakeholder analysis

What is a stakeholder?

- Stakeholders' are any individuals, groups of people, institutions or firms that may have a significant interest in the success or failure of the project (either as implementers, facilitators, beneficiaries or adversaries).
- Different groups have different interests, concerns, and capacities.

Different types of stakeholders

- Stakeholders (general)
- Beneficiaries
 - Target groups
 - Final beneficiaries
- Project partners

Beneficiaries

- Target groups
 - groups of people who will be positively affected by the project (learners, staff, partner organisation staff)
 - groups of people who contribute to the problem through action or inaction
- Final beneficiaries
 - groups who benefit from the project in the long term at sector or whole society level

Project partners

- Those who help or collaborate in the project through direct work, as intermediaries or through general influence
- May be powerful agents of change
- May also be a target group

What do we need to know about the stakeholders?

- Basic characteristics
- How affected by (or contributing to) the problem [or the project]
- Interests
 - and what actions could we take to address those interests?
- Potential to bring about change
 - capacity
 - motivation

Who are the stakeholders?

- Educationally marginalised youth and adults
- Those Not in Employment, Education or Training (NEETs)
- PALC staff
- DHET
- The Minister of HET
- Cabinet
- Government
- Universities (especially adult education departments)
- TVETCs (FETCs)
- Organised business
- Other government departments
- Government agencies: SETAs, Quality Assurance Councils (especially Umalusi and QCTO)
- NGOs
- CBOs
- Private Training Organisations
- Religious institutions
- Etc.

- Individual forms
- Consolidated form

[illegible]

Example of stakeholder analysis

Community College stakeholders

Stakeholder	Characteristics	Problem (how affected or affecting)	Interests (and can we address them?)	Potential (capacity and motivation)	What must change?
Educationally marginalised youth and adults	Comprises older adults who had minimal schooling and youth who are dropped out or who were extruded from the current dysfunctional schooling system with no National Senior Certificate or Senior Certificate (or a very weak one) and who face unemployment for long periods.	Serious educational and skills deficits as most lack fundamental basic educational competence (and are therefore not easily trainable) and cannot access (or succeed in) TVET College or university level study.	Genuine interest in gaining suitable or enhanced qualifications that will give them better job opportunities. Want easy access at safe venues at suitable times and quick results. Some want entrepreneurial skills.	Large numbers. Potential to exercise significant power if organised as a block of voters.	A better and more appropriate adult education delivery system that is well publicised, accessible and responsive. A different attitude towards study.
Those Not in Employment, Education or Training (NEETs)	Mainly young and educationally marginalised youth, though some better education youth are simply unemployed. Many are seriously alienated and drawn to crime.	Access to further and continuing education. Some form of survival income.	Genuine interest in gaining qualifications that will give them better job opportunities. Want easy access and quick results. Want living assistance or partial work during training.	Large numbers. Potential to exercise significant power if organised as a block of voters.	A better and more appropriate adult education delivery system with apprenticeship and work experience components that is well publicised and accessible.
Employed adults who want to improve their qualifications	Adults who want to improve their qualifications for promotion reasons or to gain access to further or higher education	Access to appropriate further and continuing education at low cost (as may not be able to afford private providers) at suitable venues and times or via distance education.	Genuine interest in gaining qualifications that will give them better job opportunities or access to further study. Want easy access and quick results.	Large numbers. May be able to pay some of costs.	
PALC staff	Generally have low professional qualifications and have no specific adult education qualifications. Motivation to teach well may be low. Usually on temporary contracts.	Poor capacity to provide effective education and training.	Job security.	Very varied and different in each province. Could be galvanized by effective leadership but requires massive administrative reform	Administrative and support system reform. More permanent posts. Training from universities of teaching and management staff
DHET	Under pressure to enlarge provision to young adults. Adult Education and Training Directorate historically mainly concerned about PALCs which were run by provinces (provincial competency) and ABET discourse Now has broader adult education brief.	Current Directorate has limited capacity to manage the creation of a new institutional form and system or to manage partnerships.	Job security and status.	Mixed.	Capacity growth and more partnership orientated.
Minister of HET	Genuine interest and commitment to adult education. May want to leave a mark via setting up the new institutional form Sees value of university resources for community college development. Highly committed to public education.	Limited political pressure in support of adult education lowers its priority for the Minister.	Performance agreement.	High because of interest, inhibited by multiple other tasks.	

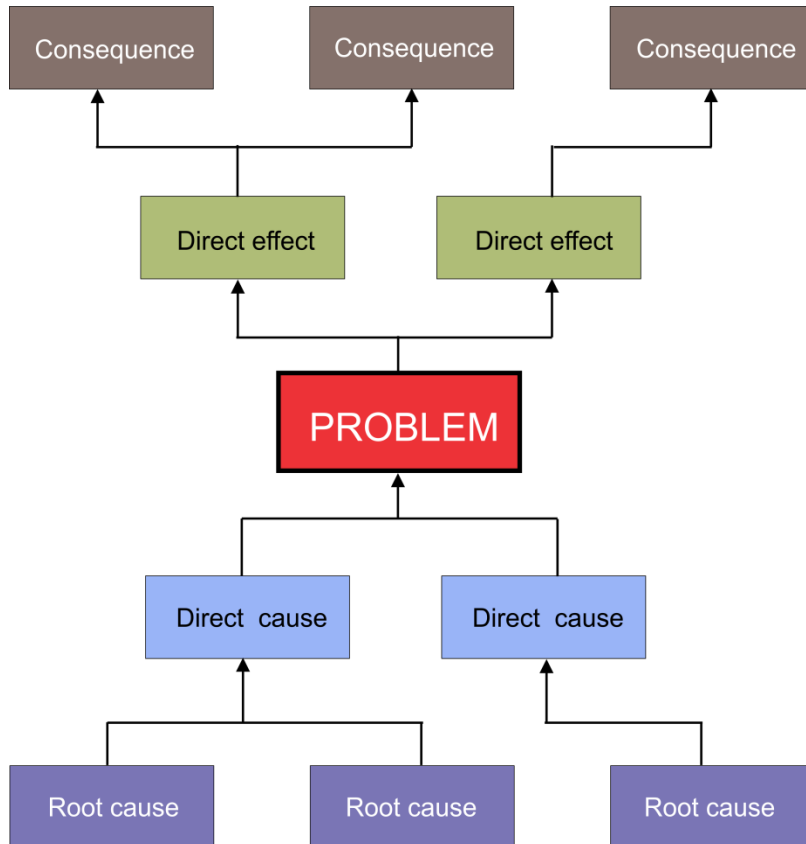
Stakeholder	Characteristics	Problem (how affected or affecting)	Interests (and can we address them?)	Potential (capacity and motivation)	What must change?
Cabinet	Gave support to Kha Ri Gude innovation Concerned about the NEETs. Aware of the connection between improved education and national development.	Low political will to make much of adult education (rhetoric withstanding)	Positive political impact	Uncertain. Precedent of support for Kha Ri Gude is positive.	
Government	Recognises that there is an educational catastrophe and is reprioritising education but is mainly focussed on schooling. Aware of looming budget stringency.	Danger of giving unfunded mandates to all and sundry.	Positive political impact and successful evaluation of progress made	Uncertain.	
Universities (especially adult education departments)	Under financial and expansion stress. Not handling the intake of underprepared students well and would like the problem to be diverted elsewhere. Neoliberal managerialism led to dismantling of much adult education capacity but still some centres of excellence here.	Lack of direct political pressure on universities to take this sector seriously and to not disestablish current adult education capacity.	More money.	High potential if existing capacity can be saved.	More support for this sector by universities and more pressure from DHET on them to do so.
TVETC (FET colleges)	The major restructuring and refinancing led to some reforms but the mergers imposed an unmanageable burden on the new structure. Under enormous pressure to grow but lacks well trained educators and quality assurance is weak.	Don't want another burden (with and immense merger problem) placed on their shoulders. Not convinced that adult education provision will in fact prepare students adequately for TVETC study.	Efficient management and better financing. Stability.	Low at this stage.	
Organised business	Downscaled support for ABET as high unemployment provided plenty of better educated job-seekers. Bewails lack of educated and skilled workers and the inadequacy of the National Senior Certificate as a qualification. Increasing going to high technology and mechanisation that require fewer (but well educated) employees.	As donors would be more comfortable with private or partnership model of community colleges. Would want proof that community colleges could deliver (better education than schools). Would object (as taxpayers) for paying twice for Grade 12 qualifications – once in the school system and then in a community college).	Better skilled workers.	Uncertain. May want rather to focus on remedying schooling.	
Other Government departments	Many require an education component that can serve their particular constituency and in specific cases, a partner for provision, delivery and extension, e.g. Expanded Public Works Programme, Basic Home Care, AIDS education.	Liaison and partnership capacity from DHET side is not strong. Such partnerships require a chain of efforts at various levels.	Assistance in delivery.	High if galvanized.	

Stakeholder	Characteristics	Problem (how affected or affecting)	Interests (and can we address them?)	Potential (capacity and motivation)	What must change?
Government agencies: SETAs, Quality Assurance Councils	Play importance role but SETAs under pressure for past poor delivery and QA councils under resource pressure (particularly Umalusi which is heavily focussed on schools).	Umalusi currently somewhat overwhelmed with work. Was unable to really assist in Kha Ri Gude literacy campaign because of this under capacity.	More resources.	Dependent on resourcing.	More resources if they are to support a community college sector
NGOs	Youth and Adult Education NGOs are a shadow of their former selves because of funding withdrawals and their role in educational innovation much reduced. Some important legally orientated education rights NGOs are active. Some NGOs run centres that could be proto-community colleges, e.g. Tembaletu, Pietermaritzburg).	Lack of funding and sustainable long term partnerships.	Money and genuine partnerships with government	Weak unless better funding climate	
CBOs	Under perennial management and financial pressure. Mainly important at the local level as pressure groups for delivery.	Sustainability problems over time.	Multiple.	Weak unless better funding climate	
Private Training Organisations	An important delivery sector (including via distance education) to young adults desperate for qualifications but marred by many cases of dubious practice. Once strong ABET PTOs in decline.	Profit incentive discourages investment in non-profitable areas.	Much more stable tender and contract regime that is free of corruption..	Dependent on how community colleges would function in practice	
Religious institutions	Mainly important as the runners of some centres of excellence that could be proto-community colleges (e.g. St Francis in Langa).	Funding difficulties.	Funding and stable partnerships with government.	Dependent on effective partnership negotiations	

Problem analysis

- Identify the negative or deficient aspects of the existing situation (which we want to change)
- Identify the root causes of these problems
- What are the ‘cause and effect’ relationships between these problems
- Can one create a visual “problem-tree”?

Making a problem-tree



- Identify main problems
- Analyse each problem in turn
- Start below – direct cause(s) of problem
- Below them – root cause(s)
- Continue above – direct effects
- Above them – final consequences
- Show cause and effect arrows

A problem-tree

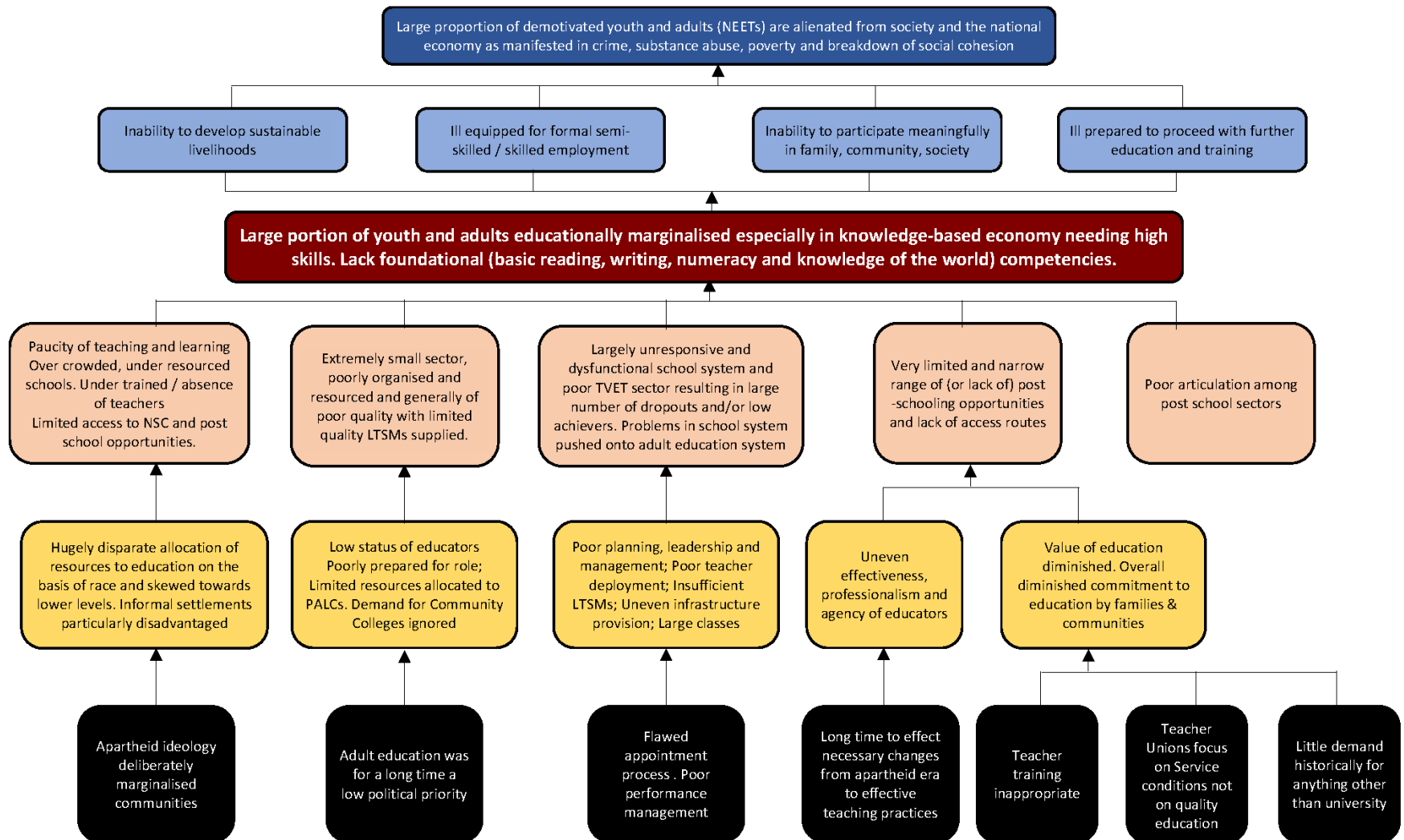
Example of a problem analysis

Remember to ask:

- Whose problems are being looked at?
- Do the problems reflect genuine needs?
- Are the problems the only driving force for change?
- What data sources are available about the problem(s)?

Remember not to spend time on problems over which one has no control (or potential control)

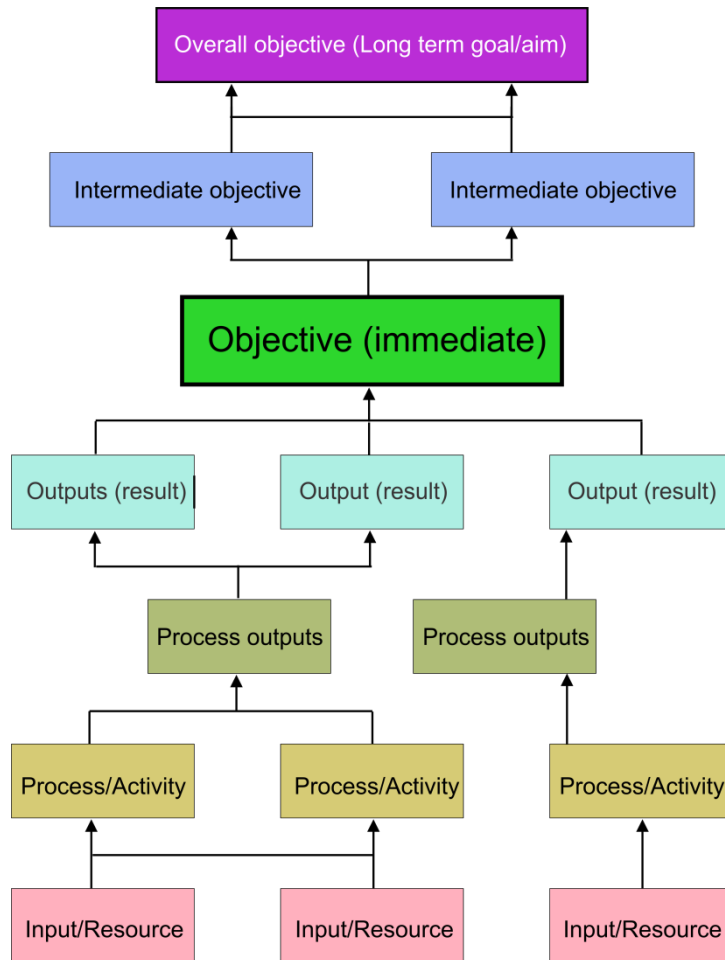
Problem analysis



Objective Analysis

- An **Objective Analysis** develops solutions (and pathways to solutions) from identified problems.
- The *negative situations* of the problem analysis are converted into *positive achievements* → described in **objectives**.
- Objectives must be desirable, relevant, and realistically achievable with available resources.

Make an objective-tree



An objective-tree

Root cause

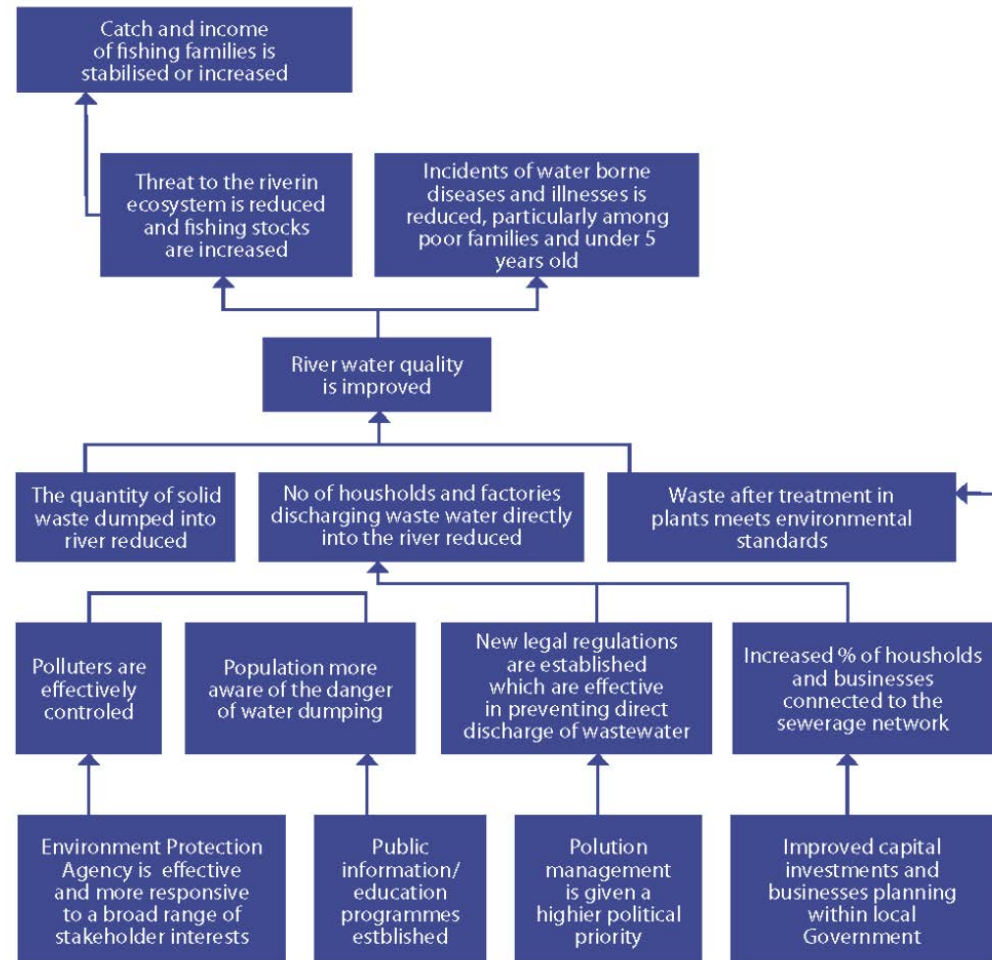
Root cause

Root cause

- Turn each negative situation/ problem into its positive opposite → an immediate objective.
- First show the initial objective and add to it the intermediate and long-term overall outcomes at the top.
- Work backwards down the pathway – you begin with your objective and work backwards towards the earliest changes (outputs, processes, activities, resourcing) that need to occur. This often takes the form of asking what preconditions must exist or come into being to make reaching your objective possible.
- Cluster objectives that have an inherent means-end linkage and mark these with lines and arrows. Identify (and mark with arrows) the best pathway to reach the long-term goal. The pathway represents the most logical, cause and effect, means and ends, chain of outcomes for the next outcome up the pathway to be achieved.

Examples of an objective analysis

OBJECTIVE ANALYSIS - RIVER POLLUTION



Objective analysis

Large numbers of youth and adults (unemployed and employed) who were extruded from the education system are engaged constructively in society and contribute meaningfully to the economy and social cohesion

Increased ability to develop sustainable livelihoods

Equipped for formal semi-skilled/ skilled employment and for self-employment

Increased ability to participate meaningfully in family, community, and society

Well prepared to proceed with further education and training opportunities (NQF 1 to 5 and NFE) and in lifelong learning

PURPOSE: Large portion of youth and adults (employed and unemployed) who were extruded from the education system are equipped with foundational (basic reading, writing, and numeracy skills and knowledge of the world) competencies and appropriate education and training, and are empowered to participate meaningfully in society and in the increasingly knowledge-based economy

A set of responsive, accessible and collaborative educational institutions is established to respond to the human development needs of the above group

A networked, decentralised Community College sector in place

Appropriate formal and non-formal programmes for Community Colleges designed (and accredited where appropriate)

Marketing and advocacy campaigns in place

Professional qualifications and development and all quality assurance, monitoring, evaluation and research systems in place

Another 43 Community Colleges established after pilot phase

Model Community College established in each province

Administrative Community College established in each province to absorb PALCs as appropriate

Community College Chief (or higher) Directorate established with mandate and capacity to engage productively with a range of partners

Qualifications, curriculum and learning materials development agency in place (or alternative mechanisms in SAIVCET or elsewhere)

Examinations, quality assurance, monitoring, evaluation and research capacity units developed.

Community College Councils established (with consultative and advisory brief). Senior Management Teams appointed. Structure & policy for the appointment of staff & creation of systems in place.

DHET takes over the control of PALCS from the provinces (function shift) and identifies suitable community college sites

Provincial AET unit staff transferred to DHET

Existing DHET AET Directorate staff absorbed (match & fill)

Teaching and learning resources for particular programmes including learning and assessment activities designed and developed.

Professional development, , monitoring, evaluation and research capacity developed with assistance of resuscitated AET centres at selected universities.

National Policy on Community Colleges gazetted and adequate ring fenced financial resources allocated

Strategy Analysis

- A **Strategy Analysis** is done to identify possible alternative options or strategies, check on their feasibility, and choose the best option.
- The analysis is best done by looking at the objective-tree and working out the best pathway of linked outcomes.
- A number of criteria can be used for choosing the best strategic path.
- It is best to have only one main project objective or purpose.

Criteria for strategy selection

- Relevance to key policy and social objectives
- Complementarity with other developments
- Likelihood of success (feasibility) taking into account:
 - Capital and operating costs
 - Financial sustainability and cost effectiveness
 - Local ability to meet recurrent costs
 - Institutional capacity
- Resource availability (including technological)

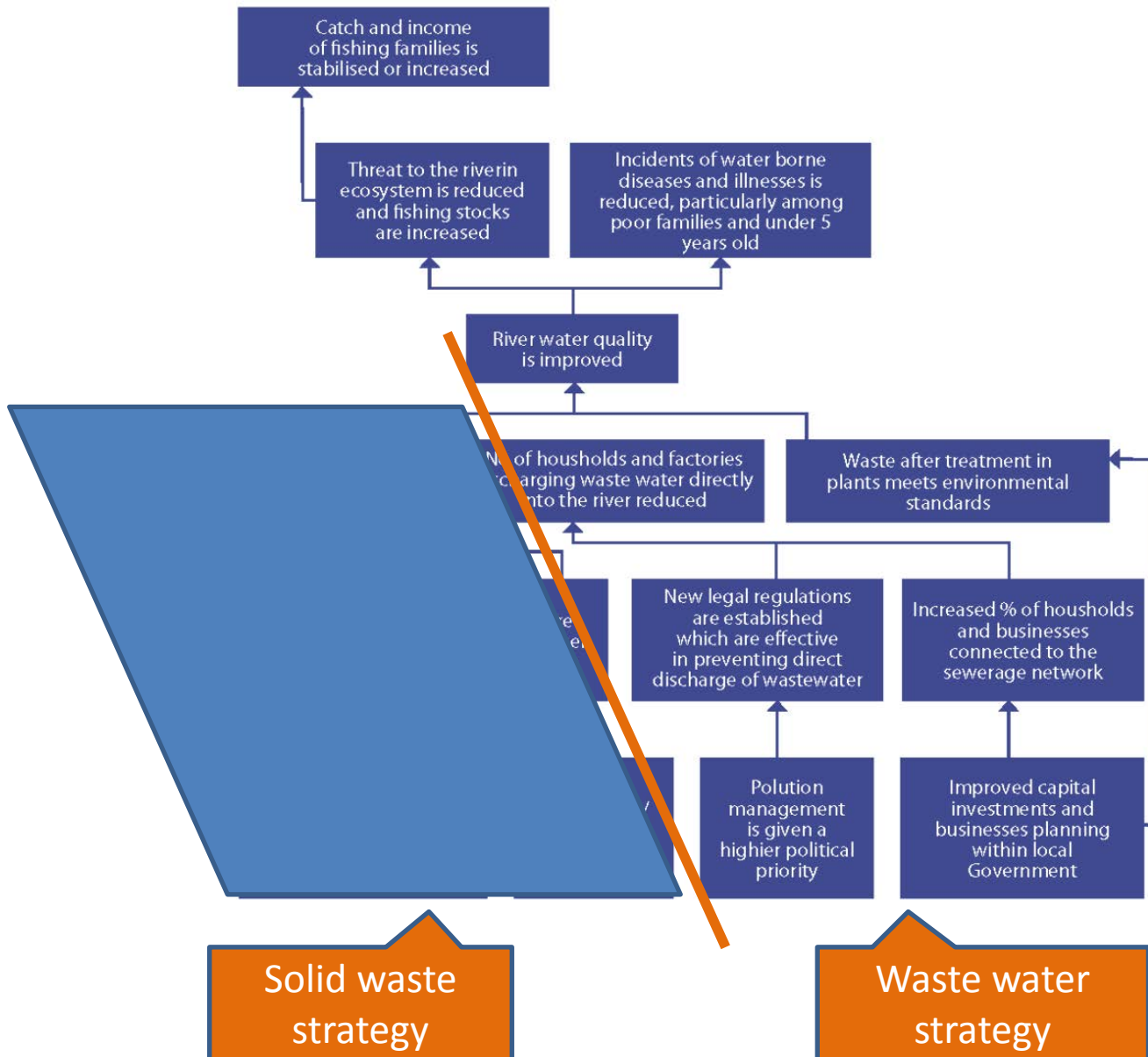
Choosing a strategy

- Identify (and mark) the best pathway to reach the long-term goal (on objective-tree(s)). The chosen pathway represents the most logical, cause and effect, means and ends, route to go.
- There may be multiple pathways to reach long-term goals.
- The chosen hierarchical set of objectives can be used to inform the creation of the first column of a **logical framework matrix**.

Examples of a strategy analysis

OBJECTIVE ANALYSIS - RIVER POLLUTION

Strategy analysis



Logical Framework Matrix

Logframe matrix format

Description of the project's hierarchy of objectives

Targets and standards of performance

The means for monitoring progress

Conditions affecting the project not under your direct control

Logic of intervention	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Overall objective (goal/aim)			
Purpose (specific objective(s))			
Results (outputs)			
Activities	Means	Costs	
			Preconditions

What conditions must be there for the project to start?

Details of the logframe matrix format

See page 31 of the European Union ***Guide to the Logical Framework Approach***

Advice on the logframe matrix

- Have only one Overall Project Objective and only one Purpose/specific objective
- Sub-projects should have their own separate logframe matrix (e.g. for technical, management and phase components)
- Detailed activities, activity means and costs are best presented in Gantt charts, schedules and budget descriptions
- Results and the related Activities should be numbered

In what order?

Logic of intervention	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Overall Objective (1)	(10)	(11)	(9)
Purpose (2)	(12)	(13)	(8)
Results (3)	(14)	(15)	(7)
Activities (4)	Means (16)	Costs (17)	(6)
			Preconditions (5)

Assumptions

- Assumptions which are very likely to occur or are not very important should be deleted.
- Must be capable of being monitored
- An important assumption that is **not** likely to occur is a 'killing factor' – the project must be changed or abandoned.

Indicators must be SMARTI

- **Specific** to the objective
- **Measurable** (quantitatively or qualitatively)
- **Available** (at an acceptable cost)
- **Relevant** (and plausible)
- **Time-bound** (related to target dates)
- **Independent** (cannot be used for another objective)

Sources of verification

- What information (reliable, up-to-date)?
- Where from (how complicated a process)?
- Who will get it?
- When and how regularly?
- At what cost?

Verifying the means-end logic of your logframe matrix

- From bottom up:

IF adequate inputs/resources are provided, THEN activities can be undertaken;
IF activities are undertaken, THEN results can be produced;
IF results are produced, THEN the purpose will be achieved; and
IF the purpose is achieved, THEN this should contribute toward the overall objective

- From top down:

IF we wish to contribute to the overall objective THEN we must achieve the purpose;
IF we wish to achieve the purpose, THEN we must deliver the specified results;
IF we wish to deliver the results, THEN specified activities must be implemented; and
IF we wish to implement the specified activities, THEN we must apply identified inputs/resources

Checking the whole project design

- See pages 47-49 of the European Union ***Guide to the Logical Framework Approach***

Examples of a logical framework matrix

Community College Project Logical Framework Matrix

Situation: Large proportion of youth (NEETs) and adults are educationally marginalised and not meaningfully engaged in society and the economy

Logic of intervention	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Overall objective (goal/aim)			
To contribute to the empowerment of large numbers of youth (Not in Employment, Education or Training (NEETs)) and adults who were extruded by the education system so that they are better able to engage in society and contribute meaningfully to the economy	Increased numbers of youth and adults in employment (formal and informal), education and training	Statistics South Africa, DHET and SETA statistics Qualitative evidence on readiness of applicants for further and higher education and training	

Logframe Cont.

Logic of intervention	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Purpose (specific objective(s))			
To contribute to the empowerment of a large portion of youth (NEETs) and adults who were extruded from the education system to participate meaningfully in society and in an increasingly knowledge-based economy	Increased numbers of youth and adults in semi-skilled and skilled employment Increased numbers in successful, sustainable self-employment Increased competence in foundational (reading, writing and numeracy) basic education (including knowledge of the world) knowledge and skills and attitudes	Statistics South Africa, DHET and SETA statistics Qualitative evidence on readiness of applicants for further and higher education and training Research evidence of increased competence in foundational basic education knowledge and skills amongst target group	Research capacity and interest

Logframe Cont.

Logic of intervention	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Results (outputs)			
1.1 A networked, decentralised Community College sector in place	A number of formally constituted community colleges in operation supported by a directorate in the DHET together with programmes in operation	DHET reports	Political and bureaucratic will
1.2 Two Community Colleges are established in each province (one administering the previous PALCs), the other a pilot of a local community college	Two community colleges operating in each province	DHET reports Qualification and examination results Monitoring and evaluation reports	Resources available for local pilot in each province DHET data reporting systems operate effectively in relation to new community college system
2.1 A national Community College directorate established with a new type of enabling bureaucracy capacitated to engage productively with a range of partners	Directorate in operation	DHET reports Monitoring and evaluation reports Qualitative research and evaluation reports	

Logframe Cont

Logic of intervention	Objectively Verifiable Indicators	Sources of Verification	Assumptions
Activities	Means	Costs	
1.2.1 Establish a Community College Council for each pilot	Council constituted and meeting	Constitution Minutes DHET reports	Models from existing legislation and other countries
1.2.2. Set up a Senior Management Team for each pilot	Management team appointed and at work	DHET reports College reports	
1.2.3 Put in place a structure and policy for the appointment of staff and creation of systems in place	College systems and Staffing structures in place and operational	Policy and administration documents College reports	Requires significant research and planning capacity
1.2.4 DHET takes over the control of PALCs from the provinces (function shift)	PALCs are now under DHET control as per implementation plan	Implementation plan DHET reports	May need significant time because of need for new systems and lack of existing usable data on PALCs
1.2.5 Provincial AET directorate staff are transferred to DHET, DBE or to new Community Colleges	Staff are all transferred or redeployed	Transfer and redeployment criteria document DHET reports	

Logframe Cont.

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Logframe Cont.

Logic of intervention	Objectively Verifiable Indicators	Sources of Verification	Assumptions
1.2.6 Existing DHET national AET directorate staff absorbed (match and fill)	Staff are all transferred or redeployed	Transfer and redeployment criteria document DHET reports	
3.1.1 Design and accredit key programmes for immediate use	Programme outline Umalusi and other agency certification	Programme documents Umalusi and other agency certificates	Umalusi has capacity for accreditation process
4.1.1 Design curriculum, teaching and learning resources for particular programmes including learning and assessment activities	Curriculum and teaching and assessment materials	Umalusi reports Curriculum, teaching and learning materials development agency reports Evaluation reports	Resources and talented experienced materials development staff available

Logframe Cont.

Logic of Intervention	Objectively Verifiable Indicators	Sources of Verification	Assumptions
			Preconditions
			National Policy on Community Colleges gazetted
			Ring fenced financial resources allocated for pilot phase