DEVELOPING STRATEGIC, ANNUAL PERFORMANCE AND OPERATIONAL PLANS FOR TVET COLLEGES

Guidelines for 2016

JULY 2015
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### ABBREVIATIONS & ACRONYMS

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>APP</td>
<td>Annual Performance Plan</td>
</tr>
<tr>
<td>COS</td>
<td>Centre of Specialisation</td>
</tr>
<tr>
<td>DHET</td>
<td>Department of Higher Education and Training</td>
</tr>
<tr>
<td>M&amp;E</td>
<td>Monitoring and Evaluation</td>
</tr>
<tr>
<td>MTEF</td>
<td>Medium Term Expenditure Framework</td>
</tr>
<tr>
<td>MTSF</td>
<td>Medium Term Strategic Framework</td>
</tr>
<tr>
<td>NDP</td>
<td>National Development Plan</td>
</tr>
<tr>
<td>NEET</td>
<td>Not in employment nor in education and training (youth)</td>
</tr>
<tr>
<td>NSDS</td>
<td>National Skills Development Strategy</td>
</tr>
<tr>
<td>OHS</td>
<td>Occupational Health and Safety</td>
</tr>
<tr>
<td>OPS Plan</td>
<td>Operational Plan</td>
</tr>
<tr>
<td>PQM</td>
<td>Programme Qualification Mix</td>
</tr>
<tr>
<td>PSET</td>
<td>Post-School Education and Training</td>
</tr>
<tr>
<td>SETA</td>
<td>Sector Education and Training Authority</td>
</tr>
<tr>
<td>SIP</td>
<td>Strategic Infrastructure Project</td>
</tr>
<tr>
<td>SNE</td>
<td>Special Needs Education</td>
</tr>
<tr>
<td>SSP</td>
<td>Sector Skills Plan</td>
</tr>
<tr>
<td>SWOT</td>
<td>Strengths, Weaknesses, Opportunities, Threats</td>
</tr>
<tr>
<td>TVET</td>
<td>Technical and Vocational Education and Training</td>
</tr>
<tr>
<td>VCET</td>
<td>Vocational and Continuing Education and Training</td>
</tr>
<tr>
<td>WBE</td>
<td>Workplace Based Exposure / Experience</td>
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<tr>
<td>WIL</td>
<td>Work Integrated Learning</td>
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</tbody>
</table>
SECTION 1 – BACKGROUND

INTRODUCTION
This document is designed to assist colleges to complete their institutional strategic, annual performance and operational plans and in doing so to re-enforce the relationship between the colleges and Department of Higher Education and Training (DHET). The strategic and annual performance plans of the Department are used as a foundation for the college planning process.

DHET sets the delivery tone in line with the performance agreement signed between the President and the Minister. The Minister of Higher Education and Training is ultimately responsible for Outcome 5 in the National Development Plan: A skilled and capable workforce to support an inclusive growth path. As a result the following Medium Term Strategic Framework (MTSF) sub-outcomes have been identified for delivery of this outcome:

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

Against this backdrop, it is imperative for the colleges to align their plans with those of the Department. This guideline document recognises the relationship between the government’s National Skills Development Strategy III (NSDS III), sector education and training sector skills plans (SSPs) and how these inform the design and the implementation of the programme qualification mix (PQM) of colleges.

Furthermore, the integrated TVET strategic plans must reflect the Department’s key areas of strategic objectives, namely to provide post-school education and training services as well as capacity, strong stakeholder networks and promote and establish business excellence. The strategic plans must translate into annual performance and operational plans to ultimately inform the college principal’s performance agreement. The Department’s strategic goals are further refined in the table below. The table also reflects the relationship between these strategic outcome orientated goals and TVET colleges as institutions within this post-school system.

<table>
<thead>
<tr>
<th>DHET Strategic Goal</th>
<th>Goal Statement</th>
<th>TVET Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Strategic Goal 1:</strong> To provide a sound Post-School Education and Training legislative framework</td>
<td>To steer the post-school education and training (PSET) system by developing 35 and reviewing 19 legislative frameworks (including new policies, Acts, Guidelines, models and regulations) by March 2020</td>
<td>Governance</td>
</tr>
<tr>
<td><strong>Strategic Goal 2:</strong> To provide Post-School Education and Training services</td>
<td>To improve the PSET system through the development of 14 teaching and learning support plans for University Education and Vocational and Continuing Education and</td>
<td></td>
</tr>
</tbody>
</table>

<p>| | |</p>
<table>
<thead>
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<th></th>
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<tbody>
<tr>
<td>Governance</td>
<td></td>
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<tr>
<td>Service delivery</td>
<td></td>
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</tbody>
</table>
### TVET College Planning Context

The diagram reflects the inter-relationships between planning and the contextual factors that influence college planning as well as subsequent college operations that are steered by planning.

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<table>
<thead>
<tr>
<th>DHET Strategic Goal</th>
<th>Goal Statement</th>
<th>TVET Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Training by March 2020</td>
<td>To improve the capacity of the PSET system through infrastructure development for Vocational and Continuing Education and Training encompassing 12 new TVET college campuses and 9 Community Education and Training colleges by March 2020</td>
<td></td>
</tr>
</tbody>
</table>

**Strategic Goal 3:**
To provide Post-School Education and Training capacity

**Strategic Goal 4:**
To facilitate a strong stakeholder network

**Strategic Goal 5:**
To ensure continuous business excellence within the Department of Higher Education and Training

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- **Corporate governance and management**
- **Student support plan**
- **Teaching and learning plan**
- **HRD plan**
- **Infrastructure & facilities**
- **Enrolment**
- **Labour Market Intelligence Project**
- **NSDS III**
- **SETA SSP**
- **PQM**
- **M&E FRAMEWORK AND REPORTING**
- **TURNAROUND INTERVENTIONS**
- **LABOUR MARKET RESEARCH & INFO**
- **ANNUAL PERFORMANCE PLAN (APP)**
- **OPERATIONAL PLAN**
- **DHET STRATEGIC PLAN**
Planning is closely followed by monitoring and evaluation. The purpose of monitoring and evaluation is to understand whether plans are executed effectively and are yielding the desired outcomes. Information gathered through monitoring and evaluation is analysed to design corrective actions and to report to relevant authorities.

**DEVELOPING STRATEGIC AND ANNUAL PERFORMANCE PLANS**

One of the purposes of the strategic plan is to make sure that the college keeps on track when the day-to-day running threatens to throw it off. The strategic plan indicates the college destination over a period of time and should continually influence short and long term college decisions. The strategic plan of a college speaks to a number of different areas. It identifies where the council and the executive management of the college would like the college to be placed within the next five years. The college goals could be short, medium or long term in nature.

The strategic plan takes into consideration the national environment in which it finds itself and the various sets of national legislation that impact on its functioning and operations. These sets of legislation can be specific to the educational sector such as the *Continuing Education and Training (CET)* Act or more generic legislation such as the *Occupational Health and Safety Act*. In some cases the strategic goals might only be achievable with some substantial changes in college systems, human resources or infrastructure. In these cases, the changes will inform the teaching and learning as well as student support plans of the college. These plans should detail exact requirements of improvements in systems, processes, resources or infrastructure.

The strategic plan translates the DHET strategic goals for the TVET sector into a number of objectives, identifies what resources are needed to achieve these as well as the risks that must be managed. All perspectives that involve resources must take budgetary issues into account. The strategic plan also identifies other organisations or institutions with which the college can partner to achieve its objectives.

Once finalised, the strategic plan of the college will be refined into an annual performance plan – an APP, which in turn will inform the development of an operational plan (OPS Plan). The APP sets targets for the one year that it speaks to and these targets are reviewed annually, always keeping in mind the objectives set out in the strategic plan. The APP takes the strategic objectives of the strategic plan and provides more detail to these. Importantly the APP sets 5-year and annual targets that the college will strive to achieve for the next five years, which cumulatively contribute to the strategic targets of the Department.

Further refinement of the APP leads to the operational plan. The OPS plan will set targets for enrolment and other plans the college might have, taking cognisance of the college budget. These plans will then influence the environment of the college (its niche, what it does well, its response and standing in the community, demand from local businesses for its students, etc.) which in turn should tie in with the objectives set in the strategic plan.
SECTION 2 - COMPILING THE TVET COLLEGE STRATEGIC PLAN

PURPOSE
The strategic plan sets out the college and executive authority’s strategic priorities and plans from 2015/16 to 2019/20.

FOCUS
The document specifies strategic objectives for the institution as a whole and for each of its main service-delivery areas aligned to its programmes and, where relevant, also its sub-programmes.

The focus must be on issues that are strategically important, linked to and flowing from various plans developed within colleges to fulfil their mandates. Operational issues such as a college's finances, supply chain management, information systems or human resources can be considered strategic priorities if they have to be addressed to facilitate improved performance. An important aspect that colleges should consider is environmental sustainability planning and the capacity to deliver on green skills development as this is a high governmental priority.

TIMEFRAME
The document normally covers a five-year period. Colleges should please note that the strategic planning template for 2016 brings the strategic planning cycle in line with the election period 2015/16 – 2019/20. Colleges should note that the strategic goals of the Department have been amended to be in line with new strategic priorities for the Department. Colleges are therefore advised to take an in depth look at their 2015 college plans and adapt accordingly. This would require new development based on a revised strategic plan template. Once the new plan has been approved, colleges would be expected to review, but not change the plan for the next number of years, unless there are significant policy shifts or changes in the service-delivery environment. College do this by issuing an amendment to the existing plan or by issuing a completely new strategic plan, replacing the old one.

LINKED DOCUMENTS
The Strategic Plan must take into consideration the MTSF, the strategic plan (2015/16 - 2019/20) of the Department, SETA SSPs, SIPs, provincial growth and development strategies, development plans of municipalities and any other relevant long term government plans. The strategic plan lays the foundation for the development of the annual performance plan.

PROCESS DESCRIPTION
The following process should be followed as standard. Also important to note is that a college planning committee should be established that consists of all college executive management members as well as take into account involvement of and ratification of plans by the college council.
STRATEGIC PLANNING TERMINOLOGY

The explanations in the table below provides for consistent understanding and usage of strategic planning terminology.

<table>
<thead>
<tr>
<th>Term</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Strategic Plan</td>
<td>A strategic plan details where a college aims to be within a specific time period.</td>
</tr>
<tr>
<td>Strategic Goal</td>
<td>Strategic goals identify areas of institutional performance that are critical to the achievement of the institutional mission. These should stretch and challenge the institution, but must be realistic and achievable. A strategic goal should ideally be written as a statement of intent and should relate to the national priorities for the sector or cluster.</td>
</tr>
<tr>
<td>Strategic Objective</td>
<td>Strategic objectives must state clearly what the institution intends doing to achieve its strategic goals. The objectives should generally be stated in the form of an output statement. Each objective should be written as a performance statement and must set a performance target the institution can achieve by the end of the period of the strategic plan.</td>
</tr>
<tr>
<td>Term</td>
<td>Explanation</td>
</tr>
<tr>
<td>--------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Target</td>
<td>This is the quantifiable achievement as a result of successfully implementing the strategic objective. The institution should expect to achieve this target by the end of the strategic plan time frame.</td>
</tr>
<tr>
<td>Means Targets</td>
<td>Means are direct deliverables which in the main constitute the interventions envisaged for the system during the period covered by this plan.</td>
</tr>
<tr>
<td>Ends Targets</td>
<td>Targets on outcomes (Ends) represent the expected performance of the system resulting from the interventions identified as targets in the strategic plan.</td>
</tr>
</tbody>
</table>

**PREPARATION FOR COMPILING THE COLLEGE STRATEGIC PLAN**

- As a team, read and reflect on the DHET strategic goals, objectives and targets to understand and agree on how the college would contribute towards realising these goals, objectives and targets.
- Use the DHET strategic objectives as the central pillars for the college plan and develop additional strategic objectives which would assist the college to move towards its own vision.
- Base/review all targets on an analysis of previous and current performance, e.g. enrolment, teaching and learning achievements, etc.
- Ensure that the college targets tie directly to the DHET targets and contribute towards them.
- Ensure from the onset that the team does not set unachievable targets because all targets filter down into the APP and OPS plans on which the college performance will ultimately be measured.
- Ensure that final version of the plan is signed and dated as indicated in the template.

While revising the strategic plan, colleges should consider their roles and responsibilities regarding sustainable development and the green economy. This should be done taking, amongst others, the following into consideration:

- National Development Plan – Chapter 5
- National Framework on Sustainable Development
  [https://www.environment.gov.za/?q=content/documents/strategic_docs/national_framework_sustainable_development](https://www.environment.gov.za/?q=content/documents/strategic_docs/national_framework_sustainable_development)
- ISO 14000
- Green Building Council of South Africa (GBCSA)

Further helpful reading can be downloaded from [https://www.giz.de/en/worldwide/27219.html](https://www.giz.de/en/worldwide/27219.html).

The reading reflects the experience of a group of seven colleges that participated in a ‘Greening of TVET Colleges’ project and recently in collaboration with DHET, GIZ, German Cooperation, Department of Environmental Affairs and Department of Science and Technology published ‘Green Skills for Jobs - A Guide for Practitioners.'
STRATEGIC PLAN TEMPLATE STRUCTURE

1. Foreword by the Chairperson of Council – signed

The foreword by the chairperson addresses the fact that the strategic plan is submitted for the approval of the Minister and that the plan incorporates the DHET strategic objectives determined for the TVET sector as well as other pertinent strategic objectives if the college developed such. These strategic objectives are:

1. To provide quality technical and vocational education and training services and increase academic achievement and success of students.
2. To have adequate infrastructure and systems in place to increase access and provide effective services to students.
3. To develop partnerships and maintain good stakeholder relations to increase the number of students who are adequately prepared to enter the labour market or further and higher learning opportunities.
4. To ensure continuous business excellence in terms of good corporate governance and effectual management of all college resources as well as information and data reporting.
5. To monitor and evaluate all college processes in terms of the TVET College Monitoring and Evaluation Framework and report quarterly on college performance in this regard.

Please note that the template contains a generic message to which could be added up to a limit of 200 words in total.

Before submission, ensure that the page is signed by the Chairperson at a date no later than 30 September 2015.

2. Official Sign-off

This page should remain as is with only the college and signatories’ names inserted correctly.

Before submission, ensure that all signatories sign at a date no later than 30 September 2015.

3. Introduction and Strategic Overview by the Principal

The introduction addresses the college’s response and commitment to the national strategic priorities indicated below:

- Growth and expansion of access and articulation opportunities for the youth;
- Improvement of quality and success in terms of the academic achievement and certification of students;
- Partnerships and linkages with industry, sector education and training authorities (SETAs) and/or other professional bodies and/or institutions of Higher Education to adequately prepare student graduates to enter the labour market and/or further and higher learning opportunities;
- Systemic capacity building and efficiency;
- Institutional governance, management and leadership;
- Monitoring and evaluation of college performance; and
- Any other pertinent strategic focus for the college.
Developing Strategic, Annual Performance and Operational Plans for TVET Colleges

Explain the priority for the college as well as its value and contribution in terms of national priorities and targets. Be guided by the Director General’s strategic overview in the DHET Strategic Plan (2015/16 -2019/20). Ensure that the overview does not exceed 400 words.

Before submission, ensure that the page is signed by the Principal at a date no later than 30 September 2015.

4. Vision, Mission and Values
   - The vision is a short statement that demonstrates the dreams and aspirations of the college and shows the future state of the college in 10-15 years’ time.
   - The mission statement briefly articulates how it intends to achieve the vision.
   - Values demonstrate the binding principles in which the business of the college is conducted and mirror the collective consensus of what individuals hold dear.

Note that the strategic planning template requires the college to insert the vision, mission and values statements in a graphic format in brief and to the point statements. This creates a good opportunity to review current statements to evaluate whether they are still reflecting the heart and soul of the college and will steer the college to achieve its vision.

The instrument below could be used to evaluate current vision, mission and value statements.

RATE THE COLLEGE PERFORMANCE (4=Excellent; 3=Good; 2=Adequate; 1=Poor; 0=Non-existent)

<table>
<thead>
<tr>
<th>Indicator</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
<th>0</th>
<th>Justification</th>
<th>Improvement Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>College vision, mission and values statements are regularly reviewed and consulted with staff.</td>
<td></td>
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<tr>
<td>College council and committees exercise efficient and effective governance and govern college strategically based on the statements.</td>
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<tr>
<td>Senior Management is able to communicate the vision, mission and values and is accountable to internal and external stakeholders.</td>
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<tr>
<td>Senior Management is able to project a professional image of college operations and management.</td>
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<tr>
<td>Academic Board and SRC as legislated structures enact college mission and values.</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Indicator</td>
<td>4</td>
<td>3</td>
<td>2</td>
<td>1</td>
<td>0</td>
<td>Justification</td>
<td>Improvement Strategy</td>
</tr>
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</tr>
<tr>
<td>The external image of the college adequately reflects the positioning of the college within its local environment and promotes confidence in the quality of the institution amongst stakeholders and students.</td>
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</tbody>
</table>

5. Legislative and Policy Mandates
The legislative and policy section in the template could remain as is and colleges could add additional legislation and policies if applicable.

6. College Situational Analysis
It is important to start the planning process by taking stock of the current situation the college finds itself in. The situational analysis focuses on strengths, weaknesses, opportunities and threats (SWOT) identified by the college governance and management team. Analysing the current situation and especially keeping in mind achievements and failures of previous years’ planning versus actual performance, assists the management team to develop improvement strategies.

Ideally the situational analysis should result in a report that identifies strategies through which the college would be able to achieve its short, medium and long term goals. The Department requires a brief summary of the situational analysis, but for college purposes the full SWOT analysis should be available to all staff and stakeholders.

The strategic plan requires the situational analysis to be done in three sections, namely:

A. Performance Environment:
   - Where the college is located (province, municipalities, districts);
   - How many campuses and residences/hostels the college has;
   - How far apart the campuses are;
   - What challenges the local economy faces;
   - What the main drivers of the local economy are - these are likely to be the main employers of the students when they graduate from the college;
   - How the college plans to respond to these drivers;
   - What relationships the college has with the local authorities and local employers;
   - Partnerships and linkages the college has with government, industry, SETAs and other post-school institutions; and
   - How the college responds to advancement of self-employment.
B. **SWOT analysis in a table format that provides the strengths, weaknesses, threats and opportunities in relation to the strategic objectives to be achieved**

- To provide technical and vocational education and training services by increasing quality and success in terms of the academic achievement of students.
- To provide technical and vocational education and training capacity by having adequate infrastructure and systems in place to increase access and provide effective services to students.
- To develop partnerships and maintain good stakeholder relations in support of increasing the number of students who are adequately prepared to enter the labour market or further and higher learning opportunities.
- To ensure continuous business excellence in terms of good corporate governance, inclusive of effectual management of resources (human resource, finances and funding and infrastructure and/or facilities) as well as information and data reporting.

C. **Another table or paragraph briefly describing the broader outcomes and impacts the college envisages having by achieving its strategic objectives.**

It is recommended that colleges set adequate time aside to conduct SWOT analyses with different sectors of the college, e.g. senior and middle management, campuses, departments, students, etc. The results of this exercise will guide the college effectively in its further planning efforts.

To stimulate debate, the template that follows could be used or amended to suit college purposes.

**EXAMPLE OF SWOT ANALYSIS**

<table>
<thead>
<tr>
<th>Geographical location</th>
<th>College Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Service area</td>
<td></td>
</tr>
<tr>
<td>Campuses</td>
<td></td>
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<tr>
<td>Distances</td>
<td></td>
</tr>
<tr>
<td>Political and social environment</td>
<td></td>
</tr>
<tr>
<td>Quality</td>
<td></td>
</tr>
<tr>
<td>Success</td>
<td></td>
</tr>
<tr>
<td>Access &amp; Expansion</td>
<td></td>
</tr>
<tr>
<td>Local economic drivers and challenges</td>
<td></td>
</tr>
<tr>
<td>Technological environment</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>STRENGTHS</th>
<th>WEAKNESSES</th>
</tr>
</thead>
<tbody>
<tr>
<td>College Response</td>
<td></td>
</tr>
<tr>
<td>PQM</td>
<td></td>
</tr>
<tr>
<td>Capacity</td>
<td></td>
</tr>
<tr>
<td>Student success rates</td>
<td></td>
</tr>
<tr>
<td>Culture of teaching and learning</td>
<td></td>
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<tr>
<td>Student well-being</td>
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<td>Funding</td>
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<td>Staff</td>
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<td>Infrastructure</td>
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<tr>
<td>Bursaries</td>
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</tbody>
</table>
7. **College Organisational Structure**

Insert the college organogram depicting the managerial layers down to campus level. Indicate designations and names. Vacancies should be indicated and acting positions. Also indicate:

- Total number of posts (current);
- Total number of lecturing staff (current); and
- Total number of support staff (current).

8. **Strategic Planning Process**

Retain the graphic overview as is and add a brief description of how the process was implemented at the college.

9. **National Strategic Outcome Orientated Goals**

Retain the section as is in the college plan.

10. **Strategic Objectives**

Retain the section as is in the college plan. Analyse each strategic objective, objective statement, baseline, justification and link intensively to collectively determine whether these priorities will provide the driving power the college needs to achieve its five-year vision. If the collective identifies additional priority areas, these should be formulated and described in the same manner as the national priorities, i.e. strategic objective, objective statement, baseline, justification and links to other plans. It is recommended that not more than six strategic priorities be determined in order to prevent a diluted college focus.

The following instrument may be useful in analysing **Strategic Objective 1**: *To provide technical and vocational education and training services by increasing quality and success in terms of the academic achievement of students.*
### Rate the College Performance

<table>
<thead>
<tr>
<th>Indicator</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
<th>0</th>
<th>Justification</th>
<th>Improvement Strategy</th>
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</thead>
<tbody>
<tr>
<td>Enrolment targets are set responsibly and targets are effectively achieved.</td>
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<td>College successfully implements a recruitment strategy targeting designated target markets and NEETS.</td>
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<td>Students have access to effective assessment processes and receive the necessary career guidance to enable them to make informed programme choices.</td>
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<td>Student admission processes are streamlined and enable classes to commence on time.</td>
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<td>The college makes responsible provision for SNE students.</td>
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<td>Student financial aid, housing and transport services are being accessed by students at registration and the implementation thereof effectively managed by the college.</td>
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<td>Student support services are being accessed by students on an on-going basis and are effectively managed by the college.</td>
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<td>SRC is functional and contribute effectively to quality promotion within the college.</td>
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<td>Students are successfully completing the respective programmes within the stipulated timeframe, thus allowing for steady growth in new college enrolments.</td>
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<td>Programmes are fully resourced on a recurrent basis and are therefore sustainable.</td>
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</table>

The following instrument may be useful in analysing **Strategic Objective 2**: *To provide technical and vocational education and training capacity by having adequate infrastructure and systems in place to increase access and provide effective services to students.*
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<thead>
<tr>
<th>Indicator</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
<th>0</th>
<th>Justification</th>
<th>Improvement Strategy</th>
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</thead>
<tbody>
<tr>
<td>Campuses have adequate space and infrastructure for the planned 2016 PQM enrolment.</td>
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<td>Teaching and learning infrastructure and equipment comply with acceptable standards regarding quantity and quality.</td>
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<td>Students housed in accommodation under college management are accommodated within acceptable conditions.</td>
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<td>Campuses are professionally coordinated and managed, and a culture of teaching and learning prevails.</td>
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<td>Knowledge and skills of all lecturing and training staff meet the curriculum requirements.</td>
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<td>Induction and orientation processes enable optimal and productive utilisation of new staff</td>
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<td>The college has effective systems for monitoring classroom, workshop and assessment practices.</td>
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<td>Lecturers are complying with best practice standards for teaching and learning in classrooms and workshops.</td>
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<td>Lecturers and trainers receive continuous professional development, including workplace exposure, based on development needs identified through regular performance assessment.</td>
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<td>HR development is aligned to the HR strategic requirements which are geared to improved teaching and learning delivery.</td>
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<td>ICT infrastructure development strategy keeps pace with strategic objectives for teaching and learning and MIS operations.</td>
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<td>The Academic Board plays an effective oversight role on the quality of teaching and learning.</td>
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<td>Improvement Strategy</td>
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<td>Policies, processes and procedures are continuously reviewed and</td>
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<td>improved as per functioning QMS.</td>
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</table>

The following instrument may be useful in analysing **Strategic Objective 3**: To develop partnerships and maintain good stakeholder relations in support of increasing the number of students who are adequately prepared to enter the labour market or further and higher learning opportunities.

**RATE THE COLLEGE PERFORMANCE (4=Excellent; 3=Good; 2=Adequate; 1=Poor; 0=Non-existent)**

<table>
<thead>
<tr>
<th>Indicator</th>
<th>4</th>
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<th>Justification</th>
<th>Improvement Strategy</th>
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<tbody>
<tr>
<td>College has established and is managing linkages with local industries</td>
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<td>and employer groups for work placement of lecturers and students.</td>
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<td>College has established and is managing linkages with government</td>
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<td>departments at various levels for work placement of lecturers and</td>
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<td>students.</td>
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<td>College has established and is managing linkages with employer bodies</td>
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<td>and SETAs for work placement of lecturers and students.</td>
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<td>College has established and is managing appropriate linkages with</td>
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<td>various local organisations and agencies for the purpose of strengthening</td>
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<td>capacity to deliver programmes and creating opportunities for articulation.</td>
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<td>PQM planning is done from <strong>programme</strong> level taking into account:</td>
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<td>• Employment opportunities;</td>
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<td>• Suitable target market;</td>
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<td>• Available resources;</td>
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<td>• Financial viability;</td>
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<td>• Past programme performance; and</td>
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<td>• Qualification accreditation.</td>
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<td>The PQM is approved by the Academic Board and College Council.</td>
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<td>The PQM offers various modes of delivery, e.g. full time, part time,</td>
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<td>learnerships, skill programmes, distance / open learning.</td>
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<tr>
<td>Indicator</td>
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<td>Justification</td>
<td>Improvement Strategy</td>
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<tr>
<td>Learning and teaching support materials have workplace relevance.</td>
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<tr>
<td>Classrooms and workshops are equipped with up-to-date, industry relevant equipment and technology.</td>
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<td>Workshops comply to OHS requirements.</td>
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<tr>
<td>Lecturers are competent in latest workplace processes, technology and equipment.</td>
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</table>

The following instrument may be useful in analysing **Strategic Objective 4**: To ensure continuous business excellence in terms of good corporate governance, including continuous effectual resource management (human resource, financial and infrastructure and/or facilities) as well as information management and data reporting.

**RATE THE COLLEGE PERFORMANCE (4=Excellent; 3=Good; 2=Adequate; 1=Poor; 0=Non-existent)**

<table>
<thead>
<tr>
<th>Indicator</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
<th>0</th>
<th>Justification</th>
<th>Improvement Strategy</th>
</tr>
</thead>
<tbody>
<tr>
<td>The college and all staff members believe that quality is at the heart of client service and business excellence.</td>
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<td>The college has a QMS in place and regular quality audits are done.</td>
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<td>All business processes are clearly formulated and communicated to users.</td>
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<tr>
<td>Financial policies, processes, systems and capacity are operational, compliant, regularly reviewed and addressed.</td>
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<tr>
<td>College have the necessary systems, processes and capacity to operationalise an institutional M&amp;E framework to address gaps in institutional management capacity and practices.</td>
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<tr>
<td>Data outputs are used by SM and HoDs to monitor teaching and learning delivery and adopt appropriate measures to address teaching and learning weaknesses.</td>
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</table>
11. Expected Outcomes and Sub-Outcome 4 Targets
Retain the section as is in the college plan and calculate and insert the college 2019/20 target in the column next to the national target.

12. Resources requirements
In a brief narrative overview, explain clearly what resources the college requires to implement the strategic plan and how the college will ensure that the resources are obtained and in place to deliver high quality services.

13. Risk management
It is important to list and discuss the key risks that may affect realisation of the stated strategic objectives. The strategic objectives with the highest risk components should be identified and listed. Each risk component should be clarified by formulating a clear risk statement. The risk should then be rated for impact, probability and severity. Finally, a brief risk management control should be formulated.

<table>
<thead>
<tr>
<th>No</th>
<th>Strategic Goal</th>
<th>Risk Statement</th>
<th>Impact</th>
<th>Probability</th>
<th>Severity</th>
<th>Risk Management Control</th>
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<td></td>
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<td></td>
<td>Low/ Moderate/ High/ Extreme</td>
<td>Unlikely/ Moderate/ Likely/ Almost Certain</td>
<td>Low/ Moderate/ High/ Extreme</td>
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</tbody>
</table>
SECTION 3 – COMPILING THE COLLEGE ANNUAL PERFORMANCE PLAN

PURPOSE
The Annual Performance Plan (APP) sets out a process showing HOW a college will achieve the strategic objectives identified in the strategic plan.

TIMEFRAME
The APP covers the implementation of the college’s strategic plan for the period of one year. The APP should be revised each year. Colleges should note that the 2016 DHET APP template was redesigned to reflect the DHET APP format.

LINKED DOCUMENTS
The APP links to MTSF, the 2015/16 APP of the Department, SSPs of the SETAs, SIPs, provincial growth and development strategies and development of municipalities. It also considers internal documents such as the college HRD and infrastructure plans.

ANNUAL PERFORMANCE PLANNING TERMINOLOGY
The explanations in the table below provides for consistent understanding and usage of annual performance planning terminology.

<table>
<thead>
<tr>
<th>Term</th>
<th>Explanation</th>
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<tbody>
<tr>
<td>Annual Performance Plan</td>
<td>The annual performance plan sets out a process showing HOW a college will achieve the strategic objectives identified in the strategic plan within an academic year of operation.</td>
</tr>
<tr>
<td>Performance Measure</td>
<td>A performance measure is the process that is measured to track progress towards the strategic objective.</td>
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<tr>
<td>Performance Indicator</td>
<td>The performance indicator is the means or tool used to verify movement or development within the performance measure.</td>
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<tr>
<td>Performance Target / Activities</td>
<td>This is a quantifiable value that the performance measure will achieve within a year, divided into quarterly performance figures.</td>
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<tr>
<td>Monitoring Mechanism</td>
<td>This indicator shows how often the performance measure data is collected.</td>
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</tbody>
</table>

HOW TO COMPILE THE APP
The 2016 TVET College APP template is provided as a separate document to be completed according to the guidelines below. Please note that the format of the template changed significantly in the sense that it captures high level performance indicators and targets only. The lower level indicators and targets, previously included in the APP, will now be taken up in the monitoring and evaluation framework.
1. Foreword and Message by the Chairperson of Council
Retain the foreword as is but add additional strategic objectives if the college has developed such. If there is a need to expand on the narrative, do so up to a limit of 80 words. Insert the college name and name of the Chairperson of Council.

Before submission, ensure that the page is signed by the Chairperson at a date no later than 30 September 2015.

2. Official Sign-off
This page should remain as is with only the college and signatories’ names inserted correctly.

Before submission, ensure that all signatories sign at a date no later than 30 September 2015.

3. College Situational Analysis
Copy and paste this section from the strategic plan under the categories Performance Environment and Organisational Environment.

4. Overview of 2015/16 Budget and MTEF Estimates
In Table 2.1 insert audited figures where appropriate as well as expenditure estimates for the 2015/16 MTEF period. Note that there are distinct categories for Ministerial Approved Programmes and Occupational Programme Expenditure.

In 2.2, provide a narrative (not exceeding 200 words) in which the college explains how expenditure for 2016 will relate to key priorities in achieving its strategic objectives.

5. Strategic Objectives, Performance Indicators and Annual Targets
5.1 Strategic Objectives and Annual and Medium Term Targets
This table addresses the TVET sector’s high level strategic targets to be achieved over a 5-year period and requires a breakdown for the MTEF period 2015/16 to 2017/18. Keep the following in mind when setting the targets:

- Colleges will be required to develop teaching and learning and student support plans per annum. The plans must be submitted to DHET for approval. The target over a 5-year period is therefore 10 plans.
- Check the percentage utilisation of facilities in the 2015 Operational Plan to project future utilisation. Keep in mind that the target speaks to increased access.
- Base the target and projections on partnerships and linkages on actual, effective and mutually beneficial national and international partnerships. Keep in mind that the target speaks to partnerships that will assist with students entering the labour market (primary focus) as well as further and higher learning opportunities.
- Thorough consideration should be given to current audit outcomes, e.g. QMS, financial, process, etc. in setting this target and the MTEF break down should show intended improvement over the three years.
5.2 Performance Indicators and Annual Targets for 2016 MTEF

This table indicates the performance indicators against which the college will be measured. Please insert the 5-year target as well as annual target for the MTEF years for each performance indicator.

Note the following definitions, explanations and methods of calculation.

Teaching and Learning Support Plan
Definition: Development of annual teaching and learning support plans for VCET system and approved by Director General for implementation e.g. the development of a protocol on the secondment of sector specialist to work in TVET colleges and lectures exposed to workplace.

Purpose/importance: To measure the level of support given to VCET colleges in respect to the provision of alternative models of learning delivery with a view of increasing access to learning opportunities.

Student Support Services Plan
Definition: Development of support services plans for Vocational and Continuing Education and Training for improving success in programmes offered in VCET institutions and implementing an appropriate student support plan.

Purpose/importance: To measure support given to the VCET system for improving success in programmes offered in VCET colleges to ensure learner success and progression (measured in terms of pass and certification rates).

Certification
Definition: Percentage rates of college students meeting all requirements to be issued with certificates upon completion of levels of programme in public TVET colleges.

Method of calculation: Calculated by taking the number of students who successfully completed a qualification in an academic year, expressed as a percentage of the number of candidates who were eligible to complete a qualification and wrote the examinations in a particular academic year.

Throughput rate
Definition: The rate at which candidates successfully complete a TVET qualification within the stipulated timeframe for that qualification.

Method of calculation: Number of candidates within each cohort that successfully complete a qualification within the stipulated timeframe calculated as a percentage of the number that wrote examinations for that qualification.

College examinations centres conducting examinations in national compliance with policy
Explanation: The national target is 100% and colleges should strive to fully support this goal.
Funded NC(V) L4 students obtaining qualification within stipulated time
This is the number of students, funded by State, who are able to obtain their qualifications within the normal duration of the programme.

TVET students enrolled in foundation or bridging programmes (n)
Explanation: The enrolment into foundation programme indicator is not yet applicable for 2016, but enrolment in any bridging programme is applicable and can be planned as such.

Number of students completing artisan-related programmes
Explanation: Both ministerially funded and occupational artisan-related programmes should be included in setting a target for this performance indicator.

Number of headcount enrolments
Definition: Number of headcount enrolments in public TVET college programmes.
Method of calculation: Use the headcount in all formal qualifications and programmes offered in the TVET college.

Number of students accommodated in college accommodation
Definition: Number of students accommodated in acceptable hostel or other accommodation on college premises. Premises could include rented campus accommodation facilities.
Method of calculation: Number of beds occupied (1 student = 1 bed).

Qualifying students obtaining financial assistance
Definition: Qualifying students means students complying with the requirements of the national TVET College Bursary Scheme in terms of financial need and academic performance.

Number of established and functional partnerships
Definition: Active, mutually beneficial local, national and international partnerships. The indicator for these partnerships is signed memoranda of agreement or understanding and/or contracts.

TVET lecturers placed in workplaces for specified periods
Definition: Please note the workplace based exposure and placement definitions used in the Operational Plan section.

TVET students placed in workplaces/industry
Definition: Please note the workplace based exposure and placement definitions used in the Operational Plan section.
Compliance to governance standards

**Explanation:** This is a new indicator and the national target is 100% compliance to developed governance standards by 2019.

Compliance to policies and regulations applicable to the TVET college sector

**Explanation:** This is a new indicator and the national target is 100% compliance to all developed standards, policies and regulations.

Obtaining unqualified audits

**Explanation:** Obtaining an unqualified audit for all monitoring and evaluation of college and system performance and compliance. For example, financial audits by the Auditor-General or college appointed auditors, data audits and verification, quality audits, examination monitoring, etc.

Established centre/s of specialisation (COS)

**Explanation:** The intention is to assist education and training providers to focus on developing specific skills by identifying Centres of Specialisation as near as possible to the source of demand. For more information on Centres of Specialisation, access [https://sip-skills.onlinecf.net](https://sip-skills.onlinecf.net); click first on ‘The 21 Step Process’ then on ‘Step 12: Centres of Specialisation’. The document provides clear guidance on the process that the Department will follow to determine which institutions are best placed to specialise in the delivery of needed occupations. This is an optional target.

6. **Links to Other Plans**

This section requires the college to link the APP to other relevant college plans, e.g.:

- DHET Strategic Plan (2015/16-2019/20)
- DHET Annual Performance Plan (2015/16)
- TVET College Strategic Plan
- Operational Plan
- TVET College HRD Plan
- Monitoring and Evaluation (M&E) Plan
SECTION 4 - COMPILING THE COLLEGE OPERATIONAL PLAN

PURPOSE AND CAPTURING

The TVET College Operational Plan template is provided as a separate document in Excel format which must be opened in a MS Office 2010 or higher. The Excel template provides the means for colleges to gather the necessary planning data to be captured in the ASSET system. Please note that colleges will not be required to submit the Excel template at any time, it should simply be regarded as a working document.

The ASSET system contains individualised college operational plans pre-populated with the following 2015 college data:

- **Sheet 1**: All contacts as per the 2015 Ops Plan to be edited, as well as campus names with addresses and one contact number to be confirmed.
- **Sheet 5**: All standard infrastructure data carried over from the 2015 OPS Plan to be edited:
  - Room Type
  - Room Name / Number
  - Length
  - Breadth
  - Total Area
  - Theoretical Sitting Capacity.
- **Sheets 8 – 10**: 2015 Actual enrolment data as captured from the 2015 enrolment reports.

In essence, the ASSET captures the following planning elements and data:

- Administrative and contact details;
- Teaching and learning targets;
- Employability and experiential learning targets;
- Teaching and learning plan;
- Teaching and learning infrastructure information;
- Planning for environmental sustainability;
- Human resource development;
- Enrolment plans for NC(V), Report 191 (NATED), Occupational and Other programmes; and
- Budget planning for staff, CAPEX and operational expenditure versus income.

Please note that the system now makes provision for the capturing of the TVET College Strategic Plan and APP targets as additional capturing fields. These targets aggregate to provincial and national summaries and should correspond with operational planning targets for 2016.

In preparation for capturing data, the college should:

1. Identify the person responsible for the co-ordination and quality assurance of the operational plan
2. Ensure that the following collated information deriving from the strategic and annual performance planning processes is available:
   - Targets on teaching and learning;
3. College managers responsible and accountable for the various areas of planning should be fully briefed on college targets and strategies to ensure an integrated college operational plan that can be effectively implemented and monitored at all levels.

4. Please keep in mind that other plans and projects, e.g. Work Place Skills Plan, college infrastructure development plan, SETA funded projects, etc. influence the operations at colleges and therefore have to be taken into account. For example, SETAs may fund staff training, occupational programmes, etc. These activities and totals should form part of the general planning for the academic year, with the SETA listed as a funding source.

Please note that for ease of use, the OPS plan Excel template provides the following features:

- Prompts for concept definitions and guidelines for completion;
- Automated calculations, e.g. enrolment number, costs, etc.;
- Dropdown lists for selection of programmes;
- Expansion into additional rows where needed;
- Manual expansion of rows to allow for wrapped text printing;
- Document navigation and quick link prompts;
- Enrolment and budget summaries; and
- Sheets formatted for A4 printing – please select and hide unused rows/columns to avoid unnecessary printing.

The ASSET system contains Help Files for each planning element. Capturers are advised to download the Help Files in the table ‘Things to help you!’ and use it as guide to capturing.

HOW TO USE THE OPS PLAN EXCEL TEMPLATE FOR INFORMATION GATHERING PURPOSES

Work Sheet 1 – Setup Page

This sheet is used for set up purposes throughout the template. For completion:

- Select the college name from the dropdown list provided.
- Insert the campus names in alphabetical order – provision has been made for 15 campuses.
- Please note that data could be gathered on separate templates/sheets since colleges would be expected to upload the planning data onto www.assetonline.co.za where all the data will be merged into the full college operational plan.
Note that satellite delivery sites without EMIS numbers must be grouped with campuses and not listed separately.

Note that the Central/Head Office should be listed in this section due the need to capture infrastructure and environmental planning against the site.

**Work Sheet 2 – Programme Cost**

This sheet provides the DHET programme costs for 2016. Note that two columns have been added for the calculation of college fees within the funding policy guidelines.

- Note that the different programme costs for Fertiliser Manufacturing and Textile N4 – N6 were averaged for planning purposes.
- The programme costing is based on FTE values, therefore cost calculations are done on the FTE value and not head count values. These costs are linked to:
  - *Work Sheet 10* - Section 6: NC(V) Enrolment Plan and
  - *Work Sheet 11* - Section 7: Report 191 Enrolment Plan

- If the college increases the class fees within the 10% funding policy allowance, insert the fee that the college will charge the student per programme in **Column F**.
- **Column G** indicates the variance against the DHET fee guideline. The variance will be indicated in red font if it exceeds 10% policy allowance.

**Work Sheet 3 – Cover Page**

The college name is automatically inserted on the cover page.

**Work Sheet 4 – Index**

The index page assists with navigation within the template and no data input is required. Please note that the navigation column will not show when this page is printed.

**Work Sheet 5 – Contact Details**

Please insert the contact details of the designations indicated. Designations were derived from the draft TVET organogram but can be changed to suit the current management designations.

**Work Sheet 6 – Section 2: Teaching and learning targets**

This sheet captures high level targets only. It is essential that these targets be derived from the individual programme level targets discussed during the planning phase.

The targets following are to be inserted for the relevant programmes listed. Note that *Introduction to N4 Programmes* should be included in N4 target setting.
% Attendance

Calculation: Total actual number of subject attendance periods in programme academic period divided by total possible number of subject attendance periods in programme academic period x 100.

% Retention

Calculation: Total number of final subject examinations written in the programme academic period divided by total number of subject examination enrolments submitted x 100.

% Throughput

Calculation: Number of candidates within each cohort that successfully complete a qualification within the stipulated timeframe calculated as a percentage of the number that wrote examinations for that qualification.

% Certification

Calculation: Calculated by taking the number of students who successfully completed a qualification in an academic year, expressed as a percentage of the number of candidates who were eligible to complete a qualification and wrote the examinations in a particular academic year.

Please note: Leave unutilised cells blank, do not insert zero (0) because it will reduce averages.

Work Sheet 7 – Section 3: Employability and experiential learning (WIL)

Please ensure that the definitions provided for workplace exposure and experience for students and lecturers are used correctly:

- **Workplace based exposure / experience for students (in-programme):** Work-based exposure for a minimum 5 days in a relevant workplace during the academic year (not required to be consecutive days).

- **Work placement for apprenticeships:** Work placement where the college’s support / efforts result/s in apprenticeship contracts for students.

- **Work placement for Learnerships L2 – 4:** Work placement where the college’s support / efforts result/s in learnership contracts for students.

- **Work placement for Learnerships L5:** Work placement where the college’s support / efforts result/s in learnership contracts for students.

- **Work placement post NC(V) L4:** Work placement where the college’s support / efforts result/s in contracts of employment for students (this includes internships).

- **Workplace placement post N6 to complete diploma studies:** Work placement where the college’s support / efforts result/s in 18 to 24 month relevant work placement to complete N6 diploma studies.

- **Support to self-employment:** Work placement where the college’s support / efforts result/s in self-employment for students.

- **Workplace based exposure / experience for lecturers:** Work-based exposure for a minimum of 5 days in a relevant workplace during the academic year (not required to be consecutive days).
Further,
- Note the guiding notes on the right.
- Insert 2015 actual placement totals followed by planned 2016 totals.
- Insert comments where appropriate.

**Work Sheet 8 – Section 4: Teaching and Learning Plan**
- Evaluate the college practices for the following teaching and learning elements and components:
  - Programme selection;
  - Extended modes of delivery;
  - Improved subject knowledge (lecturers);
  - Improved teaching and learning (lecturers);
  - Lecturer attendance;
  - Lecturer workplace based learning;
  - Student selection and placement;
  - Student attendance;
  - On-course academic support;
  - Student workplace based exposure or experience;
  - Student exit support; and
  - Assessment and examinations.
- Rate each process by selecting a rating of **excellent, good, fair or poor** from the dropdown list.
- Prioritise the processes for which the college should plan improvement actions by selecting priority 1, 2 or 3 from the drop-down list.
- Insert staffing and/or training requirements after considering whether the college has sufficient numbers of staff who are adequately trained to perform the required functions.
- Insert data on 2015 staff training/appointments as well as targets for 2016.
- Insert infrastructure, equipment, software, etc. requirements to improve prioritised practices.
- Please note that the identified staffing and infrastructure requirements should be linked to HR development and budget planning in the following work sheets.

**Work Sheet 9 – Section 5: Teaching and Learning Infrastructure**
This worksheet captures the theoretical and actual teaching and learning infrastructure capacity of colleges.
- Note that facilities are divided into general and specialised teaching and learning spaces.
- The specialised teaching and learning spaces are further categorised into:
  - **Single purpose facilities** where the space is fully utilised for teaching of the practical component of a subject/programme; and
  - **Integrated facilities** where theoretical as well as practical teaching / training for a specific subject/programme takes place.
For integrated facilities, the particular facility should be selected twice from the dropdown menu to enable the capturing of the theoretical space separately from the practical space.

The length and breadth of each facility should be inserted and the theoretical sitting capacity will automatically calculate.

The planned sitting capacity should be inserted manually.

The average percentage utilisation per timeslot should be manually calculated using the following formulas.

### % Use of Facility

<table>
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<th>Time Period</th>
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<th>Hours Per Day</th>
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<td>205</td>
<td>3</td>
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<td>@ 100% Usage</td>
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<td>18h00-22h00 Weekdays</td>
<td>205</td>
<td>4</td>
<td>820</td>
<td>@ 100% Usage</td>
</tr>
<tr>
<td>08h00-22h00 Saturdays</td>
<td>47</td>
<td>14</td>
<td>658</td>
<td>@ 100% Usage</td>
</tr>
<tr>
<td>08h00-22h00 Sundays</td>
<td>47</td>
<td>14</td>
<td>658</td>
<td>@ 100% Usage</td>
</tr>
</tbody>
</table>

### % Use of Facility Formula Example

\[
\text{(Actual Usage Hours ÷ Total Hours) \times 100 = \% Usage}
\]

For example: \((1,200 ÷ 1,435) \times 100 = 83.6\% \text{ Usage}\)

- Please note that the rows could be expanded to 100.
- The data is required per campus and will summarise into a campus summary as well as a college summary of general and specialised teaching facilities and usage.

### Student Accommodation

From the strategic and APP planning, colleges would have set targets for student accommodation. The operational plan captures the following aspects of student accommodation:

- Campus;
- On-campus / off-campus / both;
- College owned / rented;
- Number of rooms; and
- Number of beds.
**Work Sheet 10 – Section 6: Human Resource Development**

This worksheet captures the training needs of the following categories of staff:

- Governance and management (council and executive management);
- Lecturing staff (academic); and
- Support staff (all support staff including senior and middle management).

The *Skills and Competence* column categorises general training areas for each staff category and allows for a grouping of ‘other’ training needs. It is important that the training needs must be determined by the college’s SETA Workplace Skills Plan.

- Insert numbers to be trained into **Column C** and **D**. **Column E** will automatically calculate.
- Insert estimated cost of training.
- Estimated costs will automatically calculate to a grand total which feeds through to the indicative budget.
- The grand total should not be more than 1% of the personnel budget.

**Work Sheet 11 – Section 7: Environmental Plan**

This worksheet emphasises the need for environmental sustainability planning. The work sheet in essence captures consumption and recycling aspects per campus and summarises it into a college total with related financial figures.

- 2015 actual and 2016 projected units of measure and expenditure for the following *consumption* categories are necessary for planning:
  - Electricity;
  - Petrol;
  - Diesel;
  - Paper (A4);
  - Paper (A3);
  - Waste (Food);
  - Waste (General);
  - Waste (Garden); and
  - Water.

- 2015 actual and 2016 projected units of measure and expenditure for the following *recycling* categories are necessary for planning:
  - Glass;
  - Paper;
  - Plastic; and
  - Metal.

- Provision has been made for college/campus environmental projects. Please list and briefly describe each project.
Work Sheet 12 - Section 8: NC(V) Enrolment Plan
- For planning purposes use only headcount numbers of students enrolled for seven subjects. This could be done by dividing the total planned number of subjects by 7 to equal a full FTE.
- Select programmes per campus from dropdown list.
- To keep track of the phasing in and phasing out of programmes, remember to indicate a ‘0’ in the applicable column at the level of phasing in or out.
- Note that the ASSET system is prepopulated with the current 2015 enrolment numbers as reported to DHET.
- Insert projected 2016 student numbers according to APP planning.
- Columns K – P will automatically calculate from the projected student numbers.
- Please note that the programme cost is calculated on FTEs.
- The totals feed through to Section 11: Enrolment Summary.

Work Sheet 13 - Section 9: Report 191 Enrolment Plan
- For planning purposes use only head count numbers of students enrolled for eight or twelve subjects to equal a full FTE. This could be achieved by dividing the total planned number of subjects by 8 for semester programmes and 12 for trimester programmes.
- Select programmes per campus from dropdown list.
- To keep track of the phasing in and phasing out of programmes, remember to indicate a ‘0’ in the applicable column at the level of phasing in or out.
- Note that the ASSET system is prepopulated with the current 2015 enrolment numbers as reported to DHET.
- Insert projected 2016 student numbers according to APP planning.
- Columns K – P will automatically calculate from the projected student numbers.
- Please note that the programme cost is calculated on FTEs.
- The totals feed through to Section 11: Enrolment Summary.

Work sheet 14 – Section 10: Occupational and Other Programmes Enrolment Plan
This extensive work sheet plans the projected enrolments for programmes other than NC(V) and Report 191.

Please note that the planned programmes must be based on committed funding and actual approval and agreements with SETAs in the case of learnership and skills programmes and employers where appropriate.

Furthermore,
- Please note the inclusion of a special category for green skills training programme planning.
- Please use the SAQA registered title and ID number for accredited qualifications and programmes.
- For learnerships, indicate duration/contact hours offered by the college.
- Indicate whether the college has programme approval by selecting ‘Yes/No’ from the dropdown list.
- Insert 2015 actuals student numbers if any.
- Insert 2016 planned student numbers.
- Insert cost per student (total cost will calculate automatically).
- Insert source of funding.
o Insert comment where relevant.
o In cases where the same programme is offered to two clients with different costing structures, list the programme twice.
o Use navigation links for easy navigation through this extensive page (can print up to 50 pages).
o Note enrolment summary in bottom section.

Work Sheet 15 – Section 11: Enrolment Summary
No input required but the summary is very important for management decisions.

Work Sheet 16 – Section 12: Staffing
This work sheet plans the total estimated employment cost to the employer.
Management staff – principal and vice-principals;
Lecturing staff – academic staff;
Support staff – senior and middle managers as well as all other support staff.

The work sheet makes provision for the following categories of salary payments:
o PERSAL paid staff (management, lecturing and support); and
o Non-PERSAL paid staff (management, lecturing and support).

Please note:
o Monthly PERSAL costs should be sourced from DHET.
o All other employment costs not captured in the three categories must be reflected in the indicative budget under ‘4. Other Employment Costs’.
o Insert numbers and total cost per month for each category.
o The worksheet will automatically calculate total costs.

Work Sheet 17: Section 13: CAPEX plan
This work sheet plans the CAPEX expenditure from SECURED college funds and makes provision for:
o Replacement of present capital items;
o New capital items;
o Upgrading/expansion of present infrastructure; and
o New infrastructure.

Please note that the TVET College Funding Norms and Standards make funding provision for 10% replacement of present and new capital items, as well as for earmarked capital funding.
To isolate these costs, provision is made for three funding sources, namely

- Programme funding;
- Earmarked capital funding; and
- Private funding.

Please note that the total programme funding should not exceed 10% of the indicative budget and earmarked capital funding should be secured.

Work Sheet 16: Section 12: College Indicative Budget

This work sheet captures the planned college income and expenditure for 2016. Where appropriate, totals feed through from relevant work sheets.

- Insert planned income and expenditure totals in indicated cells;
- Please note that the budget expenditure is structured according to the DHET SCOA; and
- The budget will total up automatically.

Work Sheet 17: Section 13: Budget Summary

This work sheet provides a budget summary and other financial information including:

- AFS;
- Budget allocation;
- Bursary analysis;
- Financial risk analysis;
- Budget analysis; and
- Staff utilisation ratios – please note that lecturer/student ratio is done for Ministerial Programmes only due to the availability of FTEs, while lecturer/support staff ratio is done for PERSAL, Non-PERSAL as well as the two categories combined.
SECTION 5: SUPPORT AND DOCUMENT SUBMISSION

1. Planning and submission dates
   - College planning should start immediately and will be supported by DHET regional and head office teams.
   - It is expected that colleges would finalise the planning process by 31 August 2015.

2. Capturing of operational planning data
   - Colleges are expected to electronically capture planning data on www.assetonline.co.za.
   - www.assetonline.co.za will be ready for uploading by 03 August 2015.
   - The principal and person responsible for the operational plan will have access to the website.
   - These users will be notified by system’s e-mail on how to access and capture information.
   - System support will be available during the full capturing period of 03 to 31 August 2015.
   - The system will be closed for capturing from 01 to 15 September 2015 to provide DHET opportunity to review and comment on first draft data.
   - After the review process, the system will be opened from 16 to 30 September 2015 for final capturing.

3. For technical support kindly contact
   Ms Danita Welgemoed
danita.welgemoed@westerncape.gov.za
021 467 2600
072 732 3172

4. For planning support kindly contact
   Ms Mariëtta Swart
swart.m@dhet.gov.za
012 312 5880
0822 999 509

5. Saving and uploading the Strategic Plan and APP
   Please save the documents as:
   - 2016 (College name)-Strategic Plan-(V1)(Date); and
   - 2016 (College name)-APP-(V1)(Date).
   Kindly upload the documents using the Upload Tools on Sheet 1 of the ASSET system.

6. Operational Plan
   Please print the operational plan from ASSET, scan and upload the document using the Upload Tools on Sheet 1 of the ASSET system as: 2016 (College name)-OpsPlan-(V1)(Date).
7. **Submission of hard (paper) copy documents**

For DHET review purposes, colleges are requested to submit *paper copies of the first draft plans* to the respective Regional Offices by 31 August 2015.

<table>
<thead>
<tr>
<th>REGIONAL OFFICE</th>
<th>CONTACT PERSON</th>
<th>CELL NUMBER</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eastern Cape</td>
<td>Ms Tandiswa Nyoka</td>
<td>082 083 6263</td>
</tr>
<tr>
<td>Free State</td>
<td>Mr Kaya Tunzi</td>
<td>071 277 1227</td>
</tr>
<tr>
<td>Gauteng</td>
<td>Ms Portia Makola</td>
<td>079 324 1705</td>
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<tr>
<td>KwaZulu-Natal</td>
<td>Ms HS Mkhungo (Hlengiwe)</td>
<td>076 479 6064</td>
</tr>
<tr>
<td>Limpopo</td>
<td>Ms Patricia Nemalili</td>
<td>082 837 9608</td>
</tr>
<tr>
<td>Mpumalanga</td>
<td>Dr Simon Mlangeni</td>
<td>082 731 7858</td>
</tr>
<tr>
<td>North West</td>
<td>Ms Mercy Sechele</td>
<td>083 635 2942</td>
</tr>
<tr>
<td>Northern Cape</td>
<td>Ms Maitse Nodoba</td>
<td>078 978 0118</td>
</tr>
<tr>
<td>Western Cape</td>
<td>Ms Danita Welgemoed</td>
<td>027 732 3172</td>
</tr>
<tr>
<td>TRADE</td>
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<tr>
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<td>Civil Engineering &amp; Building Construction</td>
<td>Carpenter &amp; Roof Work</td>
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<td>Electrical Systems and Construction / Fitting and Turning</td>
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ANNEXURE B: 21 STEPS FOR ARTISAN DEVELOPMENT

The 21 Step Process

The methodology developed to generate the list of occupations in demand nationally and to propose actions to address the scarcity identified, is an achievement in its own right. Whilst broadly outlined in the Report, it has subsequently been refined and developed, and is summarised below. It can now be used to generate similar lists and intervention strategies at provincial and sectoral levels, and can be used to generate lists of occupations in demand for new strategic projects.

This methodology has been codified as the 21 STEP PROCESS. It outlines a systematic set of steps to be followed from the demand to the supply side (and back again).

WHAT SKILLS ARE NEEDED?

1. PROJECT LIST – Develop a list of SIP projects planned for the area, and regularly update it. A template, for capturing relevant project information, has been developed and captured on the skills portal, with the following items:

   - Project
   - Comment
   - SIP
   - Sector
   - Sub-sector
   - Project Size
   - Unit of Measure
   - Phase
   - Start Date
   - End Date
   - Construction method
   - Total Project Cost
   - Province
   - District Municipality
   - Local Municipality
   - % in Area
   - Prototype link
   - Identifier
   - Efficiency Multiplier
   - Complexity Factor
   - Scale Multiplier
SKILLS PROTOTYPES – Develop skills prototypes consisting of the occupations needed for a typical project in each type of sub-sector together with an initial estimation of the scarcity of each occupation, derived from the experience of project managers.

To achieve this, cluster the projects into sectors, (e.g. energy, rail, etc) and then into sub-sectors (e.g. for energy: generation, transmission, distribution and where relevant into sub-sector types (e.g. for generation: solar, coal, wind, biofuels, nuclear).

An Excel-based toolkit has been developed for this purpose, which can be found on the portal. It has drop-down menus to make the task of generating the prototypes easier. It enables experts to capture the occupations required for each typical project under a set of standard headings as follows:

- Role;
- Agency;
- Agency Level;
- National Department;
- Major OFO category;
- Minor OFO category;
- OFO Occupation;
- Typical number required;
- Scarcity;
- Start Date;
- End Date; and
- Duration in months.

A library of 43 prototypes can be downloaded from the portal. Others are encouraged to add to this library.

SKILLS REQUIRED – Estimate total skills required for all projects. A methodology (supported by technology) has been developed which enables professionally-informed planners to use the prototypes to estimate the total occupational requirements for all projects of a similar type and then to estimate the total occupations in demand across a timeline. The final list is no longer linked to any one project, sub-sector or sector; but is a consolidated list for ALL projects on the project list.

The methodology also enables the generation of a list, across a timeline, and estimated demand of those occupations which are considered scarce, using the scarcity estimates from STEP 2.
A detailed list of individual occupations can be drawn down in each case.

4 NATIONAL DEMAND – Determine the national demand for occupations identified as scarce in STEP 3. Use the Linked Macro-Education Model (LM-EM) developed by Dr Asghar Adelzadeh\(^1\) to forecast estimated national demand for occupations considered scarce, or use detailed research per occupation where available. This step is needed as there is no guarantee that someone with the required skill will work on a SIP project, they could work anywhere. There has, therefore, to be an estimate of the total demand for the occupation(s) in question.

5 OCCUPATIONAL TEAMS – Set up Occupational Teams (OTs) to act as expert advisers per occupation.

An OT is composed of theory and practical training providers, employers (drawn from all sectors where the occupation is employed) and those from registering or certifying bodies.

Their initial role is to gather data and input from their communities of expert practice to refine the demand model. A further role is to verify the learning pathways people should follow to attain occupational competence. This includes the mapping of relevant theoretical and practical qualifications to occupations. OTs should in the process review the pathways defined on the DHET’s National Careers Advice Portal (NCAP)\(^2\).

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\(^1\) Commissioned by DHET as part of the Labour Market Intelligence Partnership and was undertaken under the Centre for Researching Education and Labour at the University of the Witwatersrand.

\(^2\) [http://ncap.careerhelp.org.za](http://ncap.careerhelp.org.za)
Generic Occupational Learning Pathway

- Career guidance provided
- Gateway subjects for entry into required programme(s) passed
- Foundational qualification(s) for occupation accessed
- Successful graduation from qualification
- Simulated practice of skills
- Basic level of competence for entry to workplace attained
- Structured workplace-based learning secured
- Supervision and mentorship across full range of functions/contexts
- Competence for independent practice assessed & confirmed
- New challenges – new knowledge and skill
- Specialisation in areas of repeated application

**SKILLS AVAILABLE** – Determine the number of people with the required occupational skills both in the workforce and who are unemployed.

Use the Quarterly Labour Force Survey published by Statistics South Africa (StatsSA) to determine those with the required skills in employment and use the Department of Labour’s Employment Services South Africa (ESSA) to get insight into the number of similarly skilled people in the ranks of the unemployed.

**INFLOW OF SKILLS** – Estimate the number of those entering the labour market with the required skills.

DHET to provide past and projected future graduation rates of learners with the necessary theoretical qualifications. Consider immigration, use of retirees, transfer of public officials and recognition of prior learning as short-term options where required.

**WHERE ARE THE GAPS?** – Determine which occupations are not being developed at the required rate to meet the demand.

Develop a graph for each occupation based on the Lawless Skills Flow Model, shown below, using data from STEPS 4, 6 and 7 plus other sources for occupations identified in STEP 3.

A programme is being developed to generate this graph automatically once the data is entered. Where development falls short of demand, interventions are required.
WHERE AND WHEN? – Provide an indication of the scale, place and timeframe of demand for each occupation.

Map occupations back to projects under STEP 1 to determine approximately where, when and how many of each occupation will be required. This is input data needed for STEP 12.

WHAT SHOULD BE DONE?

10 TRAINING ON PROJECT SITES – Encourage those issuing tenders to include the CIDB Training Standard.

The CIDB Training Standard[^3] must be brought to the attention of those who are issuing the tenders for projects listed under STEP 1. They must be encouraged to include the conditions in project tenders

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![CIDB Training Standard](image)

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SCHOOL SUPPORT – Consider schools in the area as feeders for training. Provide career guidance and support for gateway subjects such as in maths and science.

In collaboration with the Department of Basic Education the National Career Advice Portal (NCAP) [http://ncap.careerhelp.org.za/occupation](http://ncap.careerhelp.org.za/occupation) can be used to highlight to local schools the occupations that will be in demand in their area.

CENTRES OF SPECIALISATION – Determine which education and training providers should focus on developing which skills. Identify Centres of Specialisation as near as possible to the source of demand, where appropriate.

DHET in partnership with colleges, universities and OTs is to determine which institutions would be best placed to specialise in the delivery of needed occupations. These can become Centres of Specialisation. A structured process of consultation will need to be undertaken in the relevant areas.

DEVELOPMENT CAPACITY – The OT for each priority occupation should visit Centres of Specialisation and determine their capacity and support required. OTs to visit ‘their’ Centres of Specialisation to determine their current capacity and measures required to lift their performance to that which is required for the SIPs and other strategic projects. They must produce, together with the Centre, a costed plan for needed interventions, including both individual learner support measures (e.g. bursaries) as well as measures to support the capacity of the institution to assist throughput of learners (e.g. lecturer development, qualification and curriculum development, materials, equipment, infrastructure etc.).

WORKPLACES – Find workplace-based learning opportunities for needed occupations. The SETAs must be encouraged to inform public and private employers of workplace-based learning opportunities required for the occupations in demand and to incentivise them, with grants, to offer their workplaces. This will require active campaigning and other measures. Travel and accommodation for learners to get to such workplaces will need to be considered.

RESOURCES – Secure resources for the OT plan from SETAs, NSF and other sources. The SETAs must be encouraged to support the implementation of the plans produced in STEPS 13 and 14. Funds from the National Skills Fund, the three tiers of government, public entities and the private sector must also be mobilised.

IMPLEMENT, MONITOR & EVALUATE PLANS – Monitor and evaluate implementation. Funded plans must then be implemented. In addition, simple, streamlined systems for monitoring and evaluation must be put in place.

THE SPECIAL CASE OF GOVERNMENT

The implementation of the projects listed under STEP 1 has implications for government. Government officials are frequently the ones to conceptualise the projects, undertake (or cause to undertake) pre-feasibility and feasibility assessments, environmental impact studies, consider water licenses and land use applications, secure funding, manage contracts, ensure delivery to the required quality, within budget and given timeframes and undertake operations and maintenance once construction is completed.

The capacity of the relevant departments needs to be evaluated to determine whether they are able to perform these functions to the required standard.

This is a function which falls under the mandate of the Department of Public Service and Administration and the Department of Cooperative Governance and Traditional Affairs. It goes to the heart of service delivery and must be addressed as part of the overall plan.
WHICH DEPARTMENTS? – Determine which municipal, provincial or national departments need to play a role?

WHAT SKILLS ARE NEEDED? – Define the roles each must play and determine their skill requirements, match these against available skills and determine priorities/gaps. Consideration needs to be given to the suitability of organograms, job descriptions, conditions of service as well as the education, training and experience of those filling posts associated with each of the roles.

PLANNING AND RESOURCING – Put together a plan and identify resources. The plan may include revising structures, appointing additional staff, developing current incumbents and/or putting long-term skills training plans across the whole skills pipeline in place for each department.

IMPLEMENT, MONITOR & EVALUATE PLANS – Implement, monitor and evaluate these plans for government capacity building.

GOVERNANCE – Establish a robust governance structure to oversee the implementation of project implementation plans. Projects of this complexity, with all the necessary partners, need to be project managed – with responsibility for each step carefully allocated and resources for its execution identified.

A two-tiered approach is being debated – with national policies, systems and procedures (templates, portals, norms and standards for funding, funding sources etc.) complemented by provincial, district and municipal project plans implemented and overseen at the relevant level. Partnerships with the Offices of the Premiers are currently being sought for the next phase.