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Interim Evaluation of the Enhancing Leadership and Management Skills (ELMS) Programme

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Table of Contents

1	Introduction.....	11
	Evaluation aim and objective.....	13
	Work programme.....	14
	Report structure.....	15
2	Policy Framework and Evidence Base	17
	Policy framework	17
	Evidence base.....	23
3	Development of ELMS and Progress to Date	27
	Development of ELMS	28
	Indicators and expenditure	32
	Development and progress to date – Individual elements.....	39
4	ELMS Supported Companies and Learners. Overview, motivations for involvement and nature of participation	55
	Analysis of ELMS supported companies	56
	Survey sample.....	61
	Analysis of ELMS supported learners – ESF Leavers Survey.....	69
	Route into ELMS	71
	Motives for involvement -Company perspective	74
	Nature of participation – Employer perspectives	81
	Nature of participation – Learner perspectives.....	86
5	Quality, Relevance and Qualification Outcomes.....	87
	Employer feedback on ELMS provision.....	88
	Learner feedback on ELMS provision	97
	Course content.....	98
	Qualification outcomes – Employer perspectives	101
	Qualification outcomes – Learner perspectives.....	106
6	Effects and Impacts	108
	Utilisation of new skills	109
	Impact – Employer perspectives	114
	Impact – Learner perspectives	121
7	Conclusions and Recommendations	124
	Recommendations	128

Glossary of Acronyms

Acronym	Explanation
CMS	Content Management System
EEF	The Manufacturer's Organisation for UK Manufacturing Companies
ELMS	Enhancing Leadership and Management Skills
EPS	Employer Perspectives Survey
ESF	European Social Fund
ESS	Employer Skills Survey
HPW	High Performance Working
HRDAs	Human Resource Development Advisers
IDBR	Inter-Departmental Business Register
liP	Investors in People
ILM	Institute of Leadership and Management
LMW	Leadership and Management Wales
NOS	National Occupational Standard
NUTS	Nomenclature of Territorial Units for Statistics
NVQ	National Vocational Qualification
RCE	Regional Competitiveness and Employment Programme
SLF	Sector Leadership Fund
SME	Small to medium sized enterprise
SPFP	Sector Priorities Fund Pilot
WDP	Workforce Development Programme
WEFO	Welsh European Funding Office
WJEC	Welsh Joint Education Committee

Executive Summary

Enhancing Leadership and Management Skills (ELMS) is a flagship programme, funded by the Welsh Government and the European Social Fund (ESF), through the Convergence and Regional Competitiveness and Employment (RCE) Programmes which involves:

‘An agenda of related projects, programmes and schemes in the general field of leadership and management, each contributing towards strategic improvement and support for development skills and capacity in the Welsh economy and within Welsh companies and organisations’.

ELMS consists of:

- a series of open access workshops delivered across Wales through a network of 12 contracted providers
- a Discretionary Funding element, made available via the Welsh Government’s Workforce Development Programme (WDP). This is open to all private sector employers (with a 50 per cent subsidy rate) and can be used to support leadership and management training
- the Sector Leadership Fund (SLF) supports the Welsh Government’s sector based approach and is ring fenced to Sector Skills Councils (SSCs)
- a pilot to train mentors and coaches, providing opportunities for individuals to gain skills and achieve a relevant qualification
- a Welsh language diagnostic tool that enables employers to analyse which Welsh language skills are required by their workforce, to analyse the Welsh language skills and capabilities of their existing staff and to identify any specific aspects which need improvement.

The programme aims to support the leadership and management development of Wales’ business managers, especially SMEs. The ELMS Convergence and RCE projects were approved in April 2009 and are due to run until December 2015.

The Welsh Government commissioned Old Bell 3 Ltd. with IFF Research Ltd. and York Consulting LLP in May 2012 to undertake a long-term evaluation of the ELMS Programme.

The overall aim of the evaluation of ELMS is to evaluate the impact and effectiveness of the ELMS Convergence and Competitiveness Fund projects including an evaluation of the impact and effectiveness of the Leadership & Management Wales (LMW) Centre for Excellence. The evaluation of LMW has been published as a separate report.

More specifically, the objective of this interim evaluation of ELMS is to determine the effectiveness of the five strands of leadership and management support available via the programme in terms of numbers assisted, management, most effective delivery model (including value for money) and quality of delivery.

The work programme for this evaluation took place between May and December 2012 involved reviewing relevant policy and strategy documents as well as project level documents including business plans submitted to WEFO. It also involved developing an evaluation framework based on a programme logic model approach, designing various research instruments (including a telephone survey questionnaire) and undertaking interviews with 41 stakeholders.

A sample of assisted companies was drawn from the ELMS database and telephone interviews were completed with 200 businesses on the ELMS database that participated in a leadership and management workshop or received discretionary funding via the WDP. Follow-up qualitative visits were then undertaken with 15 supported companies. Finally, data from the 2011 ESF Leavers Survey was analysed in relation to ELMS.

In relation to the **policy framework and evidence base** for ELMS, the report finds that:

- a well established and supportive policy framework exists, which demonstrates that ELMS was conceived on the basis of a clear policy rationale. This is underpinned by a sound body of research which provides evidence of need
- there was logic attached to the process of applying for ESF funding from WEFO to finance ELMS as a strategic project (with two inter-related business plans for Convergence and Competitiveness purposes)
- there is logic attached to the design of ELMS and the core elements that make-up the overall programme.

In relation to the **development of ELMS and progress to date**, the report finds that:

- both the Convergence and RCE business plans developed the ELMS concept in a coherent way and in-line with the policy rationale set out in Skills that Work for Wales and Leading Edge
- in December 2011, ELMS was scaled back with a reduced budget and lowered output indicators. Despite lowered indicators, both the Convergence and RCE were behind profile at the mid-term point on each of the main performance indicators meaning that demand and up-take has been lower than envisaged
- at the mid-term point, all outputs in relation to project indicators (in both Convergence and RCE) had been generated by the leadership and management workshops and the discretionary funding element via the WDP. However, it is reasonable to expect that progress against these indicators should improve and accelerate once SLF projects and the Coaching and Mentoring element are fully operational. If this does not materialise, further amendments to targets may be required
- at the mid-term point 20 per cent of the revised Convergence budget and 18 per cent of the revised RCE budget had been spent. The unit cost per participant was substantively below that implied in relation to revised budgets and indicators in both Convergence and RCE. In contrast, the unit cost per assisted firm was slightly above the implied unit cost in Convergence and in-line with expectations in RCE

- procurement processes for the workshop, coaching and mentoring and Welsh language diagnostic strands had all been undertaken at the mid-term point and had resulted in appropriately qualified external delivery providers being commissioned. In the case of the coaching and mentoring element and the SLF (which was ring-fenced to SSCs), both were delayed for various reasons
- four SSC led SLF projects had been approved, with two of these active at the mid-term point, one of which was subject to delays in getting underway post approval
- progress had been made in developing the Welsh Language Diagnostic tool which was undergoing user testing at the time this interim evaluation was carried out
- no outputs had been recorded by either the Convergence or RCE project at the mid-term point in relation to the cross-cutting theme indicators relating to equality strategies and sustainable development.

In terms of ELMS **supported companies and learners, their motivations for involvement and the nature of their participation**, the report finds that:

- at the mid-term point, the two active elements of ELMS (the workshops and discretionary fund) had assisted a wide range of Welsh companies in terms of size and sector, broadly in-line with the original aims of the programme
- in line with the objectives of ELMS to up-skill people already in work, the vast majority of participating respondents (94 per cent) said that they were employed and well-established in the labour market
- the most common way for assisted companies to get to know about ELMS provision is via learning providers. HRDAs are more likely to have referred assisted companies to the discretionary fund element than the workshop element. Feedback from assisted companies on the role of HRDAs in the context of ELMS was positive
- motives for involvement (from a company perspective) in the workshops were largely driven by the relevance of events and as 'enablers' to

achieving specific objectives. This was consistent across Convergence and RCE

- the employer's decision and influence has been relatively important (though not exclusively so) in terms of individual participation with a majority of ESF Leavers Survey respondents saying that the employer had requested or required them to attend the ELMS training
- improving senior managers' leadership and management skills, improving products or processes and improving staff relations and morale were the top three expectations from the workshops for Convergence and RCE assisted companies
- for the discretionary funding element, improving senior managers' leadership skills was the top expectation in the case of companies in the Convergence area and improving products or processes was the principal expectation in the case of companies in the RCE area. The majority of companies assisted by discretionary funding had a clear idea before-hand of how newly gained skills would be applied
- relatively few individual participants reported that their main motivation in undertaking the training was the expectation that it would lead to specific improvements in their personal position at work, while obtaining qualifications ranked very low amongst the motivations for individual participants – many of whom already possessed higher level qualifications
- each assisted firm sent on average four people to the workshops. Most were likely to be Directors/Senior Manager or Middle Managers. The average number of participants in discretionary funded training was higher per company than for the workshops at five per company in Convergence and substantively higher at 15 per company in RCE.

In terms of feedback on from supported companies on the **quality and relevance** of ELMS provision and their views on qualification outcomes, the report finds that:

- satisfaction with the workshops was high from a company perspective, with 87% saying that the response of participating staff had been fairly positive or very positive
- satisfaction with discretionary funded training was high amongst companies with the vast majority¹ stating that the response of participating staff had been fairly positive or very positive
- learners were also satisfied with ELMS provision (both the workshops and discretionary elements). 88 per cent of learners were either satisfied or very satisfied in the Convergence area, while 90 per cent were either satisfied or very satisfied in RCE
- the perceived relevance of ELMS provision by business respondents who themselves had participated in learning was generally high though was somewhat more mixed in relation to Workshops in the Convergence area
- overall, the content of workshops and discretionary funded courses is relevant to leadership and management skills with a high degree of consistency in terms of topics covered across Convergence and RCE.
- around a third of the individuals that attended workshops said that they had exceeded or far exceeded their expectations. A similar proportion of the individuals who themselves had participated in discretionary funded training reported that the training had exceeded their expectations.
- in our survey of businesses, just over half (54 per cent) of all respondents stated that those who had participated in ELMS funded activities had gained a qualification. Participants in the Convergence area were more likely to have gained a qualification than those in the RCE area. Of those participants gaining a qualification, the largest proportion gained a level 3 qualification
- there were mixed views in relation to the importance of qualifications with the majority of company survey respondents citing qualifications as important. In contrast, the evidence from qualitative visits to assisted companies suggested that qualifications were a 'nice to have' rather

¹ 48 of 49 responding companies on this question.

than an essential part of the package. From the participant perspective, qualifications are not viewed as a significant part of ELMS provision.

In terms of the **effects (including skills utilisation) and impacts** of ELMS to date, the report finds that:

- the majority of assisted companies (95 per cent) said that the learning from ELMS activities was being applied by participants and this was consistently high across Convergence and RCE and both intervention types
- that said, the extent to which training had led to positive effects on the behaviour and abilities of participants was mixed with discretionary funding leading to more positive effects on behavioural change than the workshop element
- while recognising that the different types of courses funded by ELMS are likely to lead to different behaviour and ability outcomes, there appear to be positive effects in terms of participant abilities, particularly relating to organising staff, time management, improving systems and working with customers
- business survey respondents who had attended training themselves reported a number of positive impacts since taking part in the training including being more open to collaboration with others, being more aware of their own traits as leaders, being more open to addressing their own weaknesses and being more willing to delegate and allow others to make decisions themselves
- the majority of participating learners (via the ESF Leavers Survey at 72 per cent) said that they had improved their leadership and/or strategic management skills. Individual respondents also generally reported positive results in terms of job specific skills
- individual participant respondents (via the ESF Leavers Survey) also said that they were now more enthusiastic about learning (62 per cent) that their career prospects had improved (72 per cent), that their job specific skills had improved (73 per cent) and that they were getting more job satisfaction (60 per cent). Just over a third had received a pay

increase since the training, while a minority (18 per cent) had secured a promotion. A majority (70 per cent) of individual participants responding to the ESF Leaver's Survey said that the ELMS course had helped them achieve these outcomes

- the majority (75 per cent) of assisted companies said that they were likely to undertake further leadership and management training in the next 12 months, though the proportion was notably higher for those who received discretionary funding than for those who attended workshops. The vast majority of assisted companies also attributed the increased likelihood of them undertaking further leadership and management training directly to ELMS
- assisted companies thought that the most significant impact of the training on individual participants was in relation to staff morale, followed by promotion and increased responsibilities. There was less evidence (not unsurprisingly given prevailing economic conditions) to suggest that this led to increased wage levels – which chimes with the findings of the ESF Leavers Survey
- assisted companies did not make a particularly strong link between ELMS training and either improved profitability or reduced losses. The most positive impacts at a company level were in relation to improved productivity and efficiency and overall prospects going forward
- there was very little evidence to suggest (either from the survey or the qualitative fieldwork) that the cross-cutting themes of environmental sustainability or equal opportunities had featured prominently in the delivery of ELMS to date.

The report makes a series of seven recommendations, which are:

Recommendation 1

A key priority for the Welsh Government as ELMS enters its second term is to encourage companies, particularly small enterprises that have not previously used the programme to participate. In particular, officials need to ensure that HRDAs are fully up to speed on the new elements of the programme (i.e. SLF pilot projects and the Coaching and Mentoring strand) and actively promote

these to the companies they advise and assist. The Welsh Government should also explore ways in which HRDAs might play a more active role in promoting the leadership and management workshops alongside LMW which should take on a more direct approach to signposting customers to ELMS in its work programme through to 2015 (as recommended in the LMW evaluation). Linked to the on-going challenge of increasing participation, the Welsh Government needs to closely monitor the expenditure and performance of the various elements of ELMS over the coming 12 months to ensure that targets remain realistic and achievable.

Recommendation 2

The Welsh Government should explore with workshop providers and LMW the findings of this evaluation in relation to post-intervention behaviour patterns of participants and the potential for ELMS provision to play a greater role in influencing organisational culture. While it is unrealistic to expect that a relatively light touch intervention such as the workshops will have a major bearing on organisational culture, progression from the workshops onto other, more intensive, forms of leadership and management training needs to be strengthened (for example by forging closer linkages and encouraging progression between the workshops and coaching and mentoring) to ensure behavioural change and organisational culture outcomes are achieved. The Welsh Government should also bring the findings on behavioural change and organisational culture to the attention of providers under the coaching and mentoring and SLF strands and explore ways in which meaningful, longer term outcomes can be targeted via these elements. This also needs to be considered by LMW in the context of adding depth and specificity to their events.

Recommendation 3

The Welsh Government and the delivery providers involved with the implementation of ELMS need to consolidate and build on the generally positive findings in relation to the quality of and satisfaction levels with provision delivered to date. Maintaining these positive results in the SLF and coaching and mentoring strands should also be a priority.

Recommendation 4

The Welsh Government needs to explore with its workshop providers (particularly in the Convergence area), with HRDAs and with LMW how the perceived relevance of the workshop offer can be improved in relation to the job roles of participants.

Recommendation 5

The Welsh Government needs to consider (in the context of the mixed findings on employer and participant views on qualifications) whether and how the proportion of participants gaining qualifications can be increased across both Convergence and RCE and the different elements. A key focus here should be on promoting the benefits and impacts of accredited leadership and management training. However, this should be secondary to the focus on targeting new businesses, and strengthening behavioural and organisational culture outcomes.

Recommendation 6

The Welsh Government needs to consider as a matter of some urgency how to incorporate aspects relating to the cross-cutting themes of sustainable development and equal opportunities into ELMS provision.

Recommendation 7

The Welsh Government should proceed with the trialling of the Welsh Language Diagnostic tool and consider how to evaluate feedback from employers and participants. In light of the feedback received from the trialling phase, appropriate revisions to the tool should be made and a final version published and promoted widely to potential users.

1 Introduction

1.1 Old Bell 3 Ltd. in association with York Consulting LLP and IFF Research Ltd. were commissioned by the Welsh Government in May 2012 to undertake a long-term evaluation of the Enhancing Leadership and Management Skills (ELMS) Programme.

1.2 ELMS is a flagship programme, funded by the Welsh Government and the European Social Fund (ESF), through the Convergence² and Regional Competitiveness and Employment (RCE) Programmes³ which involves:

‘An agenda of related projects, programmes and schemes in the general field of leadership and management, each contributing towards strategic improvement and support for development skills and capacity in the Welsh economy and within Welsh companies and organisations’⁴.

1.3 The programme aims to ‘support the leadership and management development of Wales’ business managers, especially SMEs’⁵. The ELMS Convergence and RCE projects were approved in April 2009 and are due to run until December 2015.

1.4 The ELMS programme consists of five discreet, but inter-related elements as set out in **Figure 1.1**:

² In the West Wales and Valleys NUTS II area.

³ In the East Wales NUTS II area.

⁴ Convergence Business Plan. Page 5.

⁵ Ibid. Page 3.

Figure 1.1: Overview of the five ELMS elements

Element	Summary description	Delivery arrangements
Leadership and Management Workshops	<p>The leadership and management workshops are a series of open access workshops delivered across Wales through a network of 12 contracted providers. The workshops focus on a range of management and leadership topics including leadership skills and managing change and are based on the National Occupational Standards (NOS) for Management and Leadership. Micro and small businesses can attend the workshops at a 70 per cent subsidised rate, while larger firms (250 plus employees) can attend at a 50 per cent subsidised rate.</p>	<p>A Network of 12 contracted providers appointed by Welsh Government following a procurement exercise.</p>
Discretionary Funding	<p>The Discretionary Funding element is made available via the Welsh Government’s Workforce Development Programme (WDP). This is open to all private sector employers (with a 50 per cent subsidy rate) and can be used to support leadership and management training. Micro businesses or those with Investors in People (IiP) are able to apply directly for funds while larger companies that are non IiP accredited work with Welsh Government funded Human Resource Development Advisers (HRDAs) (now called Workforce Development Advisors but referred to as HRDAs throughout this report) to undergo a strategic review to identify necessary training requirements.</p>	<p>Delivered via the Workforce Development Programme with the assistance of HRDAs or via direct application to Welsh Government.</p>
Sector Leadership Fund	<p>The Sector Leadership Fund (SLF) supports the Welsh Government’s sector based approach and is ring fenced to Sector Skills Councils (SSCs). SSCs can apply to set up specific leadership and management training projects.</p>	<p>Ring-fenced to SSCs that can apply with project ideas directly to Welsh Government. To date, six SSCs have applied with project ideas and four have been approved.</p>

Element	Summary description	Delivery arrangements
Training and accreditation for Coaching and Mentoring	A pilot to train mentors and coaches, providing opportunities for individuals to gain skills and achieve a relevant qualification. A key focus of this element is to enable business people to train others to coach and mentor within their organisations as well as to coach and mentor others themselves.	Delivered via two contracted providers appointed by Welsh Government following a procurement exercise.
A Welsh Language on-line Diagnostic Tool	The aim of this element is to provide an on-line tool that enables employers to analyse which Welsh language skills are required by their workforce. It is also intended that this element enables employers to analyse the Welsh language skills and capabilities of their staff and to identify specific aspects which need improvement.	Managed internally by Welsh Government with technical aspects being contracted to external suppliers.

Source: Evaluation Specification and LMW Website

- 1.5 In addition to these five elements, the Welsh Government has also commissioned a consortium led by Cardiff University to operate a Centre for Excellence for Leadership and Management in Wales. The service operates under the brand 'Leadership and Management Wales' (LMW) and is financed from within the ELMS budget.
- 1.6 LMW itself does not deliver leadership and management training. Rather, its purpose is to act in an impartial way as a 'centralised resource for businesses and individual managers' aimed at raising awareness, interest and up-take of leadership and management training.
- 1.7 A separate, summative evaluation of the impact and effectiveness of the first three years of LMW's activities has been produced as part of the overall ELMS evaluation contract. The executive summary of this report is shown in **Annex 4**.

Evaluation aim and objective

1.8 The overall aim of the evaluation of ELMS is to:

‘Evaluate the impact and effectiveness of the ELMS Convergence and Competitiveness Fund projects including an evaluation of the impact and effectiveness of the Leadership & Management Wales (LMW) Centre for Excellence’⁶.

1.9 More specifically, the objective of this interim evaluation is to:

‘Determine the effectiveness of the five strands of leadership and management support available via the programme in terms of numbers assisted, management, most effective delivery model (including value for money) and quality of delivery’⁷.

Work programme

1.10 The work underpinning this interim evaluation of ELMS has involved the following elements:

- holding an inception meeting with the client steering group on Wednesday 30th May 2012
- reviewing relevant policy and strategy documents
- receiving and reviewing relevant project level documents including business plans submitted to WEFO
- developing an evaluation framework based on a programme logic model approach, identifying the intended activities, outputs, outcomes and impacts for ELMS (shown in **Annex 1**). The evaluation framework was presented in the context of a Scoping report to the ELMS evaluation steering group on 14 August 2012

⁶ Evaluation Specification.

⁷ Ibid.

- designing semi-structured discussion guides (drawing on the evaluation framework) and undertaking interviews with 41 stakeholders (listed in **Annex 2**⁸)
- analysing and drawing a survey sample from the ELMS database
- designing a survey questionnaire (drawing on the evaluation framework), agreeing this with the client, gaining survey control approval and completing telephone interviews with 200 businesses on the ELMS database that participated in a leadership and management workshop (151 businesses) or received discretionary funding via the WDP (49 businesses)⁹ (questionnaire set out in **Annex 3**)
- designing semi-structured discussion guides (drawing on the evaluation framework) and undertaking follow-up visits with 15 ELMS supported companies between October and December 2012
- analysing learner data from the 2011 ESF Leavers Survey in relation to ELMS.

1.11 As this is a long-term evaluation, the work programme will also involve annual update reports and a final, summative evaluation of ELMS in September 2015. This will be based, amongst other things, on additional survey and case study work, which will increase the samples of assisted businesses involved in the evaluation and add a longitudinal dimension to the research by re-interviewing businesses involved at this stage.

Report structure

1.12 In the remainder of this report, we:

- consider the policy framework and evidence base for ELMS (Chapter 2)
- consider the design and performance to date in relation to the ELMS programme as a whole and its five elements (Chapter 3)

⁸ 35 stakeholders are listed in Annex 2. Six Welsh Government contracted Human Resource Development Advisers (HRDAs) were also interviewed taking the total to 41. Their names are not listed in Annex 2 for the purposes of anonymity.

⁹ The detailed sampling methodology adopted is explained in chapter 4.

- provide an analysis of ELMS supported companies and individuals, including their motivations for involvement and the nature of their participation in the programme (Chapter 4)
- set out our findings in relation to quality, relevance and qualification outcomes (Chapter 5)
- set out our findings in relation to effects and impacts (Chapter 6)
- set out our interim conclusions and recommendations (Chapter 7).

2 Policy Framework and Evidence Base

2.1 In this chapter, we consider the policy context and evidence base for the development of the two¹⁰ ELMS projects. The chapter is based on analysis of key policy and research publications of relevance to the leadership and management skills agenda.

Key findings outlined in this chapter:

- A well established and supportive policy framework exists, which demonstrates that ELMS was conceived on the basis of a clear policy rationale. This is underpinned by a sound body of research which provides evidence of need.
- There was logic attached to the process of applying for ESF funding from WEFO to finance ELMS as a strategic project (with two inter-related business plans for Convergence and Competitiveness purposes).
- There is logic attached to the design of ELMS and the core elements that make-up the overall programme.
- While there is a clear policy rationale for the Welsh Language Diagnostic element (within the Welsh Medium Education Strategy), this does not fit as neatly with the ELMS package as the other elements which are more clearly linked to the leadership and management skills improvement agenda.

Policy framework

2.2 Published in July 2008, *Skills that Work for Wales*¹¹ was the (then) Welsh Assembly Government's strategy and action plan for skills and employment in Wales. It was based on the ambition of creating a 'highly-

¹⁰ Convergence and RCE.

¹¹ *Skills that work for Wales. A Skills and Employment Strategy and Action Plan.* Welsh Assembly Government. July 2008.

educated, highly-skilled and high-employment Wales' which was a vision outlined by the coalition government of the time in One Wales¹².

2.3 Of specific relevance to ELMS and LMW, Skills that Work for Wales set out as one of its priorities 'increasing the demand for, and supply of, intermediate and high-level skills, including the management, leadership and technical skills critical for success in a fiercely competitive international market'¹³.

2.4 In the context of supporting workforce development activity, Skills that work for Wales set out a commitment to establish 'a centre of excellence for leadership and management in Wales to coordinate information and drive up the quality of provision'¹⁴.

2.5 Skills that Work for Wales went on to outline the view that 'management and leadership is a key factor contributing to the success of a business. Although employers spend more on training for managers than for staff with low or no qualifications, a recent study showed that British companies spend much less on management development than their European competitors'¹⁵. It also set out the potential consequences of non-investment in higher level, leadership and management skills, stating that 'if we fail to improve workforce, leadership and management skills, and to apply those skills in the workplace, Welsh businesses will gradually find it more difficult to compete'¹⁶.

2.6 Moreover, the document stated that 'discretionary funding available through the Workforce Development Programme'¹⁷ is an important

¹² One Wales. A Progressive Agenda for the Government of Wales. An agreement between the Labour and Plaid Cymru Groups in the National Assembly. 27th June 2007.

¹³ Skills that work for Wales. Page 23.

¹⁴ Ibid. Page 54.

¹⁵ Ibid. Page 56. The research referred to was The Leadership and Management Advisory Panel, Submission to the Leitch Review, October 2006.

¹⁶ Ibid. Page 8.

¹⁷ Discretionary funding support is a key aspect of the Workforce Development Programme, which is open to all private sector employers. Working with HRD Advisors, employers undergo a strategic review and a business learning plan to identify the necessary staff development and training required to assist the business achieve key aims and objectives. Discretionary funding can be used to support a wide range of training including areas such as leadership and management, ICT, HR, customer service,

means of supporting businesses in developing the excellent leadership and management skills vital to their long-term success'. In this context, Skills that work for Wales outlined a commitment by the then Welsh Ministers to 'make leadership and management development a priority within the expanded Workforce Development Programme'¹⁸.

- 2.7 Sitting beneath Skills that Work for Wales is 'The Leading Edge for Welsh Businesses – Enhancing Leadership and Management Skills'¹⁹. This document put forward a 'case for change' which was based on evidence, which included that 'approximately 175,000 people in Wales have management or leadership roles, of which 22 per cent are self-employed. Of the rest, around 55 per cent (translates to around 75,000 managers in Wales) lack qualifications above level 3'²⁰.
- 2.8 Leading Edge went on to say that 'the aim is to stimulate demand within the private and voluntary sectors and social enterprise and to embed a culture of learning so that managers can improve as individuals and help their companies to develop and prosper. We will work to ensure that as many managers as possible have the opportunity to access leadership and management development on an on-going basis'. A key element in delivering this aim was to 'contract for a Centre of Excellence for Leadership and Management Skills in Wales' which would 'deliver policy proposals' and integrate with the (then) Flexible Support for Business programme²¹.
- 2.9 It also made clear the (then) Welsh Assembly Government's intention to 'develop a strategic ESF bid for leadership and management skills development that will include contracting for a Centre for Excellence for Leadership and Management Skills in Wales; new pilot programmes;

technical skills, etc. For the purposes of ELMS only training related to leadership and management is considered. Source: ELMS Convergence Business Plan.

¹⁸ Ibid. Page 56.

¹⁹ The Leading Edge for Welsh Businesses – Enhancing Leadership and Management Skills. Delivery Plan. August 2008. Welsh Assembly Government.

²⁰ Ibid. Page 6.

²¹ Ibid. Page 13.

improvements to existing programmes; reaching greater numbers of managers; and addressing identified areas where the development of infrastructure will ensure interventions are sustainable. Match funding will be sourced from relevant existing budgets within the Welsh Assembly Government and private sector contributions²².

2.10 In terms of alignment between Welsh Government policy priorities on leadership and management skills and ESF funding, the Skills for the Knowledge Economy Strategic Framework²³, in essence, brought these two together. For example, the Strategic Framework outlined that ESF interventions would focus on (amongst other things):

- ‘developing a reliable information source for employers and individuals to help them choose the most suitable Leadership and Management Development provision’²⁴
- ‘promotion of management and leadership development’²⁵.

2.11 In addition, the Strategic Framework also set out a number of ‘specific areas of opportunity’ one of which was the ‘provision of higher level skills in Management Development and Leadership to ensure sustainability and support to enterprises and employees’²⁶.

2.12 The Economic Renewal Programme (ERP)²⁷ set out a series of headline policy announcements in relation to economic and skills development in Wales. A key plank of the ERP related to the focusing of support to businesses on ‘six priority sectors’, namely ICT, Energy and Environment, Advanced Materials and Manufacturing, Creative Industries, Life Sciences and Financial and Professional Services²⁸

²² Ibid. Page 17.

²³ European Structural Funds 2007-2013. Strategic Framework. Skills for the Knowledge Economy: Workforce Development and Learning. ESF Convergence: Priority 3, Theme 2. Agreed, December 2009. Welsh European Funding Office.

²⁴ Ibid. Page 11.

²⁵ Ibid. Page 12.

²⁶ Ibid. Page 17.

²⁷ Economic Renewal: a new direction. Welsh Assembly Government. July 2010.

²⁸ Ibid. Page 37.

(these were later expanded to nine sectors in September 2011 after the Assembly election in May 2011²⁹). It also set out an intention (particularly in the case of business support provided by the then Department for Economy and Transport) to ‘move to an investment culture’, signalling a move away from non-repayable grants to ‘directly repayable finance’³⁰ to businesses.

2.13 Chapter five of the ERP focused on ‘broadening and deepening the skills base’. This section of the document contained two key priorities, which essentially built on Skills that work for Wales and are both of direct relevance to ELMS and LMW. These included:

- a commitment to continue support for companies through the WDP which would ‘act as a gateway to many different learning options including leadership and management training and discretionary funding to address bespoke development needs’³¹
- a commitment to ‘invest in enhanced leadership and management skills, again supported by European funds. The new Centre for Excellence for Leadership and Management in Wales will drive demand with employers and improve the quality of information and provision’³².

2.14 At a headline level, it is also worth noting that the policy commitment to invest in skills in the context of business growth and competitiveness has continued beyond the 2011 National Assembly election and into the current Labour led administration (with the Minister responsible for skills having remained consistent³³). In the Programme for Government³⁴, there is an on-going commitment to ‘support company growth through investment in skills development for the workforce’³⁵ and to ‘funding

²⁹ The three additional sectors are Food and Farming, Construction and Tourism. Source: <http://wales.gov.uk/newsroom/businessandconomy/2011/110922sectors/?lang=en>

³⁰ ERP. Page 42.

³¹ Ibid. Page 23.

³² Ibid. Page 24.

³³ Leighton Andrews AM.

³⁴ Welsh Government. Programme for Government.

³⁵ Ibid. Page 33.

programmes to stimulate sustainable growth and jobs through investing in skills, infrastructure and job creation³⁶.

- 2.15 With specific reference to the Welsh Language Diagnostic Tool, the policy context for this stems from the Welsh Government's Welsh Medium Education Strategy³⁷. Specifically, the strategy states that 'Welsh needs to be recognised as a skill in the workplace, and improved methods of recognising and achieving skill levels developed'³⁸.
- 2.16 Strategic Objective SO3.7 of the Welsh Medium Education Strategy sets out a commitment to 'promote recognition of Welsh as a skill in the workplace, and to develop opportunities for learning Welsh in the workplace'³⁹. In order to meet this objective, the strategy specifically commits the Welsh Government to developing an 'online method for assessing Welsh-language skills within the workplace' and that following on from this, the Welsh Government will 'work with partners to develop Welsh-language courses for specific workplaces having language training requirements'.
- 2.17 In addition, Strategic Objective SO3.7 sets out that education and training providers should encourage 'employers to consider and recognise the benefits of improving customer service and other functions through having Welsh-language skills in the workforce' and that Welsh Government funded Welsh for Adults Centres will 'deliver an increase in tailored Welsh-language courses for the workplace'⁴⁰.
- 2.18 While there is a clear, strategic policy objective underpinning the development and implementation of the Welsh Medium diagnostic tool, in practice, there is no explicit link between the commitment set out in

³⁶ Ibid. Page 4.

³⁷ Welsh Medium Education Strategy. Welsh Government, Cardiff. April 2010.

³⁸ Ibid. Page 18.

³⁹ Ibid. Page 18.

⁴⁰ Ibid. Page 37.

the Welsh Medium Education Strategy and leadership and management skills.

Evidence base

2.19 In addition to the policy framework which underpinned the development of ELMS and LMW, a body of research evidence also exists which supports the case for government sponsored intervention in the context of promoting leadership and management skills.

2.20 The National Learning and Skills Assessment⁴¹ set out as a priority the need 'to improve the relevance, appropriateness, reach and impact of the Management and Leadership training available'. This priority was established in response to the issue that only 40 per cent of managers in Wales in 2004 were qualified to Level 4+, whilst managers and leaders were facing increasing demands as a result of more discerning consumers, increasing competition, the knowledge economy, technology, environment, corporate social responsibility, legislation, changing career patterns and higher and more diverse employee expectations.

2.21 The increasing pressures on managers across organisations in Wales were seen to be creating an increased need for practically focused management training and development. In the National Learning and Skills Assessment, it was stated that 'while there are plenty of management and leadership training providers in Wales, they are currently reaching too few managers and not enough engage effectively with smaller employers'.

2.22 Evidence also exists from the UK Commission for Employment and Skills' Employer Skills Survey 2011 (ESS 2011)⁴² and Employer

⁴¹ National Learning and Skills Assessment Update – Statement of Priorities for Change 2007-2012 (October 2007). Welsh Assembly Government.

⁴² UK Employer Skills Survey 2011, UK Results – UK Commission for Employment and Skills, Research Report 45, July 2012.

Perspectives Survey 20120 (EPS 2012)⁴³. Both provide useful information on the context within which ELMS and LMW are being delivered and the need for the advice, information and support offered.

2.23 Awareness of the support available is clearly a critical and necessary step towards take-up. In EPS 2012, 14 per cent of employers were found to be aware of Leadership and Management Wales. However, only 15 per cent of these aware employers had made use of this support⁴⁴. This is an increase from 13 per cent and 10 per cent respectively in the 2010 survey⁴⁵.

2.24 The ESS (2011) found that one third (34 per cent) of UK establishments that offered training, and 35 per cent of establishments in Wales that offered training, offered management training (23 per cent of those with less than five employees, rising to 88 per cent of those with 250 staff or more in the UK). 45 per cent of managers had received training of any sort in the preceding year (48 per cent in Wales). This includes on-the-job and off-the-job training⁴⁶.

2.25 These findings indicate that a high proportion of organisations in Wales are not currently offering management or leadership training or development, which could be usefully served by ELMS.

2.26 The incidence of skills shortages and gaps in Wales was explored in the ESS (2011). This found that there was a significant lack of strategic management skills in job applicants, with 28 per cent of employers reporting skills shortages vacancies identifying this as the case, at least in part⁴⁷. Turning to existing staff, 19% of respondent employers in

⁴³ UK Employer Perspectives Survey 2012 – UK Commission for Employment and Skills, Survey Report December 2012.

⁴⁴ UK Commission's Employer Perspectives Survey 2012. Evidence Report 64, December 2012. IFF Research.

⁴⁵ UK Employer Perspectives Survey 2010 – UK Commission for Employment and Skills, Evidence Report 25, January 2011.

⁴⁶ UKCES Employer Skills Survey. Page 113.

⁴⁷ UK Commission's Employer Skills Survey 2011: UK Results. Evidence Report 45. July 2012. Table 5.7, page 79.

Wales said that there were skills gaps in their existing workforce in relation to strategic management skills. It is also worth noting that (UK wide) where employers said that they were encountering skills gaps in their existing workforce, they were most likely to respond to this by seeking training to address any shortfalls (62%)⁴⁸.

2.27 More recently, and during the course of this evaluation, the UKCES published its Employer Skills Survey for Wales report⁴⁹. In relation to management, some of the key findings outlined in the 2011 survey include that:

- ‘over a third of employers that trained staff in the last 12 months had arranged management or supervisory training (35 per cent and 34 per cent respectively)⁵⁰. This compared to 84 per cent that had arranged job-specific training
- in relation to skills that employers find difficult to obtain from applicants, Welsh employers cited ‘strategic management skills’ in 28 per cent of skills shortage vacancies (compared to 29 per cent for the UK)⁵¹
- in relation to skills that need improving in occupations with skills gaps, Welsh employers cited ‘strategic management skills’ in 19 per cent of skills gaps (the figure was exactly the same at a UK level). This issue was more prevalent amongst employers in South East Wales (at 22 per cent)⁵²
- in terms of skills gaps, ESS (2011) found that the ‘traditionally less skilled roles... are seen as more likely to have skills gaps than the roles that might require higher qualifications such as managers, professional groups and Associate Professionals’. This was

⁴⁸ Ibid. Figure 5.2. Page 83.

⁴⁹ UK Commission’s Employer Skills Survey 2011: Wales Results. Evidence Report 74. November 2012.

⁵⁰ Ibid. Page 94.

⁵¹ Ibid. Page 63.

⁵² Ibid. Page 76.

underlined by a finding that only 2 per cent of establishments reporting skills gaps said that these gaps related to managers⁵³

- six per cent of employers in Wales said that they had experienced retention difficulties. Of these employers, 81 per cent reported that this had implications in terms of increasing the 'strain on management of existing staff in covering the shortage',⁵⁴
- in terms of people management practices, around two-thirds of establishments gave formal job descriptions to at least some of their employees and one half of establishments had annual performance reviews for at least some staff⁵⁵
- employees in professional roles and in caring, leisure and other service roles were most likely to have received training. In contrast, managers (along with administrative, clerical and elementary occupations) were least likely to receive training (findings which are similar to the UK as a whole)⁵⁶.

2.28 While the report does not draw specific conclusions in relation to leadership and management issues, it does suggest that the picture in Wales is relatively similar to that in the rest of the UK and that there is certainly room for improvement in terms of the proportion of employers that invest in leadership and management training.

⁵³ Ibid. Page 58. Table 5.2

⁵⁴ Ibid. page 87.

⁵⁵ Ibid. Page 119.

⁵⁶ Ibid. Page 5.

3 Development of ELMS and Progress to Date

3.1 In this chapter, we consider how ELMS was developed and the progress made to date, looking at the programme as a whole as well as the individual elements. The chapter draws on analysis of key project related documents, management information and monitoring data as well as evidence from qualitative interviews with stakeholders.

Key findings outlined in this chapter:

- Both the Convergence and RCE business plans developed the ELMS concept in a coherent way and in-line with the policy rationale set out in Skills that Work for Wales and Leading Edge.
- In December 2011, ELMS was scaled back with a reduced budget and lowered output indicators. Despite lowered indicators, both the Convergence and RCE were behind profile at the mid-term point on each of the main performance indicators meaning that demand and up-take has been lower than envisaged.
- At the mid-term point, all outputs in relation to project indicators (in both Convergence and RCE) had been generated by the leadership and management workshops and the discretionary funding element via the WDP. However, it is reasonable to expect that progress against these indicators should improve and accelerate once SLF projects and the Coaching and Mentoring element are fully operational.
- At the mid-term point 20 per cent of the revised Convergence budget and 18 per cent of the revised RCE budget had been spent. The unit cost per participant was substantively below that implied in relation to revised budgets and indicators in both Convergence and RCE. In contrast, the unit cost per assisted firm was slightly above the implied unit cost in Convergence and in-line with expectations in RCE.
- Procurement processes for the workshop, coaching and mentoring and Welsh language diagnostic strands had all been undertaken at the mid-term point and had resulted in appropriately qualified external delivery

providers being commissioned. In the case of the coaching and mentoring element and the SLF (which was ring-fenced to SSCs), both were delayed for various reasons.

- Four SSC led SLF projects had been approved, with two of these active at the mid-term point, one of which was subject to delays in getting underway post approval.
- Progress had been made in developing the Welsh Language Diagnostic tool which was undergoing user testing at the time this interim evaluation was carried out.
- No outputs had been recorded by either the Convergence or RCE project at the mid-term point in relation to the cross-cutting theme indicators relating to equality strategies and sustainable development.

Development of ELMS

WEFO business plans

- 3.2 The starting point for the review of how ELMS has been developed focuses on the Business Plans which were submitted to WEFO for European Structural Funding during 2010. Two business plans were submitted, the first of which related to Priority 3, Theme 2 of the Convergence ESF Programme for West Wales and the Valleys. The second related to Priority 2 of the Regional Competitiveness and Employment ESF Programme for East Wales.
- 3.3 Both business plans set out details of how the five strands of ELMS (plus the LMW Centre for Excellence) would be delivered with the express aims of:
- building greater capacity and volumes on the Leadership and Management Workshops programme by improving awareness and skills in operational and strategic management disciplines

- building capacity and take up on the Workforce Development Discretionary Funding Programme providing direct grants towards employer commissioned skills training programmes
- training in, and providing accreditation to individuals wishing to develop skills in, coaching and mentoring to work with employers and managers to improve their skills for the benefit of themselves, companies and for the economy of Wales
- delivering a pilot project to five sectors via a diagnostic programme for individuals and managers, where a company diagnostic has identified leadership and management needs
- delivering two diagnostic tools to identify Welsh language skills requirements of posts and to assess Welsh language skills of employees
- supporting and delivering the Centre for Excellence for Leadership and Management Skills in Wales to provide a centralised resource for businesses and individual managers and improve and deliver the objectives outlined⁵⁷.

3.4 Sitting beneath these aims a series of performance indicators were set out in the business plans. These original indicators (which were later revised) are summarised in **Figure 3.1**.

⁵⁷ Convergence Business Plan. Page 13.

Figure 3.1: Original ELMS Performance Indicators

	Original Convergence indicator	Numbers Original RCE indicator
Participants	24,605	18,475
Participants gaining a qualification	2,351	1,765
Participants entering further learning	2,460	N/A
Learning and development strategies	1	N/A
Employers assisted/ Financially supported	9,285	6,910
Employers adopting or improving equality and diversity strategies and monitoring systems	210	140
Projects delivering specialist training in sustainable development	1	1

Source: WEFO Claim Form Reports

3.5 This shows that the combined original indicators were to engage with some 43,080 learner participants and 16,195 companies across Wales.

3.6 In terms of the budget for ELMS, **Figure 3.2** summarises the original financial approvals:

Figure 3.2: Original ELMS Budget

	ESF approved	Welsh Government match funding	Gross expenditure approved	£million ¹ Gross private match (Income)
Convergence	15.6	21.7	37.3	9.5
RCE	9.4	18.7	28.0	7.9
Total	25.0	40.3	65.3	17.4

Source: WEFO Claim Form Reports

1.To one decimal place

3.7 In December 2011, the Welsh Government (based on an internal discussion paper) made a number of key alterations to the ELMS project which included ending exploratory work into the proposed Management Diagnostic programme and reducing the allocation of funding to both the discretionary fund and workshop strands to reflect the lower than anticipated up-take.

3.8 Subsequent revisions were made to the funding and indicator profiles for ELMS, with revised funding letters issued to Welsh Government from WEFO in January 2012 to confirm these alterations⁵⁸.

3.9 The revised funding letters detail changes as set out in **Figure 3.3**.

Figure 3.3: Revised ELMS Budgets

	Revised ESF	Revised Welsh Government match funding	Revised gross expenditure	£million* Gross private match (Income)
Convergence	8.9	12.2	21.1	5.8
RCE	5.7	11.4	17.1	5.0
Total	14.6	23.6	38.2	10.8
<i>Change against original budget (percentage)</i>	<i>-42</i>	<i>-41</i>	<i>-42</i>	<i>-38</i>

Source: Revised funding letters

* To one decimal place

3.10 This represents a reduction of 42 per cent in the overall scale of ELMS. In-line with this reduction in the overall budgets for Convergence and RCE, the funding letters also confirmed alterations to performance indicators, with the headline targets relating to participants and employers each being reduced by between 37 per cent and 40 per cent as summarised in **Figure 3.4**.

⁵⁸ Two funding letters outlining amendment to the funding agreements in respect of the RCE project (Case ID c80335) and Convergence project (Case ID c80232) were issued by WEFO to Welsh Government on 12th January 2012.

Figure 3.4: Revised ELMS Performance Indicators

	Revised Convergence indicator	<i>Change against original (percentage)</i>	Revised RCE indicator	Numbers <i>Change against original (percentage)</i>
Participants	15,331	-38	11,594	-37
Participants gaining a qualification	1,411	-40	1,059	-40
Participants entering further learning	Target removed	N/A	Target removed	N/A
Learning and development strategies	Target removed	N/A	Target removed	N/A
Employers assisted/ Financially supported	5,788	-38	4,348	-37
Employers adopting or improving equality and diversity strategies and monitoring systems	210	0	124	-11
Projects delivering specialist training in sustainable development	1	0	1	0

Source: WEFO Revised Funding Letters 12th January 2012

3.11 Combined, these revised indicators outline that ELMS will still need to engage with 26,925 learner participants (original target of 43,080) and 10,136 companies (original target 16,195) across Wales. We analyse mid-term performance against these revised indicators and expenditure against revised budgets in more detail further on in this chapter.

Indicators and expenditure

Progress to date – Convergence

3.12 Taking the Convergence project first, progress as of June 2012 (the half-way point of the project) was behind profile (based on a flat performance

profile for years 2-5 with slightly lower targets in year 1⁵⁹) in relation to the overall number of participants at 37 per cent, while progress to date in relation to participants gaining qualifications and the number of employers supported (at 21 per cent and 17 per cent) was concerning and suggests that the pace will need to be increased in the second term. This suggests that the ratio of employers to participants is different (with a higher number of participants per business than originally envisaged). It might also mean that ELMS had engaged fewer small businesses than originally envisaged.

- 3.13 It is of course likely that progress in terms of individuals gaining qualifications is somewhat delayed and that progress in relation to this indicator could pick up as participants complete their leadership and management courses. While it was only ever expected that a minority of participants (9 per cent) would gain qualifications, the current 'conversion rate' between participants engaged and participants gaining qualifications (at 5 per cent) was lagging behind this.
- 3.14 The number of participants recorded had increased each quarter since the project began, with an average of 564 participants per quarter being registered. As of June 2012, the project still needed to achieve 9,692 registered participants to achieve its revised target of 15,331. With 13 quarters remaining (as of June 2012), this implies a need to achieve an average of 746 participants per quarter i.e. an increase of 182 participants per quarter.
- 3.15 In contrast, the pattern in relation to employers assisted was less consistent. After an initial steady increase in each of the first six quarters and a high of 178 employers assisted in the quarter ending June 2011 the number of new employers assisted decreased to just 47 in the quarter ending March 2012. This did pick up again in the quarter ending June 2012 to 94.

⁵⁹ Source: ELMS Convergence Business Plan Pages 17, 19, 19 and 20.

3.16 Overall progress towards the revised target for employers assisted in the Convergence project was therefore sluggish, as shown in **Figure 3.5**, and suggests that fewer employers were sending a higher number of individual participants on the workshops and on courses funded via the discretionary element than was originally envisaged.

3.17 It is also notable that no outputs in relation to businesses adopting equality strategies had been recorded as of June 2012 and this is clearly concerning in relation to the achievement of the project's cross-cutting theme commitments.

Figure 3.5: Progress against Convergence Indicators

Indicator	Revised target	Cumulative achievement as of June 2012	Numbers
			<i>Proportion achieved (percentage)</i>
Participants	15,331	5,639	37
Participants gaining qualifications	1,411	303	21
Employers assisted/Financially supported	5,788	1,000	17
Equality strategies	210	0	0
Projects delivering specialist training in sustainable development	1	0	0

Source: WEFO Claim Forms

3.18 It would seem reasonable for the Welsh Government to expect an up-turn in performance across the three headline indicators during the second term of the project (of participants, qualifications and employers assisted) now that the Coaching and Mentoring strand is fully on-stream and as the SLF projects start to establish themselves.

Progress to date – RCE

3.19 Turning to the RCE project, this was slightly ahead of the Convergence project in relative terms on the participant indicator (42 per cent against

37 per cent), but overall, was still just behind profile at the mid-term point (again assuming a flat performance profile). Quarterly participant numbers have been steady throughout (average of 487 per quarter) with a significant peak in the quarter ending June 2012 (the latest for which we had data) at 989.

3.20 As with the Convergence project, the conversion between participants and those gaining qualifications was low at 3 per cent compared to the 9 per cent needed to meet the target. As such, an up-turn in performance will be required during the early part of the second term of the project based on the Coaching and Mentoring and SLF elements coming fully on-stream.

3.21 Again, as with the Convergence project, the number of employers assisted to date (at 787) was low in relation to the overall target at the half way point and this will also need to be monitored closely during 2013. The quarterly reports do not show any pattern in terms of the number of employers being assisted in the RCE project. After an initial strong start (with 145 and 136 assists in the quarters ending March and June 2010), the quarterly numbers had, apart from one quarter (ending September 2011) been on a downward curve dropping to a low of just 10 in the quarter ending March 2012 and only recovering to 63 in the quarter ending June 2012.

3.22 Finally, it is a concern that at the mid-way point, no outputs had yet been registered against the equality strategy indicator in the RCE project as shown in **Figure 3.6**.

Figure 3.6: Progress against RCE indicators

Indicator	Revised target	Cumulative achievement as of June 2012	Numbers
			Proportion achieved (percentage)
Participants	11,594	4,865	42
Participants gaining qualifications	1,059	163	15
Employers assisted/ Financially supported	4,348	787	18
Equality strategies	124	0	0
Projects delivering specialist training in sustainable development	1	0	0

Source: WEFO Claim Forms

Expenditure to date – Convergence

3.23 Turning to the Convergence project's expenditure profile, **Figure 3.7** summarises the cumulative position as of June 2012. Based on analysis of the claim forms submitted to WEFO, 20 per cent of the revised overall budget had been spent as of June 2012.

Figure 3.7: Overview of expenditure to date – Convergence

	£million
Revised gross expenditure	21.1
Cumulative gross expenditure as of June 2012	4.2
<i>Proportion of gross expenditure (percentage)</i>	<i>20</i>

Source: WEFO Claim Forms

3.24 There are a number of themes emerging from this analysis, which Welsh Government officials are aware of and which have informed their thinking around the re-profiling exercise.

3.25 Firstly, it is clear that the ELMS project has not spent as much money as was envisaged in the original business plan. The under-spend in the early part of the project can be attributed to a number of factors, not least that the Coaching and Mentoring and SLF elements took longer to establish than anticipated. It is also apparent from the available monitoring information that overall demand for and up-take of the

workshops and discretionary elements has been lower than expected – which also partially accounts for the under-spend.

3.26 It is also likely that demand for funding for leadership and management training via the ELMS discretionary route may have been lower, due to the availability of similar or the same training with more generous funding via Skills Growth Wales.

3.27 This level of expenditure must also contextualise the progress made in relation to indicators. In that respect, it is encouraging that having only used 20 per cent of the budget in the Convergence area, 42 per cent of the participant target has been met. In contrast, the level of budget used (at 20 per cent) is broadly in-line with the outputs achieved in terms of employers engaged (at 18 per cent).

3.28 **Figure 3.8** outlines unit costs for the Convergence project based on the original business plan, the revised (existing) expenditure and indicator figures and the actual position at mid-term.

Figure 3.8: Unit cost analysis – Convergence project

Indicator	Participants	Employers assisted	£
Original unit cost	1,515		4,015
Revised unit cost	1,374		3,639
Actual mid-term unit cost based on revised budget and indicators	741		4,177
<i>Variance (actual against revised) (percentage)</i>		-46	15

Source: Business Plan and Quarterly Return Data

3.29 Figure 3.8 shows that the actual unit cost to date in terms of participants was substantially less than the implied figure based on the revised project indicators and budget. In contrast, the cost per unit for assisted firms was slightly above the implied unit cost. This underlines the lower than expected performance in terms of individual participant numbers but also suggests higher than anticipated repeat usage by assisted

companies, which in turn suggests the need for ELMS to focus on targeting new companies and participants going forward into the second term.

Expenditure to date – RCE

3.30 A similar pattern emerges in the RCE project, where 18 per cent of the total (revised) budget had been used as at June 2012, as shown in **Figure 3.9**, with the reasons for the under-spend being the same as for the Convergence project.

Figure 3.9: Overview of expenditure to date – RCE

	<i>£million</i>
Revised gross expenditure	17.2
Cumulative gross expenditure as of June 2012	3.1
<i>Proportion of gross expenditure (percentage)</i>	<i>18</i>

Source: WEFO Claim Forms

3.31 As with the Convergence project, it is encouraging that for 18 per cent of the budget, 42 per cent of the participant target has been achieved. Taken with the lower achievement in terms of employers engaged in RCE (at 18 per cent) this mirrors the pattern in Convergence suggesting that employers are sending a higher number of participants than envisaged on workshop and discretionary fund provision.

3.32 **Figure 3.10** outlines unit costs for the RCE project based on the original business plan, the revised (existing) expenditure and indicator figures and the actual position at mid-term.

Figure 3.10: Unit cost analysis – RCE Project

Indicator	Participants	Employers assisted	£
Original unit cost	1,516		4,055
Revised unit cost	1,478		3,908
Actual mid-term unit cost based on revised budget and indicators	636		3,930
<i>Variance (actual against revised) (percentage)</i>	<i>-57</i>		<i>1</i>

Source: Business Plan and Quarterly Return Data

3.33 Figure 3.10 shows a very similar picture to the Convergence project, with the unit cost per participant significantly down against the implied amount and slightly above (but only by 1 per cent) for the unit cost in relation to company assists. As with Convergence, this implies lower than expected levels of participant demand and multiple usage by assisted firms.

Development and progress to date – Individual elements

3.34 In this section, we look at the development of each of the ELMS elements. For the two elements that were active during the interim evaluation (the workshops and the discretionary fund), we focus on their development stages and assess their progress in the context of survey and qualitative evidence in chapter 4. For the other strands (SLF, Coaching and Mentoring and the Welsh Language Diagnostic Tool) where it was too early to get the perspective of assisted companies, we also provide an overview of stakeholder perspectives on progress to date.

The Leadership and Management Workshops

3.35 In considering how the Leadership and Management Workshops were developed, we examined the specification⁶⁰, issued by the Welsh Government March 2010 to commission this element of the programme.

3.36 The specification (issued as an invitation to tender document) split the workshop contract into four spatial lots⁶¹ with the delivery contracts covering the period 1st June 2010 to 31st March 2014⁶². The aim of the service was outlined as being 'to secure the delivery of Leadership and Management Development Workshops through the recruitment of a network of providers'⁶³. The specification also outlined the indicative budget to be spent on the workshops over the contract period.

3.37 The specification set out that tenderers were required to 'deliver training workshops that are mapped against National Occupational Standards (NOS)'. Moreover, it was made clear in the specification that providers would be required to 'undertake their own marketing and communications activity to engage with organisations and to promote the benefits of the...provision'⁶⁴ and that the workshop provision itself would be split into two levels (and that tenderers would need to be able to offer both) as follows:

- 1) Operational: Team Leader, First Line and Middle Management.
- 2) Strategic: Senior Management⁶⁵.

3.38 The specification also set out the pricing structure for the delivery of the workshops (including the contribution required from participating employers) and that KPIs would be set for each contractor, which would include, but not be restricted to numbers of:

⁶⁰ Invitation to Tender. Specification for Leadership and Management Development Workshops Tender. Contract No 248/2007/08

⁶¹ Bidders were able to submit proposals for delivering multiple lots.

⁶² Ibid. Page 4.

⁶³ Ibid. Page 5.

⁶⁴ Ibid. Page 11.

⁶⁵ Ibid. Page 6.

- SMEs supported
- large organisations supported
- SME participants
- large organisation participants
- female participants
- older participants (defined by WEFO as 50 and over)
- qualifications achieved⁶⁶.

3.39 Following the open procurement process, 12 providers were appointed to deliver the workshop provision by the Welsh Government. The list of providers is as follows:

⁶⁶ Ibid. Page 8.

Figure 3.11: List of Workshop Providers Appointed

Area	Appointed Providers
North Wales	Awbery Management Centre Consult Capital Learning to Inspire The Group The Management Centre, Bangor Business School
Mid Wales	BPI Training Consult Capital Learning to Inspire
South West Wales	Awbery Management Centre Centre for Business Consult Capital Learning to Inspire TSW Training Ltd
South East Wales	BPI Training Centre for Business Coleg Gwent Consult Capital Engineering Employers Federation ⁶⁷ Fix Training Learning to Inspire University of Glamorgan Commercial Services (UGCS)

Source: LMW Website

3.40 At mid-term point the Leadership and Management workshop element was well established (in part because it built on a long-standing element of Welsh Government contracted skills provision) and had contributed the bulk of the outputs achieved by ELMS. The effectiveness and impact of the Workshops is considered in more detail in chapter 4.

Discretionary Funding through the Workforce Development Programme (WDP)

3.41 This element of ELMS is unique since it channels funding via the pre-existing WDP programme specifically for leadership and management

⁶⁷ An umbrella organisation representing UK manufacturers.

training. As such, this element of the project did not require the procurement of a new delivery structure. Rather, the emphasis has been on working with HRDAs to promote the scheme to employers as part of the diagnostic review and training plans put in place.

- 3.42 The business plan explains that ‘around half of the training undertaken via discretionary funding route is in Leadership and Management Development subject areas that can be described as management and leadership relevant. It is only this element which is being included and volumes increased in this ESF project’⁶⁸.
- 3.43 To access discretionary funding HRDAs can ‘source a range of suppliers with the best credentials that deliver training to meet companies identified needs’⁶⁹. In order to assist HRDAs and companies to come forward with relevant proposals for training that falls under the leadership and management category, the Welsh Government has produced and distributed a list of course subjects that are considered eligible (and ineligible) for financial assistance.
- 3.44 In terms of eligibility criteria, companies with 10 employees or more (and that work with an HRDA) are eligible to receive 50 per cent discretionary funding (of up to £50,000, £10,000 or £5,000 depending on the size of the business) to support leadership and management development⁷⁰.
- 3.45 Businesses with nine or fewer employees, those with Investors in People (IiP) accreditation or those that do not require the support of an HRDA have the option of applying directly (via the LMW website) for discretionary funding⁷¹.
- 3.46 The effectiveness and impact of the Workshops is considered in more detail in chapter 4.

⁶⁸ ELMS Convergence Business Plan. Page 9.

⁶⁹ Ibid Page 41.

⁷⁰ Source: LMW website.

⁷¹ Ibid.

The Coaching and Mentoring Skills Pilot Programme

3.47 Next, we consider the Coaching and Mentoring Skills Programme⁷². A procurement exercise for this element was completed in June 2012.

3.48 The specification for the Coaching and Mentoring elements set out that the ‘pilot programmes procured through this contract to train coaches and mentors will provide an opportunity for employed individuals to achieve the relevant skills and qualifications to provide support to managers and businesses, and to train others to mentor and coach within their organisation, and offer coaching and mentoring to other businesses in the wider Welsh Economy’⁷³.

3.49 The aim of the contract (envisaged initially as being for an 18 month period⁷⁴) was set out as being to ‘stimulate further private sector demand for the development of its leaders and managers, through direct engagement and through the development of a more unified and cohesive approach to the delivery of leadership and management support in Wales’. The ITT contextualised the need for a more cohesive approach by stating that ‘there are many organisations involved in leadership and management development. We are seeking to work with one contractor or consortium for the Coaching and Mentoring Skills Training Programme’⁷⁵.

3.50 In addition, the specification made clear that ‘it is hoped participants on the programme will use their newly acquired skills to support individuals within their own organisations and to coach and/or mentor others’. This was in line with the aspiration set out in the business plan to ‘train and provide accreditation to individuals wishing to develop skills in coaching

⁷² Invitation to Tender. Specification for Coaching and Mentoring Skills Training Programme. Contract No C-121/2010/11

⁷³ Ibid. Page 6.

⁷⁴ Ibid. Page 8.

⁷⁵ Ibid. Page 6.

and mentoring to work with employers and managers to improve their skills for the benefit of themselves, companies and for the economy of Wales'⁷⁶.

3.51 It is also worth noting that the specification stated that the Welsh Government was 'seeking to work with one contractor or consortium for the Coaching and Mentoring programme'⁷⁷ across Wales and that the appointed contractor would be 'required to undertake their own marketing and communications activity to engage with organisations and to promote the benefits of the programme'⁷⁸.

3.52 In terms of delivery, the specification set out that 'the Competitiveness area will be expected to support as a minimum 60 individuals (per annum) of whom 55 per cent should be female. The Convergence Area will be expected to support as a minimum 90 individuals (per annum) of whom 45 per cent should be female'. A minimum target of 75 organisations per annum was set for this element of the programme (though based on the need to achieve a target of 150 delegates per year and the assumption that one delegate per firm would attend, the minimum number of businesses needed to achieve this in practice was also 150 per annum⁷⁹.

3.53 Moreover, the specification set out a number of KPIs, including that:

- the programme should be delivered to a minimum of 150 delegates per year, 60 per cent of whom should be from the Convergence area and 40 per cent from the RCE area
- all delegates should receive a qualification, with 75 per cent achieving a level 3 qualification and train the trainer aspect and 25 per cent receiving the highest possible qualification and train the trainer aspect

⁷⁶ Convergence Business Plan. Page 13.

⁷⁷ Ibid. Pages 5 and 6.

⁷⁸ Ibid. Page 11.

⁷⁹ Ibid. Page 8.

- only one delegate will attend per business (meaning that in practice, 150 companies per annum will also need to be engaged rather than the 75 minimum implied in the specification).

3.54 In the event, following the procurement process which was delayed, the Welsh Government decided to appoint two contractors for the Coaching and Mentoring element. Learning to Inspire (who also deliver ELMS leadership and management workshops) and Worth Consulting were appointed during the summer of 2012. Both contractors are experienced in providing coaching and mentoring services.

3.55 At the time fieldwork was undertaken for this interim evaluation, the Coaching and Mentoring element was still effectively bedding in and as such, we were not in a position (during autumn 2012) to include assisted companies or individuals from this element of the programme in our survey.

3.56 However, all of the stakeholders that we interviewed were aware that the Coaching and Mentoring element had been commissioned and were of the view that it was a worthwhile concept to pursue, although some (a minority) were more sceptical than others about the potential to successfully 'cascade' coaching and mentoring to others within companies, arguing that a different skill set was required for delivering training in coaching and mentoring than from actually undertaking coaching and mentoring.

3.57 Several of the HRDAs we interviewed said that they looked forward to hearing more about the service and the two contracted providers and to potentially referring some of their clients.

3.58 The two appointed providers both had clear operational plans in place to implement the Coaching and Mentoring element, though one of the providers had more established links with existing networks (e.g. via HRDAs) to be able to draw on than the other. It was also encouraging to

note that there had been constructive, initial dialogue between the two contracted providers (on the general approach to be taken to promotion, recruitment, handling of referrals and delivery), though in practice delivery on the ground will be separate.

The Sector Leadership Fund (Leadership and Management Development)

3.59 Given that the SLF was always intended as a ring-fenced fund for SSCs, the model for implementing this strand was slightly different, with direct proposals being sought from SSCs interested in delivering SLF projects.

3.60 Proposals have been received from 12 SSCs, of which at the time of the interim evaluation, four had been approved. These four are summarised in **Figure 3.12**:

Figure 3.12: Summary overview of approved SLF projects

Lead SSC	Project title	Intended delivery timeframe	Total approved budget	Summary of aims and outputs
SEMTA	Leadership and Management in High Performance Companies	1.09.11 to 31.03.13	£100k	<p>Targeted at promoting High Performance Working practices (HPW) within companies in the manufacturing sector. The aim is to embed Strategic Workforce Planning into the 'business cycles' of companies. The project also aims to establish a group of leadership and management specialists (providers), developing higher competencies amongst their (provider) staff to support Senior Managers in companies adopt the characteristics of HPW firms. This will be underpinned by CQFW qualifications.</p> <p>The project aims to support:</p> <ul style="list-style-type: none"> 12 companies (8 SMEs and 4 large firms) 10 training providers who will be developed as part of the project.
Improve	Food Manufacturing Excellence in Wales	01.04.12 to 31.12.14	£471k	<p>The project will deliver flexible 'bespoke' management training programmes for the food and drink (manufacturing) industry in Wales. The project aims to deliver accredited qualifications from Level 4 to Level 7.</p> <p>The project aims to support:</p> <ul style="list-style-type: none"> 50 companies 200 participants A provider network (of 8 providers)
Asset Skills	Leadership and Management in Facilities Management	01.07.11 to 31.03.13	£95k	<p>To develop and pilot a programme of workshops at levels 4 and 5 (relevant qualification to be decided and developed). Develop the procurement and management skills of employees. The project aims to support:</p> <ul style="list-style-type: none"> 60 employers

Lead SSC	Project title	Intended delivery timeframe	Total approved budget	Summary of aims and outputs
	and Sustainable Procurement Skills' project			210 participants accessing L4/5 training/achieving qualification Procure two training providers and training materials.
Care and Development	Leadership in Practice	01.05.12 to 01.11.14	£219k	To improve the leadership and management skills of managers in the social care sector that are required to be registered (non statutory) with the Care Council for Wales in order to continue to practice. Specifically, the project will target managers in: Adult residential care homes Residential childcare homes Domiciliary care services The project aims to support: 400 participants

Source: SSC application forms submitted to Welsh Government

- 3.61 Despite the ring-fenced nature of the SLF, Welsh Government officials felt that it had been challenging to initiate the SLF given that the concept depended on sector specific proposals being brought forward by SSCs. For example, one stakeholder during our fieldwork explained that some proposals which came forward were not thought to be particularly sector specific and were arguably too 'generic' in nature. As a result, the process of scrutinising and approving SLF proposals had taken longer than anticipated and at the time of our fieldwork for the interim evaluation, only two SLF projects (SEMTA and Asset Skills) were operational.
- 3.62 It is also notable from Figure 3.12 that there are significant differences in the approved budget levels for some of these SLF projects with apparently similar outputs levels. We intend to explore this further as part of the on-going evaluation.
- 3.63 In terms of the process of assessing SSC proposals, officials involved in managing ELMS consulted with internal colleagues involved in overseeing the implementation of the Sector Priorities Fund Pilot (SPFP) who advised on the extent to which the content of SLF applications complemented work (including labour market intelligence commissioned) via the SPFP itself.
- 3.64 To date, only two SSCs (Asset Skills and SEMTA) have both SPFP and SLF projects and the respective projects focus on different aspects of skills development within their footprints. The Asset Skills SPFP project focused on developing level 2 and 3 apprenticeship frameworks, while its SLF project intends to focus on level 4 and 5 training aimed specifically at improving procurement and management skills. The SEMTA SPFP project (Tailor Made Training) aimed to create a virtual manufacturing skills academy with customised training packages for companies and employees, while its SLF project is aimed at the introduction and adoption of HPW practices.

3.65 This difference in focus implies that the SLF 'offer' from these two SSCs should be quite different to that available via their SPFP projects. We will explore this further in future stages of the evaluation.

3.66 At the time of our fieldwork, SEMTA were in the process of starting to engage with the 12 leadership and management workshop providers via a series of briefing sessions on the SLF project. The aim of these workshops would be to build provider interest and capacity in the high performance working (HPW) concept and to work with them to jointly identify and subsequently target participating companies within the manufacturing sector.

'This project is about improving the capacity of providers and how they deliver their leadership and management offer'.

3.67 This process of building provider understanding and capacity will be the focus of the SEMTA project for the coming six months and thereafter the emphasis is expected to shift to delivering with selected companies. At the mid-term stage, SEMTA were of the view that the delivery timescale for the second part of the project (i.e. training companies) might become tight and that an extension to the timescale may be required.

3.68 In terms of progress with the Asset Skills project, there had been a number of early delays, driven in part by issues in agreeing and signing the contract and thereafter by a staff illness within the SSC. This meant that the delivery time-frame for the project had become condensed and as a result, the Welsh Government had agreed to a six month extension to the timetable. Following an open procurement process, Asset Skills appointed Awbery Management as the delivery provider for its SLF project.

3.69 At the time of our fieldwork, Asset Skills reported that 15 managers from seven employers (six in South East Wales and one in North Wales) were enrolled on the project with Awbery. Asset Skills Wales' Manager was of

the view that demand for the project may be lower than anticipated (following early indications of strong interest and demand from sector employers) partly because of the delays in getting the SLF project up and running, which (in their view) would have led to managers seeking more generic forms of leadership and management training from elsewhere.

3.70 In terms of the Improve and Care and Development SLF projects, neither of these projects were operational at the time of our fieldwork. We will report on progress in respect of these two projects in the annual update reports as part of the on-going evaluation.

3.71 There was some awareness of the SLF amongst the HRDAs and providers we interviewed as part of the interim evaluation, though in the main stakeholders were largely unsighted as to the detailed aims and objectives of the individual projects in the pipeline.

The Welsh Language Diagnostic Tool

3.72 The tender specification for the web-based Welsh Language Skills Diagnostic Tool⁸⁰ explained that in 2008 the (former) Welsh Language Board had published a practical guide for employers wishing to develop a Welsh Language Policy which ‘advises employers to assess the existing language skills of employees’ and to ‘develop those skills to meet the requirements of their posts’. However, the specification went on to say that ‘at present, there is no practical means to enable employers to achieve these policy aims’⁸¹.

3.73 In response to this, the Welsh Government, (via the tender specification) set out to commission a Welsh Language Skills Diagnostic Tool. The specification made it clear that the content for the tool would be

⁸⁰ Specification for the Development of a web-based Welsh Language Skills Diagnostic Tool. Contract No: C-252/2009/10.

⁸¹ Ibid. Page 2.

developed separately in an agreement with the Welsh Joint Education Committee (WJEC), with the technical aspects to be completed by the out-sourced contractor.

3.74 The specification for the technical elements was split into two sections. Section one (referred to as the Management Diagnostic Tool) was intended to ‘allow employers to analyse which Welsh language skills are required by their workforce and to recognise posts within their organisations which should be targeted’. Section two (referred to as the Skills Diagnostic Tool), was intended to give ‘employers the means to analyse the present Welsh language skills of staff and to focus on aspects which need improvement’⁸².

3.75 The tender specification set out a number of technical requirements for the appointed contractor, which included:

- constructing the website and hosting the two diagnostic tools
- hosting the website itself
- developing a content management system (CMS) for the Management Diagnostic to provide immediate results and reports on Welsh language skills requirements of posts
- develop a CMS for the Skills Diagnostic with the capability to test reading, writing, speaking and listening skills in Welsh⁸³.

3.76 Following the procurement process, ‘Fusionworkshop’ was appointed to deliver the contract.

3.77 At the time of our fieldwork for this interim evaluation, both elements of the Welsh Language Diagnostic tool were functional and were (during autumn 2012) being tested by Welsh Government and WJEC officials and members of a steering group set up to oversee the project and a handful of employers (including a Police Authority and a University)

⁸² Ibid. Page 2.

⁸³ Ibid. Page 3.

which had been selected from an initial focus group to help inform and shape the design of the project.

3.78 We understand that the next phase will be to evaluate the results of these tests, make any necessary alterations and undertake a 'soft launch' with a larger group of the 60 or so organisations that attended the initial focus group. After this, the intention will be to have a more formal launch of the diagnostic, at which point a link will also be placed on the Business Wales website.

3.79 The Welsh Government official leading the Welsh Language Diagnostic project acknowledged that in the first instance, the tool will be attractive to employers that have a statutory Welsh language scheme in place, but that it has been designed with a view to having value and application for private sector businesses.

3.80 The diagnostic tool will also be promoted via the HRDA network with the aim of 'normalising its use' in due course.

4 ELMS Supported Companies and Learners. Overview, motivations for involvement and nature of participation

4.1 In this chapter, we consider the nature of ELMS supported companies and individual learners as well their motivations for involvement and the nature of their participation. This draws on evidence from:

- the telephone survey with supported companies
- follow up qualitative visits to assisted companies and participants
- qualitative interviews with Welsh Government officials, contracted delivery providers, HRDAs and other stakeholders
- analysis of learner data from the 2011 ESF Leavers Survey.

Key findings outlined in this chapter:

- At the mid-term point, the two active elements of ELMS (the workshops and discretionary fund) had assisted a wide range of Welsh companies in terms of size and sector, broadly in-line with the original aims of the programme.
- In line with the objectives of ELMS to up-skill people already in work, the vast majority of participating respondents (94 per cent) said that they were employed and well-established in the labour market.
- The most common way for assisted companies to get to know about ELMS provision was via learning providers. HRDAs are more likely to have referred assisted companies to the discretionary fund element than the workshop element. Feedback from assisted companies on the role of HRDAs in the context of ELMS was positive.
- Motives for involvement (from a company perspective) in the workshops were largely driven by the relevance of events and as ‘enablers’ to achieving specific objectives. This was consistent across Convergence and RCE.
- The employer’s decision and influence has been relatively important (though not exclusively so) in terms of individual participation with a

majority of ESF Leavers Survey respondents saying that the employer had requested or required them to attend the ELMS training.

- Improving senior managers' leadership and management skills, improving products or processes, and improving staff relations and morale were the top three expectations from the workshops for Convergence and RCE assisted companies.
- For the discretionary funding element, improving senior managers' leadership skills was the top expectation in the case of companies in the Convergence area and improving products or processes was the principal expectation in the case of companies in the RCE area. The majority of companies assisted by discretionary funding had a clear idea before-hand of how newly gained skills would be applied.
- Relatively few individual participants reported that their main motivation in undertaking the training was the expectation that it would lead to specific improvements in their personal position at work, while obtaining qualifications ranked very low amongst the motivations for individual participants – many of whom already possessed higher level qualifications.
- Each assisted firm sent on average four people to the workshops. Most were likely to be Directors/Senior Manager or Middle Managers. The average number of participants in discretionary funded training was higher per company than for the workshops at five per company in Convergence and substantively higher at 15 per company in RCE.

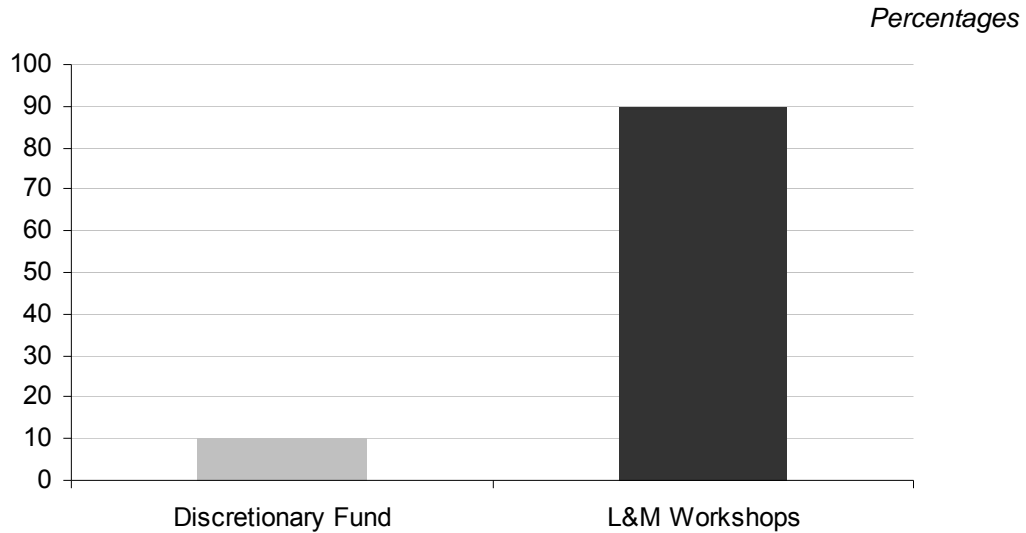
Analysis of ELMS supported companies

4.2 We now turn to consider the profile of businesses supported by ELMS as recorded on management information via the combined project database. In total, there were 2,314 company entries on the database provided to us for analysis in August 2012.

4.3 All 2,314 of the companies on the database had either sent staff on leadership and management workshops (2,080 companies or 90 per cent) or had received discretionary funding for leadership and

management training via the WDP (234 companies or 10 per cent), as shown in **Figure 4.1**.

Figure 4.1: Nature of assistance received

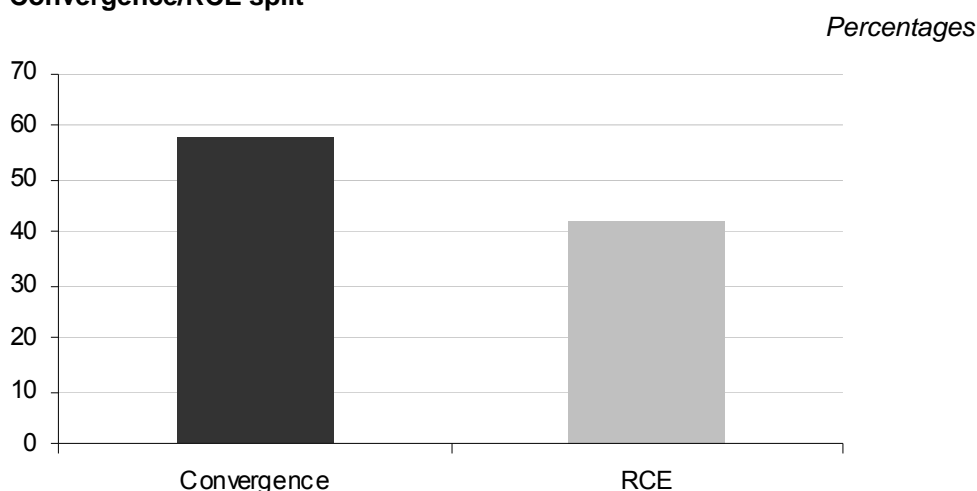


Source: Welsh Government ELMS Database. August 2012. Base 2,314

4.4 At the time the interim evaluation was undertaken, there were no entries on the project database relating to the Coaching and Mentoring or the SLF strands, though companies supported by these elements will participate in the on-going evaluation.

4.5 In terms of the split of companies recorded on the ELMS database across the Convergence and RCE project areas, 1,334 (58 per cent) were located in the Convergence area, while 980 (42 per cent) came from within the RCE area, as shown in **Figure 4.2**.

Figure 4.2: Convergence/RCE split



Source: Welsh Government ELMS Database. August 2012. Base 2,314

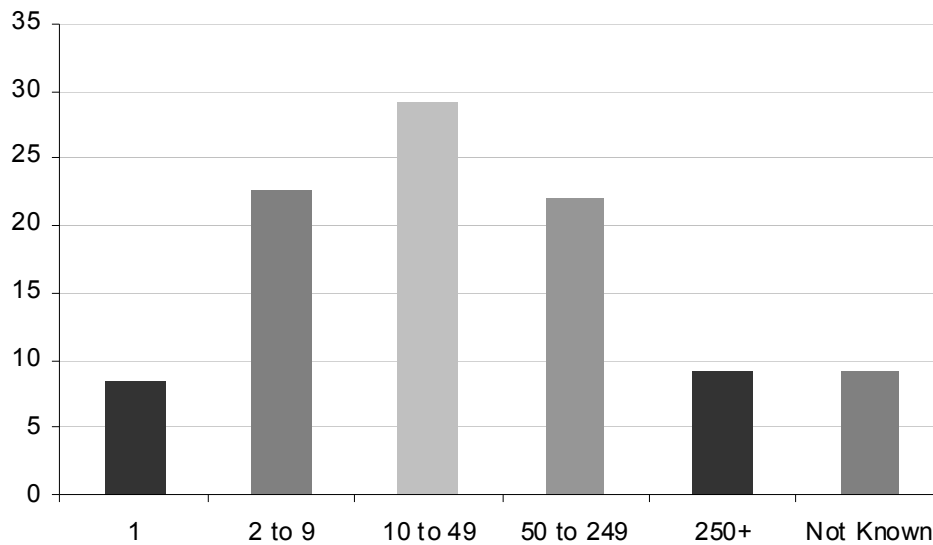
4.6 In terms of the size profile of businesses supported, the vast majority of companies at 1,897 (or 82 per cent) fell within the small-medium sized enterprise (SME) category (of between one and 250 employees), with the largest grouping being companies with between 10 and 49 employees at 675 (or 29 per cent), as shown in **Figure 4.3**. IDBR⁸⁴ data shows that the majority of Welsh businesses (62 per cent) are small, employing fewer than five people and sites employing 250 or more people represent only 1 per cent of all establishments, but account for a quarter of overall employment⁸⁵. This suggests that while ELMS is engaging smaller businesses, the micro segment of the SME category remains under-represented. However, this might be expected given the nature of the intervention and the strategy of targeting businesses that employ staff (i.e. are larger than sole traders).

⁸⁴ Inter-Departmental Business Register (IDBR).

⁸⁵ UK Commission for Employment and Skills. UK Commission's Employer Skills Survey 2011: Wales Results. Evidence Report 74. November 2012. Page 12.

Figure 4.3: Size of assisted companies (Number of employees)

Percentages



Source: Welsh Government ELMS Database. August 2012. Base 2,314

4.7 In terms of the sector make-up of supported companies, the project had (at the mid-term point) assisted companies across a wide spread of sectors, including each of the Welsh Government's nine priority sectors⁸⁶) as is demonstrated in **Figure 4.4**. Manufacturing companies were the largest group at 451 (19.5 per cent), followed by construction firms at 333 (14.4 per cent) and professional services at 243 (10.5 per cent).

⁸⁶ ICT, Energy and Environment, Advanced Materials and Manufacturing, Creative Industries, Life Sciences, Financial and Professional Services, Food and Farming, Construction and Tourism.

Figure 4.4: Sector composition of assisted companies

Sector	Database entries (number)	Proportion of total (percentages) ¹
Manufacturing	451	19.5
Construction	333	14.4
Professional, Scientific and Technical Activities	243	10.5
Human Health and Social Work Activities	184	8.0
Wholesale/Retail Trade, Repair of Motor Vehicles and Motorcycles	160	6.9
Other Service Activities	155	6.7
Administrative and Support Service Activities	146	6.3
Education	129	5.6
Accommodation and Food Service Activities	98	4.2
Information and Communication	87	3.8
Financial and Insurance Activities	47	2.0
Real Estate Activities	47	2.0
Arts, Entertainment and Recreation	47	2.0
Transportation and Storage	38	1.6
Water Supply, Sewerage, Waste Management and Remediation Activities	28	1.2
Activities of Extraterritorial Organisations and Bodies	15	0.6
Public Administration and Defence, Compulsory Social Security	14	0.6
Electricity, Gas, Steam and Air Conditioning Supply	12	0.5
Activities of Households as Employers, Undifferentiated	2	0.1
Goods and Services Producing Activities of Households for own use		
Agriculture, Forestry and Fishing	1	-
Mining and Quarrying	1	-
Not Known	76	3.0
TOTAL	2,314	100

Source: Welsh Government ELMS Database. August 2012. Base 2,314

1. Percentages of less than 0.1 per cent are shown as -

- 4.8 The sector distribution for Wales as a whole shows that Wholesale and Retail is the largest grouping, followed by business services, construction and agriculture⁸⁷.
- 4.9 Overall, our analysis of the Welsh Government's ELMS project database suggests that at mid-term, the two active elements - leadership and management workshops and discretionary funding via WDP - had supported an appropriate mix of companies, in-line with original objectives and broadly consistent with the distribution of companies in the Welsh economy.

Survey sample

- 4.10 Before outlining the findings from our research with ELMS supported companies, we first describe the process of drawing the sample for our telephone survey from the project database.
- 4.11 Key points to note in relation to how the survey sample was drawn include that:
- the sample was structured according to the proportion of businesses supported by the Convergence and RCE projects
 - the sample was structured according to company size
 - a ratio of 70 (workshop supported companies) : 30 (discretionary funding supported companies) was applied in terms of the two support elements. This rationale for this was to ensure a statistically robust sample for the discretionary fund element.

Overview of surveyed businesses

⁸⁷ Source: IDBR, March 2010 figures extracted from the UKCES Employer Skill Survey for Wales 2011 Results. Evidence Report 74. November 2012. Page 17.

4.12 We aimed to complete, and completed 200 interviews with ELMS supported companies. **Figure 4.5** provides an overview of the response outcomes.

Figure 4.5: Survey response outcomes

	<i>Numbers</i>
Total sample used / tried	883
Unobtainable number / fax	64
Residential number	6
Company closed	6
No recall of training	135
Sample excluding ineligible sample	672
Constant no reply / unable to speak to desired respondent and withdrawn	246
Respondent not available during fieldwork	5
Nobody at site able to answer	5
Over quota	11
Refused	81
Full interview	200
Partial interview	24
Still live at the end of fieldwork	100

Source: IFF

4.13 The split across the Convergence and RCE projects are shown in **Figure 4.6**.

Figure 4.6: Sample profile according to project

	Completed Interviews (numbers)	<i>Sample proportion</i>	<i>Database proportion</i>	<i>Percentages Variance</i>
Convergence	120	60	58	2
RCE	80	40	42	-2

Source: IFF Survey data. Base: 200

4.14 **Figure 4.7** shows the size profile of supported companies in our sample.

Figure 4.7: Sample profile according to size

	Completed interviews (number)	Sample proportion	Database proportion	<i>Percentages</i> Variance
Fewer than 10	58	29	31	-2
10 to 49	80	40	29	11
50 to 249	53	27	22	5
250+	8	4	9	-5
Not Known	-	-	9	-

Source: IFF Survey data. Base: 200

4.15 Just over a third of those who responded (36 per cent or 71 businesses) said that they had more staff now than they did 12 months ago, while just under a half (47 per cent or 94 businesses) said that they were the same size as a year ago.

4.16 The sub-regional location profile of supported companies is set out in **Figures 4.8 and 4.9.**

Figure 4.8: Sample profile according to sub-regional location (Convergence)

	Completed interviews (numbers)	Sample proportion	Database proportion	<i>Percentages</i> Variance
Valleys (Convergence)	50	42	40	2
South West (Convergence)	35	29	31	-2
Mid (Convergence)	4	3	3	0
North West (Convergence)	31	26	26	0

Source: IFF Survey data. Base: 200

Figure 4.9: Sample profile according to sub-regional location (RCE)

	Completed interviews (numbers)	Sample proportion	Database proportion	<i>Percentages</i> Variance
South East (RCE)	57	71	70	1
Mid (RCE)	11	14	10	4
North East (RCE)	12	15	20	-5

Source: IFF Survey data. Base: 200

4.17 In terms of the nature of support received, we achieved a 75 per cent leadership and management workshops (151 completed interviews) Workshop and 25 per cent discretionary funding (49 completed interviews) split.

4.18 **Figure 4.10** shows participation across the two different support strands and across the two different projects by size of respondent company.

Figure 4.10: Size of company (employees) by support element

	<i>Percentages</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Base (Absolute)	90	30	61	19
Less than 10	23	17	44	26
10 to 49	47	53	28	26
50 to 249	24	30	25	37
250+	4	0	3	11
Don't Know	2	0	0	0

Source: IFF Survey Data. Base 200

4.19 In the Convergence area, companies with a workforce between 10-49 staff (47 per cent or 42 businesses) were the most likely to have sent someone on a leadership and management workshop. In contrast, micro businesses with fewer than 10 employees (44 per cent or 27 businesses) were the most likely to access workshops in the RCE area.

4.20 Another notable difference is that while companies in the 10-49 employee bracket were the most likely to use discretionary funding in the Convergence area (53 per cent or 16 businesses), larger companies of between 50 and 249 staff (37 per cent or 7 companies) were the most likely to access discretionary funding in the RCE area.

4.21 Turning to the age profile of supported companies **Figure 4.11** shows the length of time that supported companies had been in operation in relation to the up-take of support.

Figure 4.11: Length of time in operation by support element

	<i>Percentages</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Base (Absolute)	90	30	61	19
Less than 2 years	1	-	5.0	11
2 to 5 years	10	13	17	11
More than 5 and up to 10 years	13	17	17	5
More than 10 years	76	70	62	73

Source: IFF Survey Data. Base 200

4.22 The clear pattern here is that more established businesses (operating for 10 years or more) are the most likely to seek ELMS support. This chimes with the findings of the recent LMW evaluation.

4.23 Just over half of the supported companies in our survey (57 per cent or 114 businesses)⁸⁸ said that they did not have other sites or establishments as part of their organisations.

4.24 Two thirds of those businesses with other sites or establishments (66 per cent or 57 businesses) said that they had their headquarters located in Wales. These were fairly evenly split across Convergence (66 per cent or 35 businesses) and RCE (67 per cent or 22 businesses). The majority of these companies (63 per cent or 39 businesses) took part in the workshop element.

4.25 Turning to the role of the lead contact within supported companies (not necessarily a beneficiary themselves) the overall pattern is that senior staff, including managers and directors, are most commonly cited as being the lead contact, as shown in **Figure 4.12**. The only exception of note in this respect is that people with associate, professional or technical roles are more likely in relative terms in the RCE area to be the lead contact (15 per cent in Convergence⁸⁹ as compared to 33 per cent

⁸⁸ Sample base of 200.

⁸⁹ Base 120.

in RCE⁹⁰). This chimes with the finding that larger firms (250+ employees) are more likely to have a higher proportion of associate, professional and technical occupations as the primary contact (63 per cent for 250+ employees as compared with 23 per cent for firms of between 50-249 employees)⁹¹.

Figure 4.12: Role of lead contact within supported companies by support element

	<i>Percentages</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Base (Absolute)	90	30	61	19
Manager/Director	59	60	48	32
Professional Occupation	8	17	10	26
Associate/Professional/Tech	16	13	31	37
Admin/ Secretarial	16	7	8	5
Skilled Trades	1	3	3	-
Caring, Leisure, Other	1	-	-	-

Source: IFF Survey Data. Base 200

4.26 More than three quarters of the companies that responded to our survey said that they had a formal business plan in place (79 per cent or 158 businesses). As would be expected from national skills surveys, the larger the company, the more likely they were to have a business plan in place.

4.27 In a similar vein, three quarters of the 200 surveyed companies (75 per cent or 150 businesses) said that they had a training plan in place that specified in advance the level and type of training needed for the coming year. This compares to a finding in the recent UKCES Employer Skills Survey for Wales that just 38 per cent of employers had a training plan in place⁹². Again, unsurprisingly, larger companies were more likely than smaller firms to have these training plans in place. This suggests that companies engaging in leadership and management training via ELMS may be more 'switched on' to their training needs (by having a training

⁹⁰ Base 80.

⁹¹ Base 200.

⁹² UK Commission's Employer Skills Survey 2011: Wales Results. Page 94. Sample base 6,012.

plan in place) than the general population of SMEs in Wales. It perhaps also underlines the challenges involved in engaging companies that are less 'switched on' to training (i.e. not having plans in place) to engage in leadership and management training.

4.28 In total 29 per cent (or 58 businesses) said that they currently have Investors in People (IiP) status, while 62 per cent (123 businesses) said that they have never been accredited and 5 per cent (10 businesses) used to be accredited but are not currently. The proportion of assisted firms with IiP status is higher than the proportion for Wales as a whole (at 15 per cent)⁹³. There were no distinguishing patterns relating to IiP either in terms of Convergence and RCE area or in terms of up-take of ELMS support element. Again, this underlines the finding that ELMS supported businesses may have a better understanding of, and be more pre-disposed to invest in, training than the population of Welsh businesses as a whole.

4.29 Turning to growth aspirations, **Figure 4.13** shows assisted company growth plans by support element.

Figure 4.13: Growth aspirations (next three years) by support element

	<i>Percentages</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Base (Absolute)	90	30	61	19
Grow Significantly	33	43	21	53
Grow a Little	41	37	49	21
Maintain Current Position	16	17	18	21
Survive	7	-	2	5
Other/Don't Know	3	3	2	-

Source: IFF Survey Data. Base 200

4.30 In relative terms, a high proportion of those receiving discretionary funding (in both Convergence and RCE) said that they had plans to grow

⁹³ Source: UK Commission's Employer Skills Survey 2011. Wales Results. Page 103.

significantly over the next three years or so (as compared to those participating in the workshops).

4.31 We went on to ask supported companies to share information about how much they spent on training with outside companies prior to getting involved with ELMS. **Figure 4.14** provides an overview of responses.

Figure 4.14: Prior expenditure (per annum) on training by support element

	<i>Percentages</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Base (Absolute)	90	30	61	19
Nothing	9	7	10	16
Less than £5k	48	47	56	32
£5k - £10k	20	23	15	32
£10,001 - £20k	9	13	7	5
£20,001 - £50k	2	-	3	5
£50,001 - £100k	1	3	-	5
More than £100k	-	-	2	-
Don't Know/Refused	11	7	8	5

Source: IFF Survey Data. Base 200

4.32 Figure 4.14 shows that the highest proportion of respondents had modest training budgets in place of less than £5k per annum.

4.33 We then asked supported companies to tell us how much money they spent with outside organisations on leadership and management skills each year (prior to getting involved with ELMS). More than three quarters (77 per cent or 154 businesses) of those responding said that they either spent nothing (26 per cent or 52 businesses) or less than £5,000 per annum (51 per cent or 102 businesses) on leadership and management training⁹⁴. This suggests that while ELMS supported companies are likely to have training plans in place, they had not (prior to engagement with ELMS) spent any significant amounts of money on externally sourced leadership and management training. However, it is

⁹⁴ Sample base of 200. The pattern was consistent across Convergence and RCE.

possible that - particularly in the case of larger firms – more significant volumes of leadership and management training may have been undertaken in-house.

4.34 Of the 200 survey interviewees, 129 (65 per cent) had personally taken part in some of the training provided by ELMS. Of these 92 attended ELMS workshops and 37 participated in discretionary funded training.

Analysis of ELMS supported learners – ESF Leavers Survey

4.35 A total of 670 ELMS learners participated in the 2011 ESF Leavers Survey. A total of 60 per cent (402 learners) were from the Convergence area and 40 per cent (268 learners) were from the RCE area.

4.36 More than half of the responding participants (58 per cent or 390 learners) were male and 42 per cent (280 learners) were female. In terms of comparing this with all ELMS participants, in the Convergence area, 64 per cent of participants are male and 36 per cent are female. In RCE, 56 per cent of ELMS participants are male and 44 per cent are female⁹⁵. The majority of ESF Leavers' Survey respondents (at 94 per cent or 634 learners) classified themselves as either White Welsh or White British – very much in line with the Welsh population as a whole - while 30 per cent (201 learners) said that they could speak Welsh. A minority (10 per cent or 66 learners)⁹⁶ said that they had a long term illness, health problem or disability.

4.37 The survey suggested a good mix of ages accessing ELMS provision, 32 per cent (or 215 learners) were aged 40-49, 30 per cent (198) aged 30-39 and 28 per cent (187) aged 50 and over⁹⁷.

4.38 In line with the objectives of ELMS to up-skill people already in work, the vast majority of participating respondents (94 per cent or 632 learners)

⁹⁵ Source: June 2012 Convergence and RCE quarterly reports submitted to WEFO.

⁹⁶ Base 670

⁹⁷ 9 per cent (63) were aged 20-29 and seven (1 per cent) did not give their age.

said that they were employed, with a further 5 per cent (35 respondents) being self-employed. Only 1 per cent (eight learners) said that they were under formal notice of redundancy at the time they started their ELMS course. Of the 667 respondents, the vast majority (at 94 per cent or 630 learners) said that they were in full-time employment i.e. working 30 hours or more per week – suggesting either that employers are reluctant to provide access to the provision for part-time workers or that part-time workers are less likely to take up offers of training.

4.39 As might be expected, the vast majority of respondents were well established within the labour market: just under two thirds (at 63 per cent or 423 learners) said that they had been in continuous paid work since leaving compulsory education and starting their ELMS course, while a further 32 per cent (215 learners) said that they had been in paid work for most of this time.

4.40 Indeed, participants were generally long-established within their particular place of employment. Of the 667 participant respondents, just over a third (at 35 per cent or 231 learners) had been working for 10 years or more with the same employer before taking part in the ELMS course, while a quarter (26 per cent or 172 learners) had worked for the employer for between five and 10 years and 22 per cent (147 learners) for between two and five years.

4.41 In terms of the type of jobs participating respondents were doing when they took part in an ELMS course, the largest proportion of participants at 34 per cent (or 137 learners) in Convergence and 42 per cent (or 113 learners) in RCE were Corporate Managers and Directors (SOC 11), as shown in **Figure 4.15**. The other two notable categories were SOC 3 (associate professional and technical) and SOC 12 (other managers and proprietors). This is, of course, in-line with the target audience for ELMS, though it is also notable that some 28 per cent (186) of participants were working in non-managerial roles (SOC 4-9).

Figure 4.15: Occupational profile (by SOC code) for ELMS participants

Base (Absolute)	<i>Percentages</i>	
	Convergence	RCE
	402	268
SOC 2 (Professional)	7	5
SOC 3 (Associate Professional and Technical)	16	19
SOC 4 (Administrative and Secretarial)	7	5
SOC 5 (Skilled Trades)	5	4
SOC 6 (Caring, Leisure and other service)	3	3
SOC 7 (Sales and customer service)	4	3
SOC 8 (Process, plant and machine operatives)	7	6
SOC 9 (Elementary)	3	2
SOC 11 (Corporate Managers and Directors)	34	42
SOC 12 (Other Managers and Proprietors)	10	8
Not stated	2	1

Source: ESF Leavers Survey Data. Base 670.

4.42 In terms of prior qualifications, a majority of participants already had higher level qualifications with 52 per cent (346) learners having qualifications at level 4 and above – with the majority of these being at levels 5 and 6 – and only 27 per cent (176 learners) having a qualification at level 3 or below. There were no significant differences between Convergence and RCE in this respect. This shows that ELMS participants are significantly better qualified than the population as a whole and also better qualified than other employed ESF participants in the Leavers Survey.

Route into ELMS

4.43 We asked assisted companies about how they heard about and got involved with ELMS. **Figure 4.16** provides an overview of the responses received.

Figure 4.16: How companies first heard about ELMS by support element⁹⁸

	Convergence		RCE		<i>Number</i>
	Workshops	Discretionary	Workshops	Discretionary	RCE
Total number of businesses	90	30	61	19	
Via other (non-ELMS) learning provider ⁹⁹	27	5	18	2	
Via HRDA	12	11	6	4	
Via L&M W/shop Delivery Org.	11	2	17	2	
Word of Mouth	7	2	1	2	
Via BusinessWales.gov.uk	6	2	4	1	
External Consultancy/Advisor	4	1	1	2	
Via LMW events	4	2	4	0	
Welsh Government	1	0	0	3	
liP Workshop/Advisor	4	0	1	0	
LMW Website	1	1	1	0	
Chamber of Commerce	2	0	1	0	
Other	3	0	2	2	
Don't know/remember	8	4	5	1	

Source: IFF Survey Data. Base 200

4.44 The most common way for companies to get to know about the workshops was through other learning providers than those which themselves delivered the ELMS training. Interestingly, in the RCE area however, the ELMS workshop providers appear to have been more proactive in generating their own leads with 17 businesses getting involved in this way (i.e. via L&M workshop delivery organisation) as compared to just 11 businesses in the Convergence area.

⁹⁸ Note that Figure 4.16 contains a number of additional categories to question C2 on the survey questionnaire. The additional categories relate to additional ways in which more than one business got to hear about ELMS as reported via the 'other' option in response to question C2.

⁹⁹ This refers to respondents who identified as the source of referral other learning providers than that which provided the ELMS training. In some cases, these learning providers may have also delivered ELMS provision but did not do so in the case of the respondent.

4.45 In contrast somewhat, each of the workshop providers we interviewed said the majority of their referrals were generated by themselves via direct marketing activity, which in most instances were targeted at well-established contacts on their own databases. There was one notable exception to this where a provider had effectively developed a new client base from scratch.

4.46 While each of the workshop providers acknowledged that they had received referrals through from HRDAs, on the whole it was felt that these represented a relatively small minority of their overall client base.

4.47 It is also worth noting that a relatively low number of companies which have participated in ELMS support came via the LMW route. Five businesses that participated in workshops in the Convergence area and five businesses that participated in workshops in the RCE area came via LMW¹⁰⁰. Interestingly, a slightly higher proportion of businesses that received discretionary funding came via the LMW route at three businesses in the Convergence area, though in contrast none of the companies that received discretionary funds in the RCE area said that they had come via the LMW route. This was consistent with the views of the providers we interviewed who confirmed that referrals from LMW are rare, though it is important to recognise that LMW's role is impartial and they would not therefore be expected to refer clients directly to or even recommend providers.

4.48 In total 33 companies said that they had found out about ELMS via their HRDA. Proportionately, HRDAs were much more likely to have referred a company to the discretionary funding element than the workshops. This chimes with the views of the HRDAs we interviewed.

¹⁰⁰ In each case the five businesses comprise four that came via LMW events and one via the LMW website.

4.49 Encouragingly, the overwhelming majority of those that came to ELMS via their HRDA (27 businesses) said that the HRDA had been 'very helpful' in terms of their decision to take part in ELMS.

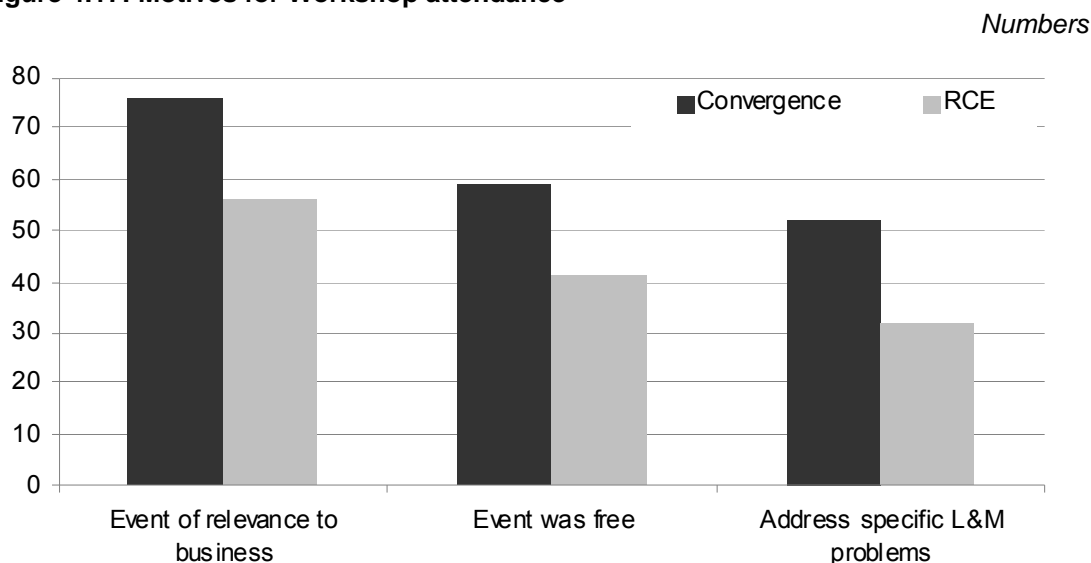
4.50 Of the total of 84 businesses that said they first got to know about ELMS via a workshop delivery organisation or another learning provider, 58 answered a related question about how helpful they believed the provider had been in enabling them to find the kind of training and support they felt they needed. More than three quarters of these (44 businesses) said that the provider in question had been 'very helpful' which suggests that providers, whether directly delivering ELMS provision or not, are a key route of promoting awareness and up-take of ELMS.

Motives for involvement -Company perspective

Leadership and Management Workshops

4.51 We asked the 151 businesses in our survey that had participated in the leadership and management workshops what made them or their organisation decide to participate, in particular whether it was: that the event was of relevance; that the event was free; or in order to address specific leadership and management problems. **Figure 4.17** shows the responses to this for both the Convergence and RCE projects.

Figure 4.17: Motives for Workshop attendance¹



Source: IFF Survey Data. Base 90 for Convergence and 61 for RCE.

1. Respondents asked to respond yes, no or don't know to each response category.

4.52 Figure 4.17 shows that the motives for participation in the leadership and management workshops were similar for companies in both the Convergence and RCE areas with the perceived relevance of the workshop event being the primary reason for participation. It is also interesting to note that a significant number of assisted companies (59 in Convergence and 41 in RCE) also cited the reason that the event was free, with nine giving this as their only motivation for attending. In practice, assisted companies would have had to make a financial contribution towards the cost of the workshop (either 30 per cent or 50 per cent depending on their size in relation to the eligibility criteria). It may therefore be that assisted companies do not recall the financial contribution they made to the cost of the workshop or that they selected this response because of the fact that part of the event was free was a motive.

4.53 Respondent companies were asked how they envisaged participation would benefit the business, **Figure 4.18** summarises the responses.

Figure 4.18: How supported companies envisaged workshops would benefit the business¹

	<i>Numbers</i>	
	Convergence Workshops	RCE Workshops
Total number of businesses	90	61
Improve senior managers' leadership skills	75	55
Improve products or processes	74	51
Improve staff relations and morale	73	46
Allow staff to gain management qualifications	63	38
Put in place a succession strategy	57	33
Bring on more junior managers	58	31
Generate additional sales through networking with other businesses	31	19

Source: IFF Survey Data. Base 151.

1. Respondents asked to respond yes, no or don't know to each response category.

4.54 Figure 4.18 shows that improving the leadership skills of senior managers was the top expectation in terms of what assisted companies hoped to gain from the workshops. This was followed closely by an improvement in products or processes and by improving staff relations and morale. Interestingly, the relatively lower placement of bringing on junior managers suggests that employers were looking to use the workshops to develop established managers rather than to bring on new talent. Employer expectations show a similar pattern in both the Convergence and RCE areas.

4.55 The evidence from our visits to companies that participated in the workshops confirms that in the main, assisted companies seemed to be attracted to the workshop provision for fairly specific 'enabling' objectives.

Figure 4.19: Qualitative Evidence from Company Visits: Motives for Involvement in Workshops

Assisted company A is a small construction firm of 23 staff based in the Convergence area. The General Manager of the business attended a five day Site Management Safety Training Scheme (SMSTS). They had become aware of the workshops from prior contact with one of the appointed providers, but had also been told about it by Construction Skills,

their Sector Skills Council.

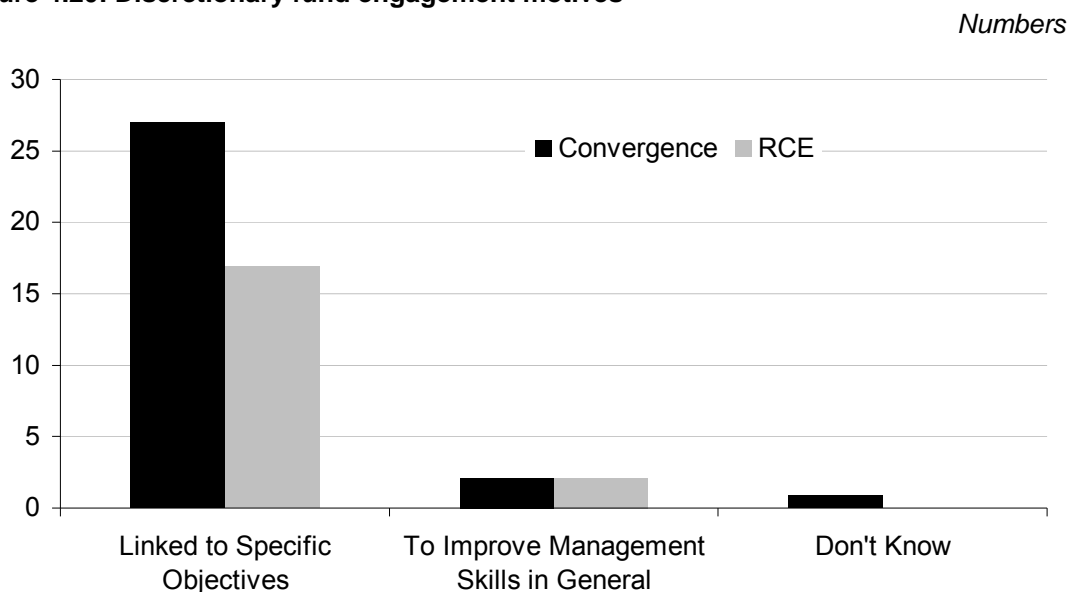
The General Manager's motivation for involvement had been a combination of personal and business related reasons. From a personal perspective, the General Manager was keen to keep their CV up-to-date given that it is quite normal for senior managers to move jobs quite frequently in the construction industry. From a company perspective, the General Manager felt that completing the SMSTS workshop fulfilled a specific objective in that it enabled them to comply more fully with procurement requirements, particularly for public sector contracts.

Assisted company B located in the RCE area and employing 13 staff in the automotive sector sent their Quality Control Manager on an IOSH (Institute of Occupational Safety and Health) Managing Safely Programme which was delivered over four days. The Quality Control Manager was recently recruited (although was already an experienced Manager) and the motivation for participating in the workshops was to ensure that both the Manager and the company were fully compliant with health and safety requirements.

Discretionary Funding

4.56 Turning to motives for participation in the discretionary fund element via the WDP, **Figure 4.20** summarises the responses to questions about this.

Figure 4.20: Discretionary fund engagement motives¹



Source: IFF Data. Base 30 for Convergence and 19 for RCE.

1. Respondents asked to respond yes, no or don't know to each response category.

4.57 Again, we see a similar pattern in both the Convergence and RCE areas with the link between support available via the discretionary funding element and specific business objectives being the over-riding motivator in both areas.

Figure 4.21: What supported companies were looking to do with discretionary funding

	<i>Percentages</i>	
	Convergence Discretionary	RCE Discretionary
Total number of businesses	30	19
Improve senior managers' leadership skills	29	17
Improve staff relations and morale	28	17
Improve products or processes	22	19
Allow staff to gain management qualifications	25	17
Bring on more junior managers	23	14
Put in place a succession strategy	25	13
Generate additional sales through networking with other businesses	14	15

Source: IFF Survey Data. Base 49

4.58 **Figure 4.21** shows that in general, there were a wider range of expectations from the discretionary funding element than from the workshops. It is also interesting to note (bearing in mind that the sample sizes are small) that in the RCE area, all 19 businesses said that they hoped the training accessed via discretionary funding would enable them to improve products or processes – whereas in contrast only three-quarters (22 businesses) said this in the Convergence area.

4.59 The survey data also showed that 46 businesses of the 49 business receiving discretionary funding had a clear idea before-hand of how the skills gained would be applied. This compares to 111 businesses of the 151 companies having participated in the workshops.

4.60 The evidence from our visits to assisted firms largely confirmed the survey finding that those undertaking discretionary funded training did so with a specific objective in mind. This is a positive finding in that it shows that the firms using discretionary funding are doing so with the view to achieving key business aims and objectives – one of the intended goals set out in the business plan¹⁰¹.

Figure 4.22: Qualitative evidence from company visits: Motives for involvement in discretionary funding

Assisted company C, a food manufacturer in the Convergence area with 120 staff, explained that their motivation for seeking leadership and management training via the WDP had been a recent restructuring exercise. These changes meant that up to date leadership and management training was required. The general manager was looking for ways of bringing the whole team together and decided on training as a means to get the management team to ‘move in the same direction and achieve targets’.

Company C was made aware of the discretionary funding via their HRDA and had been helped by them to apply for the funding. The HR Manager of Company C was very complimentary about the role of the HRDA, though following a recent procurement exercise they had been allocated a new adviser who they were yet to meet.

Assisted company D is a service sector firm based in the RCE area (operating from bases in the South East and North East) and employs 10 staff. The motivation for their involvement was to gain PRINCE II project management skills for two of their staff members. Since PRINCE II is recognised by a number of Company D’s public sector clients, they felt this would give them a competitive advantage in the market place. The training was completed over three days (two training days and one examination day).

Motives for involvement – Learner perspective

4.61 In terms of reasons for participating on ELMS training **Figure 4.23** summarises the views provided by the 670 ELMS trained ESF Leavers Survey respondents¹⁰². This shows that the main motivations both in Convergence and RCE were to develop and improve skills and knowledge and to improve career options. It is also notable that over half

¹⁰¹ Convergence Business Plan. Page 8.

¹⁰² Respondents could give multiple responses.

(56 per cent or 225 learners) in the Convergence area and 46 per cent (123 learners) in the RCE area said that they hoped the ELMS course would help lead to improved pay, promotion or prospects at work.

4.62 This analysis also suggests that the employer’s decision and influence has been relatively important (though not exclusively so) in terms of participation with a majority of respondents (75 per cent Convergence and 66 per cent RCE) saying that the employer had requested or required them to attend the training.

Figure 4.23: Learner motivations for involvement

Base (Absolute)	Percentages	
	Convergence	RCE
	402	268
Develop a broader range of skills and/or knowledge	96	97
Develop more specialist skills and/or knowledge	87	83
Improve or widen career options	70	62
Help get a job	12	10
Improve pay, promotion or other prospects at work	56	46
Employer requested it or required it	75	66
Learn something new for personal interest	55	54
Help progress onto another education, training or learning course	23	20
An adviser recommended that you should attend this course as it was relevant to your particular needs	57	51
To build up confidence/self-esteem	2	-
Want to be self-employed/start my own business	-	-
It was compulsory	-	1
To gain qualifications and improve CV	1	1
To improve/update existing skills	3	3
To better myself and improve my life – personal challenge	1	2
It was free/received funding/financial incentive/cheap alternative	-	-
To meet new people/networking/to socialise	1	-

Source: IFF Survey Data. Base 670.

4.63 Respondents were also asked for the main reason for participation.

Here, 22 per cent (145 respondents) cited that the employer had

required it with 30 per cent – (or 204) - saying it was to develop a broader range of skills and 22 per cent – (or 146) - saying it was to develop more specialist skills or knowledge. In response to another question, only 6 per cent (or 37) said they had considered doing an alternative course of study. Taken together, this evidence suggests that while participants generally saw real advantages in undertaking the training in terms of their personal skills and knowledge, the main ‘route to market’ for ELMS was via the employer, with provision focused on their needs – something which is clearly in line with the rationale for the project.

4.64 The question about the main reason for participation also suggested that relatively few participants were primarily motivated by the expectation that the training would lead to specific improvements in their personal position at work, with only 5 per cent (35 respondents) citing ‘to improve pay, promotion or other prospects at work’ as the principal motivation and a further 8 per cent (56) citing ‘to improve and widen your career options’). Ambitions to move job were cited as the most important motivating factor for only two of the 670 respondents – a fact which might be used to reassure employers fearful that training employees risks them being poached by others.

4.65 The ESF Leavers’ Survey also suggests that obtaining qualifications ranked very low amongst the motivations for individual participants – who it should be remembered generally already possessed higher level qualifications: only six participants- less than 1 per cent- cited this as having played any role in motivating them and only two said this was the most important reason.

Nature of participation – Employer perspectives

Leadership and Management Workshops

4.66 **Figure 4.24** gives an indication of the number of participants assisted companies sent on the leadership and management workshops. Of the 151 assisted companies, 61 per cent (or 92 individuals) who responded to the survey said that they had attended a workshop themselves.

Figure 4.24: Numbers participating in workshops

	<i>Numbers</i>	
	Convergence Workshops	RCE Workshops
Total staff participating in workshops	352	226
Mean average (per assisted company)	3.9	3.8
Don't know/Can't remember	0	1

Source: IFF Survey Data. Base 151 (90 Convergence 61 RCE).

4.67 The table shows that, on average, each assisted company sent just under four people to the workshops and this was consistent across the Convergence and RCE areas. The data also showed that, unsurprisingly, larger companies are more likely to send a higher number of delegates, with the mean average rising to 4.4 people for companies of 10-49 employees, 5.5 for companies between 50-249 and 6.2 for those above 250. The mean average for micro businesses of fewer than 10 employees was 1.7 persons.

4.68 In terms of the type of staff attending the workshops, **Figure 4.25**, gives an overview of this.

Figure 4.25: Types of employees participating in Workshops

	<i>Numbers¹</i>	
	Convergence Workshops	RCE Workshops
Total number of businesses	90	61
Directors/Senior Managers	38	31
Middle Managers	41	21
Junior Managers/Supervisors	36	22
Owners	14	14
Shop Floor/Clerical	11	8
Technicians	6	3
Other	0	1
Don't know/can't remember	0	1

1. Note that respondents could select more than one option meaning that columns do not sum to total

4.69 Figure 4.25 shows that, in the Convergence area, supported companies were most likely to send their middle managers to participate in workshops, followed by directors/senior managers and junior managers, though differences here are very small. In contrast, supported companies in the RCE area were more likely to send directors/senior managers.

Discretionary Funding

4.70 Moving on to the discretionary fund, **Figure 4.26** gives an overview of the number of staff participating in discretionary funded leadership and management training activity.

Figure 4.26: Numbers participating in Discretionary Funding

	<i>Numbers</i>	
	Convergence Discretionary	RCE Discretionary
Total staff participating in discretionary funded L&M training	157	289
Mean average (per assisted company)	5.2	15.2

Source: IFF Survey Data. Base 49 (30 Convergence 19 RCE).

4.71 Figure 4.26 shows a difference in the mean average of people trained by each company via discretionary support with on average 5.2 people per assisted company being trained in the Convergence area, while in RCE, the figure is nearly three times higher at 15.2 people per company. However, caution needs to be exercised in interpreting these findings given the low sample bases involved. The differential may partially be explained by a slightly higher incidence of large firms (250 employees plus) in the RCE area (large firms represent 11 per cent of the ELMS database in RCE as compared with 8 per cent in Convergence) with larger firms being more likely to send higher numbers of staff on courses. The mean averages are also notably higher than the equivalent

figures for the workshop element at 3.9 in Convergence and 3.8 in Competitiveness.

4.72 **Figure 4.27** gives an overview of the type of employee participating in the discretionary support element.

Figure 4.27: Types of employees participating in discretionary fund training

	<i>Numbers</i>	
	Convergence Discretionary	RCE Discretionary
Total number of businesses	30	19
Directors/Senior Managers	18	12
Middle Managers	16	9
Junior Managers/Supervisors	12	9
Owners	10	4
Shop Floor/Clerical	5	4
Technicians	3	3
Don't know/can't remember	0	1

Source: IFF Survey Data. Base 49.

4.73 The pattern here is that discretionary fund training is somewhat more likely to involve directors and senior managers than is the case for workshops - consistent across Convergence and RCE.

4.74 In total 39 respondents from the 49 businesses that used discretionary funding said that they had personally taken part in discretionary funded training.

4.75 In terms of where the training funded via the discretionary fund was undertaken, **Figure 4.28** summarises the responses to this and shows most assisted companies undertook the discretionary funded training on their own premises.

Figure 4.28: Location of training undertaken¹

	<i>Numbers</i>	
	Convergence Discretionary	RCE Discretionary
Total number of businesses	30	19
Company premises	14	10
At the provider's premises	8	6
Venue selected by the provider	8	6
In a number of different places, including the company's premises	4	3
Other	0	1
Don't know	1	0

Source: IFF Survey Data. Base 49

1. Respondents could select multiple options

4.76 In terms of the specific type of training undertaken with the assistance of discretionary funding, **Figure 4.29** provides an overview.

Figure 4.29: Overview of training activities undertaken via discretionary fund¹

	<i>Numbers</i>	
	Convergence Discretionary	RCE Discretionary
Base (Absolute)	30	19
Development programme comprising linked training sessions and independent work	22	12
Long courses (several months)	17	7
Multiple stand-alone training sessions/courses	17	5
A single stand-alone session/course	12	6
Other types of training activities	0	1
Don't know	0	1

Source: IFF Survey Data. Base 49.

1. Respondents could select multiple options

4.77 This shows that the most popular type of training undertaken via the discretionary fund route is development programmes with linked courses and independent work, suggesting that employers are attracted to a mixed approach which involves both formal training sessions and assignments: this is probably related to the evidence from our case-studies that in many cases discretionary funding is supporting company-

wide training plans where projects set by the providers are directly related to identifying improvements to business processes. The only differential of note between Convergence and RCE is that RCE assisted companies were more likely to have undertaken single/stand-alone courses than multiple stand-alone courses.

Nature of participation – Learner perspectives

4.78 In terms of the location where ELMS courses were undertaken, just under half of the respondent participants (at 49 per cent or 325 learners) undertook the provision at their employer's workplace. This was slightly higher at 53 per cent (or 142 learners) in RCE than in Convergence at 46 per cent (or 183 learners). A quarter of responding participants (25 per cent or 170 learners) said that they did the training at a training centre, while 13 per cent (86 learners) did so at a combination of locations including work and a college/training centre. The vast majority of respondents (98 per cent or 657 learners) said that they undertook the ELMS training during the working week.

4.79 In terms of time spent on the ELMS course, the largest group of respondents (41 per cent or 275 learners) said that they spent between five and nine hours per week on the course. This was 10 percentage points higher at 47 per cent (127 learners) in the RCE area than in the Convergence area at 37 per cent (148 learners). In contrast, a higher proportion of participating respondents in the Convergence area spent between 16 and 24 hours per week on their course with 17 per cent (69 learners) doing so in Convergence compared to 8 per cent (22 learners) in RCE.

4.80 Three quarters (74 per cent or 494 learners) said that they were aware that the ELMS course they participated in was ESF funded. This was consistent across RCE and Convergence and is marginally higher than was the case for all ESF Leavers at 69 per cent. Only 36 of the 670

ELMS participant respondents (5 per cent) said that they had not completed their course.

5 Quality, Relevance and Qualification Outcomes

5.1 In this chapter, we consider feedback from companies and learners about the quality and relevance of ELMS provision as well as their views on qualification outcomes. The chapter draws on evidence from:

- the telephone survey with supported companies
- follow up qualitative visits to assisted companies and participants
- analysis of learner data from the 2011 ESF Leavers Survey.

Key findings outlined in this chapter:

- Satisfaction with the workshops was high from a company perspective, with 87% saying that the response of participating staff had been fairly positive or very positive.
- Satisfaction with discretionary funded training was high amongst companies with the vast majority¹⁰³ stating that the response of participating staff had been fairly positive or very positive.
- Learners were also satisfied with ELMS provision (both the workshops and discretionary elements). 88 per cent of learners were either satisfied or very satisfied in the Convergence area, while 90 per cent were either satisfied or very satisfied in RCE.
- The perceived relevance of ELMS provision by business respondents who themselves had participated in learning was generally high, though was somewhat more mixed for Workshops in the Convergence area.
- Overall, the content of workshops and discretionary funded courses is relevant to leadership and management skills with a high degree of consistency in terms of topics covered across Convergence and RCE.
- Around a third of the individuals that attended workshops said that they

¹⁰³ 48 of 49 responding companies on this question.

had exceeded or far exceeded their expectations. A similar proportion of the individuals who themselves had participated in discretionary funded training reported that the training had exceeded their expectations.

- In our survey of businesses, just over half (54 per cent) of all respondents stated that those who had participated in ELMS funded activities had gained a qualification. Participants in the Convergence area were more likely to have gained a qualification than those in the RCE area. Of those participants gaining a qualification, the largest proportion gained a level 3 qualification.
- There were mixed views in relation to the importance of qualifications with the majority of company survey respondents citing qualifications as important. In contrast, the evidence from qualitative visits to assisted companies suggested that qualifications were a 'nice to have' rather than an essential part of the package. From the participant perspective, qualifications are not viewed as a significant part of ELMS provision.

Employer feedback on ELMS provision

5.2 In this section, we consider some of the feedback from assisted companies about the ELMS provision. It should be noted that some caution needs to be exercised in interpreting some of the findings in this chapter given that respondent sample sizes for some questions were small.

Leadership and Management Workshops – Feedback

5.3 First, we asked survey respondents to describe the reaction of staff who participated in leadership and management workshops. **Figure 5.1** summarises the responses received.

Figure 5.1: Reaction of staff who participated in the workshops

	<i>Numbers</i>	
	Convergence Workshops	RCE Workshops
Total number of businesses	90	61
Very positive	52	29
Fairly positive	25	26
Neutral/Mixed	12	5
Fairly negative	1	0
Very negative	0	0
Don't know/can't remember	0	1

Source: IFF Survey Data. Base 151.

5.4 Figure 5.1 shows a positive result, with overall 87 per cent (132 businesses)¹⁰⁴ of responding companies saying that the response of staff who participated in ELMS leadership and management workshops was positive with the majority in the Convergence area saying it was very positive.

5.5 Questions on satisfaction were only asked of those who had themselves participated in the training. In terms of satisfaction with the workshops, the overall findings here are very positive both in Convergence and RCE. **Figure 5.2** gives an overview of ratings of different aspects of workshop delivery. The figures shown in the table relate to respondents that gave a 4 or 5 rating (on a 1-5 scale) where 5 is very and 1 is not at all.

¹⁰⁴ Sample Base 151.

Figure 5.2: Supported companies satisfied with aspects of the leadership and management workshops

	<i>Numbers</i>	
	Convergence Workshops	RCE Workshops
Total number of respondents	50	42
How organised were the workshops?	45	40
How engaging were the tutors?	48	39
How appropriate was the pace of delivery?	43	36
How appropriate were the learning materials issued?	43	37

Source: IFF Survey Data. Base 92.

5.6 Next, we asked those respondents who had personally taken part to comment on whether the content of the workshops was pitched at the right level for the individuals attending. Overall, 86 businesses of the 92 respondents agreed that they had been with 46 of 50 businesses in the Convergence area and 40 of 42 businesses in the RCE agreeing that the workshops had been pitched at the right level.

5.7 In terms of the relevance of workshop content, **Figure 5.3** provides an overview of responses to this question from those who attended themselves.

Figure 5.3: Relevance of workshop to respondent's job

	<i>Numbers</i>	
	Convergence Workshops	RCE Workshops
Total number of respondents	50	42
Very relevant	24	26
Fairly relevant	14	11
Mixed	12	3
Largely irrelevant	0	2
Totally irrelevant	0	0

Source: IFF Survey Data. Base 92.

5.8 Overall, Figure 5.3 shows a broadly positive picture, though the higher number of those saying that they found the workshops very relevant in RCE is notable (26 of 42 businesses), compared with fewer than half of those participating in the Convergence area (24 of 50 businesses)

saying that the workshops were very relevant. Just under a quarter of those in the Convergence area felt that the relevance to their job role was mixed.

- 5.9 In total, around a third (31 of 92 businesses) of those who attended themselves said that the workshops had exceeded or far exceeded their expectations, while 53 businesses said that the workshops had met but had not exceeded their expectations.
- 5.10 Moreover, just over three quarters of those who had attended themselves (70 of 92 businesses) said that they had achieved their specified learning outcome from the workshop. This was higher in proportionate terms in the RCE area at 35 of 42 businesses than in the Competitiveness area at 35 businesses of 50.
- 5.11 In general, all six of the HRDAs we interviewed took the view that the ELMS funded workshops offered a diverse range of courses to companies and prospective participants. One HRDA commented that within the range of available courses 'some of it is very good – some of it less good'. Two HRDAs thought that the workshops were more suitable for smaller companies to get them involved in leadership and management training, whereas for larger firms, both argued that a more tailored and bespoke approach is needed (which they felt could be better accommodated under the discretionary funding and coaching and mentoring elements).
- 5.12 The qualitative evidence from the company visits undertaken confirmed, in the majority of cases, the positive feedback and high degree of satisfaction with the workshop provision. Only one assisted company from the RCE area (coincidentally a training company themselves) was particularly critical of the quality of the workshops, stating that, while the delivery provider was knowledgeable and professional, they were not particularly innovative and that the course itself 'felt a bit like death by PowerPoint'.

Figure 5.4: Qualitative evidence from company visits: Feedback on Workshops

Assisted company E is a mid-size SME operating in the Convergence area. They have an annual training budget of circa £20k. Company E's involvement in the leadership and management workshops was quite extensive with:

- Seven Senior Managers participating in ILM Level 5 workshops (Leading innovation and change, becoming an effective leader etc...)
- Six Supervisors participating in Level 3 workshops (problem solving, decision making, motivating in the workplace etc...)
- Nine Lower Level Supervisors participating in ILM Level 3 workshops (solving and managing problems, team building etc...)

All of the workshops were delivered for Company E by the same provider and were held 'off-site', which the lead contact felt was 'better as there are less distractions'. The lead contact for Company E rated the quality of the workshops and the selected provider very highly indeed and felt that the content was highly relevant and had been tailored to the context of their business.

'The modules were highly relevant to our work, particularly the leading innovation and change course'.

Company E said that they felt the workshops offered excellent value for money and the fact that it was subsidised meant that they were able to participate in a far more extensive programme than their training budget on its own would have allowed for.

The participants from company D (a service sector firm with 10 staff in the RCE area referred to above) were also pleased with the PRINCEII training they had received. The trainer had extensive, first-hand experience of using PRINCE II which added significant value and enabled them to use personal anecdotes which the participants found invaluable. The trainer for company D also had architectural and engineering experience which meant that they were 'the right trainer for us and had an understanding of the industry' and brought what might have been 'as dull as dishwater' to life and made it interesting. For company D, the workshop experience had underlined the importance of ensuring a good match between the background of the trainer and the business.

Discretionary Funding - Feedback

5.13 Turning to feedback on the discretionary funding element, **Figure 5.5** provides an overview of how respondents described the reaction of staff

who had participated in discretionary funded leadership and management training.

Figure 5.5: Reaction of staff who participated in discretionary funded leadership and management training

	<i>Numbers</i>	
	Convergence Discretionary	RCE Discretionary
Total number of businesses	30	19
Very positive	22	14
Fairly positive	8	4
Neutral/Mixed	0	1
Fairly negative	0	0
Very negative	0	0
Don't know/can't remember	0	0

Source: IFF Survey Data. Base 49.

5.14 The results are positive in both the Convergence and RCE areas with nearly three quarters of respondents in both areas saying that the response of staff had been very positive. Overall the vast majority (48 of 49 businesses) across Convergence and RCE said that the response of staff had been positive.

5.15 In terms of ratings of the training funded via the discretionary fund element, **Figure 5.6** summarises the responses from respondents who themselves had participated.

Figure 5.6: Supported companies satisfied with aspects of the discretionary funded training

	<i>Numbers</i>	
	Convergence Discretionary	RCE Discretionary
Total number of respondents	22	15
How organised were the workshops?	21	14
How engaging were the tutors?	22	13
How appropriate was the pace of delivery?	21	13
How appropriate were the learning materials issued?	21	14

Source: IFF Survey Data. Base 37.

5.16 Overall, 36 of the 37 respondents who had participated themselves said that they thought the discretionary funded training had been pitched at the right level. The feedback was consistently strong across the Convergence and RCE areas.

5.17 Turning to the relevance of discretionary funded training, **Figure 5.7** provides an overview of responses.

Figure 5.7: Relevance of discretionary funded training to respondent's job

	<i>Numbers</i>	
	Convergence Discretionary	RCE Discretionary
Total number of respondents	22	15
Very relevant	11	10
Fairly relevant	11	2
Mixed	0	2
Largely irrelevant	0	1
Totally irrelevant	0	0

Source: IFF Survey Data. Base 37.

5.18 Figure 5.7 again shows a broadly positive picture in terms of the perceived relevance of discretionary funded training received and these figures are comparable with the findings in relation to the perceived relevance of the workshops (reported above).

5.19 In terms of overall quality, **Figure 5.8** shows that overall, respondents who participated themselves rated the quality of training highly and this was consistent across Convergence and RCE.

Figure 5.8: Overall quality of training

	<i>Numbers</i>	
	Convergence Discretionary	RCE Discretionary
Base (Absolute)	22	15
Very good	15	10
Good	7	5
Mixed	0	0
Poor	0	0
Very poor	0	0

Source: IFF Survey Data. Base 37

5.20 In terms of how closely the discretionary funded training had met assisted company expectations, just over a third (13 of 37 respondents) said that the provision had exceeded or far exceeded their expectations, while 23 businesses said that the provision had met but not exceeded their expectations. This is broadly in line with the feedback on the workshop element.

5.21 In total, 29 of 37 respondents who had participated themselves said that the discretionary funded training had enabled them to achieve their specified learning outcomes. This is in line with the responses for the workshops. There was a notable difference between Convergence, where 19 of 22 respondents said that their learning outcomes had been fully met, and RCE where 10 of 15 respondents said that their learning outcomes had been fully met.

5.22 In line with the survey finding on the discretionary funding element, the evidence from the companies we visited supported the view that in the main, the training undertaken had been perceived to have been of good quality and relevance.

Figure 5.9: Qualitative evidence from company visits: Feedback on Discretionary Funded Courses

Assisted company F is part of a European owned group with a small production facility in the Convergence area. Eight staff participated in discretionary funded training, which included:

- a five day global management course, which was undertaken in France – undertaken by the Managing Director of the Wales facility
- a year-long e-distance learning course on Human Resource Management
- ILM Level 5 course in management
- ILM Level 2 Team Leader.

The courses were all undertaken off-site, though different providers were used for each. Interviews with two of the participating managers revealed high levels of satisfaction with the funded training received.

The first participant (ILM Level 5 course) felt that the delivery model was appropriate 'one day a month suits the company well' and that the timeframe for completion and the series of assignments appropriate and relevant. The participant also commented that the training linked directly to their on-going work situations and these were used in the assignments. The only negative feedback was that course learning materials were rather dated and needed refreshing. There had also been a change of tutor part way through, but in the event the participant rated the second tutor more highly than the first, so overall, this had not been a negative feature.

The second participant (HR e-learning course) was also positive about their experience stating that the course had effectively enabled her to incorporate personnel management issues into her role – a job which she only had limited prior experience of doing. The participant was satisfied with the quality and relevance of the course, pointing out that the 'tutor was always accessible' and that the work related very closely to her job at the company.

The second participant (with their newly acquired HR responsibilities) was also the lead contact in organising the other discretionary funded provision for the firm. Their view was that, overall, it definitely represented good value for money and that without the subsidy training would not have been done to the same extent. This person doubted that the global management course in France, which the MD attended, would have taken place had it not been for the discretionary funding subsidy. In addition, the participant went on to say that the training undertaken with the support of ELMS had acted as a catalyst for more training to be undertaken and for the training budget to be expanded.

Company G is a manufacturing firm based in the RCE area employing 130 staff on a single

site. It is owned by a parent company based in the United States. Six members of staff from across different parts of the business (e.g. R&D, operations and engineering departments) took part in ELMS discretionary funded training. The six staff members were selected on a voluntary basis, with the aim of setting up a project team to look at how communications could be improved across the business. They had an established working relationship with the training provider selected to undertake the work with them. In tandem with this project, the company was already committed to investing in training, and had undertaken Level 7 training in mentoring and Level 5 training in leadership and management.

The ELMS discretionary funded training covered project management, communication skills, presentation skills, time management and other areas.

Interviewed participants were very positive about their experiences and felt that the training provider had adapted the course content which made it feel tailored and 'not like a normal training course'. Company G's HR Director who organised the training felt that the provider had done an excellent job of achieving two simultaneous objectives, which were to:

- Deliver training of management and leadership skills.
- Support and mentor a project to gain the views of wider staff through the project team.

The HR Director also felt that the training represented excellent value for money and said that company G was considering 'repeating the exercise in another year or two' and would consider paying the entire cost themselves should Welsh Government subsidies no longer be available

Learner feedback on ELMS provision

5.23 Data from the 2011 ESF Leavers Survey shows that the majority of participant respondents were either satisfied or very satisfied with their ELMS course. 88 per cent (354 learners) were either satisfied or very satisfied in the Convergence area, while 90 per cent (241 learners) were either satisfied or very satisfied in RCE, as shown in **Figure 5.10**.

Figure 5.10: Learner satisfaction with ELMS course

	<i>Percentages</i>	
	Convergence	RCE
Base (Absolute)	402	268
Very satisfied	45	48
Satisfied	43	42
Neither satisfied nor dissatisfied	7	7
Dissatisfied	2	2
Very dissatisfied	2	1

Source; ESF Leaver's Survey data. Base 670

5.24 More than three quarters (at 77 per cent or 513 learners)¹⁰⁵ said that with hindsight, they would do the same course at the same place again.

Course content

5.25 Next, we turn to analyse the type of course content covered by the ELMS activities assisted companies participated in.

¹⁰⁵ Base 670

Figure 5.11: Overview of ELMS funded course content

	<i>Numbers</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Total number of business	90	30	61	19
Managing people/teams	68	22	41	15
Coaching and mentoring skills	55	20	37	10
Higher level job specific skills	42	17	30	10
Change management	38	12	33	12
Business planning and budgeting	27	16	18	8
Equal opportunities	38	13	18	6
Financial management	31	17	10	5
Higher level health and safety	34	11	14	3
Environmental management	26	9	8	4
Other	3	0	3	0
None of the above	1	0	0	0
Don't know	0	0	3	0

Source: IFF Survey Data. Base 200.

5.26 **Figure 5.11** shows that the topics and themes covered in ELMS workshops and training undertaken via discretionary funding are relevant to leadership and management and there is generally a high degree of consistency in terms of topics covered across the Convergence and RCE areas.

5.27 It is noteworthy that despite not having recorded any outputs against cross cutting theme targets, a significant proportion of participating employers report equal opportunities and environmental management as being two of the topics covered in courses/activities funded by ELMS. It may be appropriate to consider whether outputs from these courses might be counted against the project's cross-cutting theme targets. It is also reasonable to expect that progress against the equality and diversity targets should improve as the coaching and mentoring strand

gets fully underway given that the providers are expected to deliver an equality and diversity training module as part of their provision under ELMS.

Figure 5.12: Skills covered in ELMS activities¹

	<i>Numbers</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Total number of businesses	90	30	61	19
Supervisory	64	23	40	11
Training	49	22	31	9
Process management ²	37	16	25	11
Strategic planning	36	18	15	11
Project management	37	16	21	10
Quality management	34	17	20	10
Marketing	29	12	10	9
Sales/service/account management	21	8	11	6
Procurement/Supply Chain Management	17	3	7	4
None of the above	5	1	5	0
Don't know/can't remember	1	1	3	0

Source: IFF Survey Data. Base 200.

1. Respondents could select multiple options

2. e.g. LEAN, Six Sigma.

5.28 **Figure 5.12** provides an overview of the skills covered in both the workshops and the discretionary funded activities companies participated in. Again, this clearly shows that the skills covered by both interventions are relevant and appropriate in the context of leadership and management. It is notable that there is a significant representation of supervisory skills compared to more strategic functions (such as strategic planning) though this is in line with the original business plan which states that the first aim of ELMS is to 'improve skills in operational and strategic disciplines'¹⁰⁶.

¹⁰⁶ Convergence Business Plan, Page 13.

Qualification outcomes – Employer perspectives

5.29 Moving on to qualification outcomes, just over half (54 per cent or 108 businesses)¹⁰⁷ said that those who participated in ELMS activities had gained a qualification. **Figure 5.13** breaks this down across Convergence, RCE and the two types of active intervention.

Figure 5.13: Qualifications gained by participants

	<i>Numbers</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Total number of businesses	90	30	61	19
Yes – gained a qualification	52	19	26	11
No – did not gain a qualification	36	9	27	8
Don't know	2	2	8	0

Source: IFF Survey Data. Base 200.

5.30 Figure 5.13 shows that employers in the Convergence area were more likely to report that participants have gained a qualification both from the workshops and discretionary funded training.

5.31 **Figure 5.14**, explores the nature of the qualifications gained in more detail. Just over a half (54 per cent or 108 businesses) of the assisted companies in our survey answered this question. Overall, just under a third of assisted companies that responded to this question (31 per cent or 34 businesses)¹⁰⁸ did not know what level of qualification their ELMS participants had gained. On the face of it, this suggests that perhaps gaining a qualification was not part of the motivation, (from an employer perspective at least) for participation, though as we explore later on in this chapter, employers also said that their staff gaining a qualification was important to them.

¹⁰⁷ Sample base 200.

¹⁰⁸ Sample base 108.

5.32 According to our survey, the largest proportion of participants gained a level 3 qualification (32 per cent or 35 businesses). In terms of the policy objective (set out in the Leading Edge¹⁰⁹) of raising the proportion of managers in Wales that have leadership and management qualifications above level 3, the survey findings show that at the mid-term point, 41 per cent of those businesses which saw participants gaining qualifications (44 businesses) say that their participants achieved this. This is equivalent to 22 per cent of all participating businesses.

Figure 5.14: Level of qualifications gained by participants

	<i>Numbers</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Total number of businesses	52	19	26	11
Level 2	8	1	3	1
Level 3	20	5	8	2
Level 4	5	2	2	0
Level 5	8	6	5	4
Level 6	0	2	0	1
Level 7	6	2	1	1
Don't know	13	8	10	3
Other	1	0	0	1

Source: IFF Survey Data. Base 108.

5.33 We also asked survey respondents to comment on whether the qualifications their staff had gained via ELMS were higher, lower or equivalent to the most advanced qualifications already held by those trained. Of these 44 per cent (48 businesses) said that the qualification gained via ELMS was higher, while 20 per cent (22 businesses) said that it was the same and 19 per cent (20 businesses) said it was lower. The remainder 17 per cent (18 businesses)¹¹⁰ didn't know.

¹⁰⁹ The Leading Edge for Welsh Businesses – Enhancing Leadership and Management Skills. Delivery Plan. August 2008. Welsh Assembly Government.

¹¹⁰ All figures quoted in this paragraph are from a sample base of 108.

- 5.34 In terms of the importance attached to qualifications by businesses, more than three quarters of the 108 businesses that responded to this question (77 per cent or 83 businesses)¹¹¹ said that the individual gaining a qualification was very or fairly important to them as an employer. Interestingly, it was cited as being very important in proportionate terms by a higher number of businesses in the RCE area (59 per cent or 22 businesses) as compared to the Convergence area (39 per cent or 28 businesses).
- 5.35 It was also the case that the larger the business, the more likely they were to say that qualifications were important. For example all assisted companies of 250+ employees (five businesses) that responded to this question said that staff gaining a qualification was very or fairly important. Interestingly, the majority of assisted companies (88 per cent or 176 businesses)¹¹² also thought that an important part of the training (both the workshops and discretionary funded training) was the opportunity to learn from others.
- 5.36 We also asked assisted companies to comment on how important they thought gaining a qualification was to their participating staff. The majority (at 84 per cent or 91 businesses)¹¹³ thought that gaining a qualification was either very or fairly important to their staff. This is in contrast to the perspectives of individual learners responding to the ESF Leavers Survey who reported that qualifications had not been a particularly important or motivating factor in terms of their participation in ELMS courses (para. 4.64 above).
- 5.37 In terms of how the learning was assessed, 92 assisted companies (46 per cent) answered a question on this. Just over a third (31 businesses) said that the learning had not been assessed. Of those that thought their staff had been assessed the largest group at just under a quarter (19

¹¹¹ Sample base 108.

¹¹² Sample base 200.

¹¹³ Sample base 108.

businesses) said that this had been done via a trainer or assessor observing new skills being applied.

5.38 We asked survey respondents that had participated in ELMS courses personally to comment on their understanding of the subject area both before and after the course.

Figure 5.15: Understanding of subject area before and after course

	<i>Numbers</i>			
	Convergence Before	Convergence After	RCE Before	RCE After
Total number of respondents	72	72	57	57
1 = Very low	6	0	4	1
2	10	0	13	0
3	30	2	21	4
4	21	33	14	19
5 = Very high	5	37	4	32
Don't know	0	0	1	1

Source: IFF Survey Data. Base 129.

5.39 **Figure 5.15** shows a clear trend of improved understanding of the subject area post training with a particularly notable increase in those saying that their understanding is very high in both the Convergence and RCE areas.

5.40 In contrast somewhat to the survey findings (which suggest that qualifications are seen as relatively important to employers), evidence from our qualitative visits to ELMS supported companies suggested that qualifications were not seen as a particular driver for participants in either the workshops or the discretionary funding element. While there was a reasonably high degree of awareness of the qualifications being gained by participants, overall, the view seemed to be (across small and larger employers) that qualifications were a 'nice to have' rather than an essential part of the training package.

Figure 5.16: Qualitative evidence from company visits: Qualification outcomes

Company H is a professional service sector business employing fewer than 10 people in the Convergence area. Two of the Managing Partners signed up for a 'Management Training' course subsidised via the discretionary fund element of ELMS which they completed in October 2012. They had been assisted in their application for funding via their HRDA who was 'helpful but didn't play a huge role in securing the funding'.

In-line with survey feedback, Company H rated the training they had received very highly and the tutor had 'a wealth of experience and excellent attention to detail'. The only downside was the occasional 'over-use of jargon' though the two participants always asked for clarification.

In terms of qualification outcomes, neither of the Managing Partners felt that gaining a qualification was important and they couldn't recall having received any qualifications on completion of the training. Both participants had an ownership stake in the business and as such were not planning to look for new jobs and as such they did not feel the need to demonstrate the new skills gained by adding qualifications to their respective CVs for career progression purposes.

Rather, the main benefit of the training for the two company H Managing Partners had been to 'boost our confidence in dealing with situations rather than fire fighting when problems appear'. The training had also directly led to the business deciding to commission a marketing consultant to work with them to promote the business to new clients.

'This training helped us sustain our profitability at a difficult time – we're doing the same amount of work but making it pay better'.

A similar message in relation to qualifications came through from company I, a large firm in the Convergence (which is part of a group headquartered in England). Company I participated (via two middle managers) in a series of ELMS workshops on PRINCE II project management and a Foundation Degree in Neuro Linguistic Programming (NLP) which involved a series of two day modules roughly every six weeks over the period of a year. The training was commissioned by line managers using decentralised budgets rather than from the corporate training plan budget.

The first company I participant was very impressed with the quality of what they'd received (the NLP course). 'Personally, I found [the provider] excellent. I'd not ever been on a course like it...the approach was really refreshing ... a complete eye opener'. The second also thought that the PRINCE II workshops had been 'very good' but that to some extent, this had been a 'reinforcement of what I already knew'.

In terms of qualifications gained, the first participant had gained a Level 4 Foundation Degree which they regarded as 'a nice to have' and something that gave a degree of assurance about the academic credentials of the course rather than being of fundamental importance to them or company I. The second participant gained a PRINCE II qualification but regarded this as 'not particularly important'.

Both felt that the value of the courses they had been on was more on their behaviour and effectiveness in the workplace than it had in terms of qualification outcomes.

Qualification outcomes – Learner perspectives

5.41 In the 2011 ESF Leavers Survey, a total of 634 participant respondents commented on whether they received any qualifications or accredited certificates as a result of the ELMS course in which they participated. Just over half (at 55 per cent or 346 learners) said that they had, while 40 per cent (254 learners) said that they had not. The remainder said that they did not know. There were no significant differences in this respect between Convergence and RCE.

5.42 The Leavers Survey suggests that ELMS participants seemed unable to provide much detail about the nature of the qualification they received. Of 362 participant respondents that commented on the level of qualification or credits they had received, the highest proportion at 39 per cent (140 learners) said that they had received a 'diploma' while 12 per cent (44 learners) provided 'other responses and 11 per cent (40 learners) said that they did not know what qualification they had received. Of those able to provide information to identify a level, the majority reported that they had achieved qualifications at level 3 or below (26 per cent of all respondents saying they had gained qualification or 95 learners) with only 11 per cent (39 learners) identifying qualifications at level 4 and above. This is broadly in line with the picture presented by ELMS employers, but, given the profile of ELMS respondents in terms of prior qualifications (with 52 per cent having a qualification at level 4 or above), it suggests that few ELMS participants will have gained qualifications at a higher level than they had previously achieved. Taken

together with the vagueness of responses to the question of the nature of the qualifications and the low salience of qualifications as a motivating factor for ELMS participants, this suggests that from the participant perspective, qualifications are not viewed as a significant part of ELMS provision.

5.43 The Leavers Survey also suggests that course completion has been high in relation to ELMS, with only 36 of the 670 ELMS participant respondents (5 per cent) saying that they had not completed their course.

6 Effects and Impacts

6.1 In this chapter, we deal with the effects (including skills utilisation) and impacts of ELMS to date.

6.2 The chapter draws on evidence from:

- the telephone survey with supported companies;
- follow up qualitative visits to assisted companies and participants; and
- analysis of learner data from the 2011 ESF Leavers Survey.

Key findings outlined in this chapter:

- The majority of assisted companies (95 per cent) said that the learning from ELMS activities was being put into practice by participants and this was consistently high across Convergence and RCE and both intervention types.
- That said, the extent to which training had led to positive effects on the behaviour and abilities of participants was mixed with discretionary funding leading to more positive effects on behavioural change than the workshop element. While recognising that the different types of courses funded by ELMS are likely to lead to different behaviour and ability outcomes, there appear to be positive effects in terms of participant abilities, particularly relating to organising staff, time management, improving systems and working with customers.
- Survey respondents who had attended training themselves reported a number of positive impacts since taking part in the training including being more open to collaboration with others, being more aware of their own traits as leaders, being more open to addressing their own weaknesses and being more willing to delegate and allow others to make decisions for themselves.
- The majority of participating learners (via the ESF Leavers Survey at 72 per cent) said that they had improved their leadership and/or strategic

management skills. Individual respondents also generally reported positive results in terms of job specific skills.

- Individual participant respondents (via the ESF Leavers Survey) also said that they were now more enthusiastic about learning (62 per cent) that their career prospects had improved (72 per cent), that their job specific skills had improved (73 per cent) and that they were getting more job satisfaction (60 per cent). Just over a third had received a pay increase since the training, while a minority (18 per cent) had secured a promotion while working for the same employer. A majority (70 per cent) of individual participants responding to the ESF Leaver's Survey said that the ELMS course had helped them achieve these outcomes.
- The majority (75 per cent) of assisted companies said that they were likely to undertake further leadership and management training in the next 12 months, though the proportion was notably higher for those who received discretionary funding than for those who attended workshops. The vast majority of assisted companies also attributed the increased likelihood of them undertaking further leadership and management training directly to ELMS.
- Assisted companies thought that the most significant impact of the training on individual participants was in relation to staff morale, followed by promotion and increased responsibilities. There was less evidence (not unsurprisingly given prevailing economic conditions) to suggest that this led to increased wage levels – which chimes with the findings of the ESF Leavers Survey.
- Assisted companies did not make a particularly strong link between ELMS training and either improved profitability or reduced losses. The most positive impacts at a company level were in relation to improved productivity and efficiency and overall prospects going forward.
- There was very little evidence to suggest (either from the survey or the qualitative fieldwork) that the cross-cutting themes of environmental sustainability or equal opportunities had featured prominently in the delivery of ELMS to date.

Utilisation of new skills

- 6.3 We asked assisted companies to comment on whether participants and their managers would have discussed how they might apply what they had learned in the workplace after the training had taken place. The majority (80 per cent or 160 businesses)¹¹⁴ said that they had, though in proportionate terms this was notably higher for discretionary funding (47 of 49 businesses) than it was for the workshops (at 75 per cent or 113 businesses).
- 6.4 In this context, some two thirds (64 per cent or 128 businesses) said that they offered participants coaching and mentoring to follow-up what they had learned – highlighting the overall significance of coaching and mentoring in this context.
- 6.5 Turning to the extent to which the learning from ELMS activity had been put into practice, 95 per cent (189 businesses)¹¹⁵ said that the learning was being applied by participants and this was consistently high across Convergence (93 per cent or 141 businesses) and RCE (48 of 49 businesses) and across the workshops (93 per cent or 141 businesses) and discretionary fund elements (48 of 49 businesses).
- 6.6 Next, we looked at how the training improved the behaviours, skills and abilities of participants across a number of areas. **Figure 6.1** shows the proportion of assisted companies that said the training had had a positive effect on behaviour, while **Figure 6.2** shows the proportion of assisted companies that said it had a positive effect on participant ability.

¹¹⁴ Sample base 200.

¹¹⁵ Sample base 200.

Figure 6.1: Positive effect of training on participant behaviour

	<i>Numbers</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Total number of businesses	90	30	61	19
Influence the organisation's culture	35	22	25	12
Challenge the status quo	42	19	25	12
Recognising business opportunities and threats	38	20	23	11
Build and create buy-in to a vision	41	21	20	10

Source: IFF Survey Data. Base 200.

Figure 6.2: Positive effect of training on participant ability

	<i>Numbers</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Base (Absolute)	90	30	61	19
Business planning	31	16	17	10
Organising staff	48	24	20	8
Time management	42	19	18	8
Controlling financial resources	21	12	9	4
Working with suppliers	23	7	9	3
Improving systems	43	23	25	13
Marketing the organisation's products	18	13	8	8
Working with customers	38	24	21	13

Source: IFF Survey Data. Base 200.

6.7 It needs to be noted of course that given the different types of training undertaken by ELMS participants (across the workshop and discretionary elements), it cannot reasonably be expected that training

will lead to gains or positive effects in each of the different behaviour and ability categories. However, figures 6.1 and 6.2 show a rather mixed picture considering that 95 per cent of the businesses surveyed said that learning from ELMS activities had been put into practice, with positive effects being much more common in respect of organising staff, time management, improving systems and working with customers than more specialised aspects of management such as marketing, working with suppliers and controlling financial resources. There is also a mixed picture in relation to the positive impacts the two different types of intervention have had, with discretionary funding generally more likely to be associated with positive impacts.

6.8 In relation to behaviour, (Figure 6.1) the discretionary funding element led to more positive effects in all four of the categories listed.

6.9 In terms of the respondents to our survey that personally took part in training, there were a number of positive findings including:

- 76 per cent (98 respondents) said that they were more open to collaborating with others
- 71 per cent (91 respondents) said that there had been a positive change in their awareness of their own traits as a leader or manager;
- 70 per cent (90 respondents) said that they were now more open to addressing their own weaknesses
- 70 per cent (90 respondents) said that they were now more willing to delegate and allow others to make decisions for themselves
- 68 per cent (88 respondents) said that they felt more confident in dealing with colleagues at the same or a lower level than them
- 64 per cent (83 respondents) said that they were now felt more confident in dealing with senior colleagues¹¹⁶.

¹¹⁶ All from a sample base of 129.

- 6.10 It is also encouraging to note that 75 per cent of all the business in the survey (149 businesses) said that the company was likely to undertake further leadership and management training in the coming 12 months. There was a notable difference here in the proportions across workshop participants where seven in ten (105 of 151 businesses) said they would undertake further training whereas nine in ten (44 of 49 businesses) of those who had discretionary funding said that they would do so. It was also true that larger firms were more likely to say that they were 'very likely' to undertake further leadership and management training in the coming 12 months as compared to those employing less than 10 and those employing between 10 and 49 staff.
- 6.11 Moreover, in terms of attribution, 90 per cent (134 businesses) said that participation in ELMS meant that it was more likely that they would undertake further leadership and management training than would otherwise have been the case.
- 6.12 93 per cent (624 learners)¹¹⁷ of ELMS respondents to the 2011 ESF Leavers' Survey said that they had been able to apply what they had learned via ELMS in the workplace. Respondents to the survey also expressed relatively strong satisfaction with aspects of their current employment which may be thought to reflect leadership and management responsibilities: thus, 95 per cent (608 respondents) were either very satisfied (54 per cent) or fairly satisfied (41 per cent) with the opportunity to use their own initiative in their current work and 87 per cent (562) were either very satisfied (31 per cent) or fairly satisfied (46 per cent) with their capacity to fulfil potential at work. Overall, ELMS participants expressed fairly strong satisfaction with their current employment: 43 per cent (274 respondents) were very satisfied and a further 49 per cent (314) were satisfied (i.e. 92 per cent overall: this compared to 89 per cent of all employed ESF Leavers).

¹¹⁷ Base 670.

6.13 Having said this, the vast majority of ESF Leavers Survey ELMS respondents (86 per cent or 575 respondents) had remained in their previous jobs (86 per cent), with only a relatively small minority (41 in total or just under 50 per cent of those who had changed jobs) having moved jobs for positive reasons such as securing a better job.

Impact – Employer perspectives

6.14 Turning to impact, we look firstly at the impact of the training on the participants from the perspective of their employers. **Figure 6.3** shows that supported companies perceived the biggest positive impact to have been on staff morale, with this being notably higher in proportionate terms for discretionary fund training in the Convergence area.

Figure 6.3: Positive impact of training on participants

	<i>Numbers</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Total number of business	86	30	56	19
Staff morale	62	26	38	15
Promotion and being given more responsibility	49	25	23	16
Team work within organisation	51	21	29	13
Understanding of role within the organisation	51	21	27	13
Clarity about the direction in which the company is going	50	19	24	13
Attitude and preparedness to take responsibility	45	19	28	12
Confidence shown in taking opportunities and	47	19	27	11

dealing with threats				
Number and seriousness of personnel problems ¹¹⁸	34	10	9	9
Participant pay	20	15	13	7
Staff retention	31	11	6	7

Source: IFF Survey Data. Base 191.

6.15 Figure 6.3 also shows that while supported companies think that the training has broadly positive effects on the promotion prospects of participants (though this is notably higher for discretionary participants), this is not necessarily reflected in terms of increased wage levels for participants (though this is perhaps not surprising).

6.16 Next, we consider the impact on supported companies. **Figure 6.4** gives an overview of responses.

Figure 6.4: Positive impact of training on the organisation

	<i>Numbers</i>			
	Convergence Workshops	Convergence Discretionary	RCE Workshops	RCE Discretionary
Total number of businesses	90	30	61	19
Productivity and efficiency	65	23	38	16
Prospects going forward	59	25	31	15
Quality of products or services	45	26	29	13
Product or service innovation	42	17	28	14
Use of new technologies	32	17	15	13
Wastage and down time	46	15	23	7
Profit levels/reducing losses	33	14	12	11
Supply chain management/procurement processes	31	9	8	9

Source: IFF Survey Data. Base 200.

6.17 Figure 6.4 shows an encouraging range of positive impacts, particularly in terms of productivity and efficiency and future prospects, though these are both somewhat lower in relation to RCE workshops.

¹¹⁸ e.g. Grievances and disciplinaries.

6.18 Figure 6.4 also shows that assisted companies do not seem to make a particularly strong link between the ELMS training and improved profitability or reduced losses, although the figures in relation to the discretionary fund (at just below half of those in Convergence and more than half of those in RCE) give some cause for optimism given the prevailing macro-economic conditions.

6.19 Only a small minority of supported companies (16 per cent or 32 businesses) said that they were able to quantify a percentage increase in profit because of the ELMS training undertaken. Of those:

- 14 businesses said that the increase had been less than 5 per cent
- 11 businesses said that the increase had been between 5 per cent and 10 per cent
- 2 businesses said that the increase had been between 10 per cent and 20 per cent
- 5 businesses said that the increase had been more than 20 per cent.

6.20 **Figure 6.5** provides a summary overview of the evidence gathered from the company visits undertaken in relation to perceived outcomes and impacts. It also shows researcher assessment relating to the utilisation of new skills and subsequent impact on assisted companies and levels of additionality.

Figure 6.5: Summary overview of qualitative evidence from company visits

Company	Area	Intervention type	Utilisation	Additionality	Summary of outcomes and impacts
A	Conv	W/shop	Low/ Medium	Weak	Seen as an update of existing health and safety skills rather than acquisition of new leadership and management skills. More confident in knowledge of Health and Safety issues. Little evidence that participation has had any impact on business performance. No evidence of career progression or salary increase.
B	RCE	W/shop	Low/ Medium	Weak	The training (IOSH Health and Safety) has been beneficial to the business in compliance terms, and is contributing to some changes in working practices. Company B viewed the training undertaken as a statutory requirement and would have undertaken training regardless of ELMS.
C	Conv	Disc.	High	Moderate	Improvements to staff morale and communication directly attributable to the training undertaken. Improvements in productivity and profitability partially attributable to ELMS. Evidence of participant promotion and additional responsibilities at supervisory level linked with modest salary increases. Company C has a training budget and said that they would have probably undertaken L&M training regardless but at a slower pace.
D	RCE	Disc.	Medium/ High	Moderate/ Strong	Main outcome is that project managers can be cited as PRINCE II qualified when competing for public sector contracts. Possible that the training might have taken place at a much later date, but the availability of the programme was instrumental in committing. No evidence of promotions or increased salaries as a result.
E	Conv	W/shop	Medium/ High	Moderate/ Strong	Main outcome is a 'massive confidence boost' to the company with staff feeling more empowered through more frequent team meetings and improved delegation by managers. 'Managers are relating to staff much better'. Partial attribution of improved productivity to

Company	Area	Intervention type	Utilisation	Additionality	Summary of outcomes and impacts
					ELMS as a result. Company would probably have self-financed senior managers to undertake ILM Level 5 but would not have trained supervisors without ELMS intervention.
F	Conv	Disc.	Medium/ High	Moderate/ Strong	Improved staff morale and buy-in. Increased confidence levels amongst participating managers. Company has since increased its annual training budget and partially attributable to ELMS. Evidence of salary promotion and salary increase with moderate/strong attribution to the discretionary funded training.
G	RCE	Disc.	Medium	Moderate	Innovative group project based approach to implementation meant very practical and relevant content. Possible that Company G would have commissioned L&M training without the support of ELMS, though unlikely that it would have done so in the innovative and flexible way that the programme allowed. Some evidence of improved communications and relations between shop floor and management and seen as a catalyst for further improvements. No evidence of resultant promotions or salary increases.
H	Conv	Disc	High	Strong	Attributed sustaining good levels of profitability and improved productivity during a difficult period to training. Improved management processes put in place and overall evidence of better decision making at senior levels. Company H were considering undertaking training prior to ELMS, but the programme was the catalyst to making the commitment to proceed.
I	Conv	W/shop	Low/ Medium	Moderate/ Weak	No evidence of ELMS having made a significant difference to the ethos and approach of the company. However, the individual training interventions are seen as having improved operating efficiency and personal effectiveness, albeit at the margins. No evidence of promotion or salary increases. Commissioned via decentralised departmental budget rather than corporate training budget.

Company	Area	Intervention type	Utilisation	Additionality	Summary of outcomes and impacts
J	Conv	Disc	Medium	Weak	Improvements which could be partially attributed to the training included an improved staff review structure and introduction of more formalised service level agreements for some services (e.g. ICT support). Some evidence of softer outcomes including staff morale (at supervisor level) 'the guys in the factory seem happier and they're delivering better results'. Moderate degree of utilisation, though some aspects of training seen as 'too theoretical'. Some evidence of promotion and pay increases which could partially be attributed to the training. Company J categorically stated that they would have undertaken training regardless of ELMS subsidy.
K	RCE	W/shop	Medium	Strong	Some evidence of behavioural changes at an individual level 'I am more consciously aware of how I operate'. Company K has also implemented some new ideas and took the view that overall improved skills will have led to marginal gains in business performance. Examples include more effective delegation by the Managing Director to other staff as a result of improved relationships. Company K would have been very unlikely to have paid for the entire cost of this type of training in the absence of ELMS. No evidence of staff promotion or salary increases.
L	RCE	W/shop	Low	Weak	To a large extent, the training focused on improving skills in developing relationships with clients. In this respect, the training has not focused on addressing leadership and management skills needs, but will have a potential impact on the nature of services offered to clients.
M	Conv	W/shop	Low	Weak	Attended a marketing workshop. Value for company M was in meeting and networking with other business people and managers. No evidence of material difference to the individual participant or the business. No effect on the attitude of the participant to

Company	Area	Intervention type	Utilisation	Additionality	Summary of outcomes and impacts
N	RCE	Disc	Low	Weak	<p>training.</p> <p>No evidence of any positive effects or impacts on the productivity or profitability business as a result of ELMS training. Utilisation to date appears to be very limited and the participants are somewhat frustrated that they have not been able to put learning into practice due largely to a perceived lack of engagement from senior Directors to implement new ideas. The participants have expressed some interest in undertaking further training (and suggested that others in the company do so) to improve processes and productivity.</p>
O	Conv	W/shop	Medium/ Low	Low	<p>The training focused on training (via workshops) relating to managing safely. The availability of ELMS is likely to have accelerated their participation in this kind of training. However, this has not led to any substantive changes in the overall volume or nature of management and leadership training undertaken by the business. The main impact of the training undertaken has been increased confidence that the firm is meeting health and safety requirements and is using this to underpin its approach to the management of health and safety across the business in the future.</p>

Source: Qualitative fieldwork interviews with participating businesses.

Impact – Learner perspectives

6.21 In terms of skills gained or improved as a result of the ELMS course, the 2011 ESF Leavers Survey showed that 72 per cent (482 learners)¹¹⁹ said that they had improved their leadership and/or strategic management skills (although the other 28% or 186 learners per cent did not think this was the case). There was no significant variance between Convergence and RCE.

6.22 Respondents to the ESF Leavers Survey replied to a number of different questions relating to skills improvements. Of those that replied to these individual questions:

- 73 per cent reported that the provision had led to improvements in terms of job specific skills.
- 74 per cent said that the provision had led to improvements in communication skills
- 72 per cent said that the provision had led to improvements in team working skills
- 70 per cent said that the provision had led to improvements in problem solving skills.
- 70 per cent said that the provision had led to improvements in organisational skills.

6.23 Other notable gains included that just under two thirds (at 62 per cent or 416 learners) said that they were now more enthusiastic about learning, while 83 per cent (554 learners) said that they were more confident of their abilities after completing the ELMS course.

¹¹⁹ Base 670.

- 6.24 A majority of 72 per cent (483 learners) said that they felt they had improved employment or career prospects after completing the ELMS course.,¹²⁰
- 6.25 60 per cent (348 learners)¹²¹ said that they were getting more job satisfaction since completing the course. This is exactly in line with the overall finding (also 60 per cent) for all employed ESF leavers.
- 6.26 Turning to positive changes within their current employment, a minority of 18 per cent (or 106 learners) of those working for the same employer had secured a promotion. Younger participants were more likely to say that they had been promoted (e.g. 36 per cent aged 20-29 and 24 per cent of those aged 30-39).
- 6.27 Just over a third of respondents (at 35 per cent or 207 learners)¹²² said that they had received a pay increase since completing the ELMS course. There were no significant variances between Convergence and RCE. This compares with 40 per cent of all employed ESF Leavers. Just over half of the respondents (at 51 per cent or 297 learners)¹²³ said that their future pay and promotion prospects had improved since completing the ELMS course.
- 6.28 In all, 85 per cent of those in the same job (497 in all) identified at least one of these positive changes. Asked about the extent to which they could be attributed to the ESF provision, three quarters of these said that the improvements were either directly the result of the provision (6 per cent or 32 learners) or that the provision had helped (70 per cent or 346 learners). In contrast, 23 per cent (116 learners) said it had made no difference. Men were more likely to say that participation in ELMS had helped with these positive changes (79 per cent or 233 learners) compared to women (71 per cent or 145 learners)

¹²⁰ Base of 670.

¹²¹ Base 584.

¹²² Base 584.

¹²³ Base 584.

6.29 Of 53 respondents who had moved jobs only a minority of these (42 per cent or 22 learners) said that the job was at a higher level or had better pay (47 per cent or 25 learners) but a large majority (83 per cent or 44 learners) thought it gave greater job satisfaction, had better pay and promotion prospects (66 per cent or 35 learners) and provided greater job security (58 per cent or 31 respondents). However, a majority believed that the ESF provision had played no role in securing these improvements (52 per cent or 26 respondents) or in securing the new job (57 per cent or 39 leavers) – which appears to contrast with the results of the Leavers Survey as a whole, where respondents having changed jobs were more likely than those in the same job to attribute positive changes to the provision.

7 Conclusions and Recommendations

- 7.1 ELMS was conceived and developed on the basis of a clear policy rationale and is underpinned by a sound body of research which provides evidence of need. There was also logic attached to the process of applying for ESF funding from WEFO to finance ELMS as a strategic project (with two inter-related business plans for Convergence and RCE).
- 7.2 There is logic attached to the design of ELMS and the core elements that make-up the overall programme. However, while there is a clear policy rationale for the Welsh Language Diagnostic element (within the Welsh Medium Education Strategy), this does not fit particularly well with the ELMS package because it is not clearly linked to the leadership and management skills improvement agenda.
- 7.3 Both the Convergence and RCE business plans took forward and developed the ELMS concept in a coherent way and in line with the policy rationale set out in Skills that Work for Wales and Leading Edge.
- 7.4 In December 2011, ELMS was scaled back with a reduced budget and lowered output indicators. Despite lowered indicators, both the Convergence and RCE were behind profile at the mid-term point on each of the main performance indicators meaning that demand and up-take has been lower than envisaged.
- 7.5 At the mid-term point, all outputs in relation to project indicators (in both Convergence and RCE) had been generated by the leadership and management workshops and the discretionary funding element via the WDP. However, it is reasonable to expect that delivery of outputs should accelerate once SLF projects and the Coaching and Mentoring element are fully operational. If this does not materialise, further amendments to targets and funding may be required.

- 7.6 At the mid-term point, both the Convergence and RCE projects remain under-spent despite the budgets being reduced in line with the targets when the project was re-profiled. However, the unit cost per participant is substantively below that implied by revised budgets and indicators in both Convergence and RCE. In contrast, the unit cost per assisted firm is slightly above the implied unit cost in Convergence and is in line with expectations in RCE.
- 7.7 Procurement processes for the workshop, coaching and mentoring and Welsh language diagnostic elements had all been undertaken at the mid-term point and had resulted in appropriately qualified external delivery providers being commissioned. In the case of the coaching and mentoring element and the SLF (which was ring-fenced to SSCs), both were delayed for various reasons. This has undoubtedly had an impact on the performance of the project both in terms of budget used and indicators achieved.
- 7.8 Four SSC led Sector Leadership Fund projects have been approved: two of these were underway at the mid-term point, although one of them had been subject to delays between approval and implementation. It will be very important to ensure that there are no further delays in these 'live' projects and that the two new pilots can get underway as efficiently and effectively as possible.
- 7.9 Progress has been made in developing the Welsh Language Diagnostic tool which was undergoing user testing at the time this interim evaluation was carried out. It is too early to be able to meaningfully evaluate the impact of this tool to date. This will need to be considered further in the context of the subsequent stages of the overall ELMS evaluation. Given the discrete nature of this element of ELMS, consideration may need to be given to a stand-alone evaluation of the Diagnostic Tool.

- 7.10 No outputs had been recorded by either the Convergence or RCE project at the mid-term point in relation to the cross-cutting theme indicators relating to equality strategies and sustainable development. Neither was there any evidence from an assisted company perspective to suggest that the cross cutting themes, had to date been a particularly visible part of the offer. This is a concern and needs to be addressed going forward into the project's second half.
- 7.11 At the mid-term point, the two active elements of ELMS (the workshops and discretionary fund) had assisted a wide range of Welsh companies in terms of size and sector, broadly in line with the original aims of the programme. The vast majority of individual learners supported by these two strands have been people already in work, which is also entirely in-line with the programme's strategic objectives.
- 7.12 In general, companies accessing ELMS provision were more likely to be 'training aware' than is the case for Welsh businesses of comparable size in general, while there is some evidence that 'repeat business' from the same companies is a larger share of the overall activity than was originally envisaged.
- 7.13 Given the nature of the referral model via the WDP, HRDAs were more likely to have referred assisted companies to the discretionary fund element than the workshop element. Feedback from assisted companies on the role of HRDAs in the context of ELMS was positive.
- 7.14 In the main, in getting involved with ELMS, assisted companies were seeking to achieve specific business objectives and in particular were interested in developing the leadership and management skills of senior managers as opposed to supervisors or junior leaders. The employer's decision and influence has also been relatively important as a driver to individual participation.

- 7.15 Satisfaction amongst company and individual participants with ELMS provision in both Convergence and RCE and across both intervention types is high, though company feedback in relation to the relevance of workshops to specific job roles in the Convergence area was more mixed and warrants further investigation.
- 7.16 According to the survey data, just over half of the assisted businesses said that staff had gained a qualification but there were mixed views as to the importance of qualifications. While the majority of surveyed company respondents cited qualifications as being important, evidence from the qualitative visits suggested that qualifications were a 'nice to have' rather than an essential part of the package. From an individual participant perspective, qualifications were not viewed as a significant part of ELMS provision, in part reflecting the fact that ELMS participants were already generally highly qualified.
- 7.17 Overall, the conversion rate between participants and participants gaining qualifications is lower than envisaged (in the business plans) and is currently lower than required in order to meet the qualifications targets. However, it is reasonable to expect that this should improve as participants progress through the Coaching and Mentoring strand, where qualifications are an integral part of the 'offer'.
- 7.18 Reported utilisation of skills gained via ELMS amongst respondent businesses to the evaluation survey was high and consistently so across the Convergence and RCE areas and both intervention types (i.e. workshops and the discretionary fund). In contrast, the survey revealed that respondent businesses felt the effect of ELMS funded training on the behaviour and abilities of participants was less consistently positive and again, this warrants further investigation in later stages of the evaluation.
- 7.19 Most of the companies assisted by ELMS reported they were likely to undertake further leadership and management training in the next year

and the vast majority of those attributed the likelihood of this happening directly to the ELMS training that they had undertaken.

7.20 The most significant reported impact of ELMS training on individual participants (from a company perspective) was in relation to staff morale. By contrast, assisted companies did not make a particularly strong link between ELMS training and profitability. The most positive impacts attributed to the project at a company level were in relation to improved productivity and efficiency and overall prospects going forward.

7.21 There is evidence to suggest (via the ESF Leavers Survey) that individual participants are also more enthusiastic about learning, feel their career prospects have improved and that their skills in relation to leadership and management as well as job specific skills have improved. There is also some evidence to suggest that a minority of participating employees (a third) have benefitted from a pay increase while (18 per cent) secured a promotion. Attribution levels amongst participating learners experiencing positive outcomes were strong, with a majority saying that the ELMS provision had helped them secure the outcomes.

Recommendations

Recommendation 1

7.22 A key priority for the Welsh Government as ELMS enters its second term is to encourage companies that have not previously used the programme, particularly small enterprises, to participate. In particular, officials need to ensure that HRDAs are fully up to speed on the new elements of the programme (i.e. SLF pilot projects and the Coaching and Mentoring strand) and actively promote these to the companies they advise and assist. The Welsh Government should also explore ways in which HRDAs might play a more active role in promoting the leadership and management workshops alongside LMW which should take on a more direct approach to signposting customers to ELMS in its work programme through to 2015 (as recommended in the LMW evaluation).

Linked to the on-going challenge of increasing participation, the Welsh Government needs to closely monitor the expenditure and performance of the various elements of ELMS over the coming 12 months to ensure that targets remain realistic and achievable.

Recommendation 2

7.23 The Welsh Government should explore with workshop providers and LMW the findings of this evaluation in relation to post-intervention behaviour patterns of participants and the potential for ELMS provision to play a greater role in influencing organisational culture. While it is unrealistic to expect that a relatively light touch intervention such as the workshops will have a major bearing on organisational culture, progression from the workshops onto other, more intensive, forms of leadership and management training needs to be strengthened (for example by forging closer linkages and encouraging progression between the workshops and coaching and mentoring) to ensure behavioural change and organisational culture outcomes are achieved. The Welsh Government should also bring the findings on behavioural change and organisational culture to the attention of providers under the coaching and mentoring and SLF strands and explore ways in which meaningful, longer term outcomes can be targeted via these elements. This also needs to be considered by LMW in the context of adding depth and specificity to their events – a recommendation made in the evaluation of LMW.

Recommendation 3

7.24 The Welsh Government and the delivery providers involved with the implementation of ELMS need to consolidate and build on the generally positive findings in relation to the quality of and satisfaction levels with provision delivered to date. Maintaining these positive results in the SLF and coaching and mentoring strands should also be a priority.

Recommendation 4

7.25 The Welsh Government needs to explore with its workshop providers (particularly in the Convergence area), with HRDAs and with LMW how the perceived relevance of the workshop offer can be improved in relation to the job roles of participants.

Recommendation 5

7.26 The Welsh Government needs to consider (in the context of the mixed findings on employer and participant views on qualifications) whether and how the proportion of participants gaining qualifications can be increased across both Convergence and RCE and the different elements. A key focus here should be on promoting the benefits and impacts of accredited leadership and management training. However, this should be secondary to the focus on targeting new businesses, and strengthening behavioural and organisational culture outcomes.

Recommendation 6

7.27 The Welsh Government needs to consider as a matter of some urgency how to incorporate aspects relating to the cross-cutting themes of sustainable development and equal opportunities into ELMS provision.

Recommendation 7

7.28 The Welsh Government should proceed with the trialling of the Welsh Language Diagnostic tool and consider how to evaluate feedback from employers and participants. In light of the feedback received from the trialling phase, appropriate revisions to the tool should be made and a final version published and promoted widely to potential users.

Annex 1: ELMS Evaluation Framework.

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
ACTIVITIES								
1)Workshops								
Promotion and publicity for Workshops undertaken by providers and LMW	No. of events and taster sessions held Publicity materials produced	X		X				
Workshops held – open access and bespoke	No. of workshop sessions held		X	X				
Businesses registering for workshops	No. of businesses assisted* (*WEFO target)		X	X				
Businesses sending staff to open access workshops for the first time	No. of businesses participating in open access workshops for the first time		X	X				
Businesses commissioning bespoke workshop provision for the first time	No. of businesses commissioning workshops for the first time		X	X				
New participants attending Workshops	No. of participants* (*WEFO target)		X	X				
'Repeat' business for workshops from businesses	No. of businesses accessing support for a second time	X	X	X	X	X		

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
already supported – but new participants	Proportion of businesses accessing support for a second time with new participants							
'Repeat business' for workshops with businesses already supported – but with the same participants at a higher level	No. of businesses accessing support for a second time Proportion of businesses accessing support for a second time with previous participants	X	X	X	X	X		
2) Discretionary Funding								
HRDAs provide diagnostic and advice [not funded by the Programme]	No. of businesses supported by HRDAs	X			X	X		
WDP clients referred to L+M training as part of discretionary funding package	Proportion of businesses supported by HRDAs accessing L+M discretionary funding	X	X	X	X	X		

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Monit- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
Discretionary funding provided for L+M training in companies	No. of businesses assisted* Total funding allocated to discretionary funding (*WEFO target)	X	X					
Businesses undertaking L+M training at different levels: -Team leaders -Middle Management -Senior	No. of businesses receiving discretionary funding at different levels Proportion of assisted businesses undertaking training at different levels	X	X	X	X	X		
Participants undertaking L+M training at different levels -Team leaders -Middle Management -Senior	No. of participants undertaking training at different levels Proportion of assisted businesses undertaking training at different levels	X	X	X	X	X		
3) Coaching and Mentoring								
Promotion and publicity for coaching and mentoring by	No. of events and taster sessions held	X		X				

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
providers and by LMW	Publicity materials produced							
Business signing up to coaching and mentoring	No. of businesses assisted* (*WEFO target)		X	X				
Participants trained in coaching and mentoring	No. of participants* (*WEFO target)		X	X				
Participants trained in delivering coaching and mentoring	No. of participants trained as trainers Proportion of participants trained as trainers	X		X	X	X	X	
Materials developed and provided to trainees to aid them cascade training	Materials developed	X		X		X		
4) Sector Initiatives								
Support to SSCs to develop sector initiatives	No. of SSCs provided with assistance by project management team			X				
Initiatives developed	No. of initiatives submitted by SSCs for WG approval	X		X				
Funding provided via SSCs	No. of initiatives funded	X	X	X				

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
to implement initiatives	Total funding allocated							
Businesses/participants accessing training in: -L+M -technical qualifications	No. of businesses assisted* No. of participants* Proportion of participants accessing L+M training Proportion of participants accessing technical training	X	X	X	X	X	X	
Higher level technical training delivered (linked to SSAs)	Proportion of participants accessing technical training	X	X	X	X	X	X	
5) Welsh Language Diagnostic								
Welsh language skills needs diagnostic tools developed and disseminated -management diagnostic tool	Tools developed No. of dissemination activities undertaken Publicity material	X		X				

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
- skills diagnostic tool								
6) Cross Cutting Themes								
Businesses referred to specialist support on equalities	No. of businesses referred for support	X	X	X				X
Specialist environmental training supported	No. of projects supporting delivering specialist environmental training* (*WEFO target)		X	X				
Businesses and participants access training related to environmental management	No./proportion of businesses receiving training related to environmental management No./proportion of participants receiving training related to environmental management	X	X	X	X	X	X	
OUTPUTS/REACTION AND LEARNING								

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
1)Workshops								
Participants completing workshop programme	No. of participants completing provision Proportion of participants completing provision		X	X	X	X	X	
Satisfaction of participants/businesses with provision	Proportion of participants reporting themselves satisfied with provision Proportion of businesses reporting themselves satisfied with provision	X		X	X	X	X	
Qualifications achieved - at different levels	No. of qualifications achieved* Proportion of qualifications achieved at different levels (*WEFO target)		X		X	X	X	
Participants acquiring new L+M skills/techniques relevant to the workplace	Proportion of participants reporting that they have learnt new skills/techniques				X	X	X	

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
Businesses/Participants learning from good practice of other participants	Proportion of businesses reporting that they have learnt from good practice Proportion of participants reporting that they have learnt from good practice				X	X	X	
2) Discretionary Funding								
Satisfaction of participants/businesses with provision	Proportion of participants reporting themselves satisfied with provision Proportion of businesses reporting themselves satisfied with provision	X		X	X	X	X	
Qualifications achieved - at different levels	No. of qualifications achieved* Proportion of qualifications achieved at different levels (*WEFO target)		X		X	X	X	

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
Participants acquiring new L+M skills/techniques relevant to the workplace	Proportion of participants reporting that they have learnt new skills/techniques				X	X	X	
3) Coaching and Mentoring ¹²⁴								
Participants completing coaching and mentoring training and acquiring coaching and mentoring skills	No./proportion of participants completing provision Proportion of participants reporting they have acquired coaching and mentoring skills		X	X	X	X	X	
Participants completing train the trainer provision and acquiring training skills	No./proportion of participants completing provision Proportion of participants		X	X	X	X	X	

¹²⁴ While conceptually the experience of 'indirect' trainees and mentees is important in terms of the programme logic, it will only be through any evidence collected by the providers and through our case-studies that we will be able to capture this experience and given the scale of the overall programme we doubt whether this will give sufficient evidence.

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
	reporting they have acquired training skills							
Satisfaction of participants/businesses with provision	Proportion of participants reporting themselves satisfied with provision Proportion of businesses reporting themselves satisfied with provision	X		X	X	X	X	
Participants mentoring staff within the workplace	No. of/Proportion of participants applying coaching and mentoring skills in the workplace	X		X	X	X		
Satisfaction of mentees with support	Proportion of mentees satisfied with support					X		
Participants delivering coaching and mentoring training to further trainees within the business	No. of/Proportion of participants delivering coaching and mentoring training	X		X	X	X		
Satisfaction of 'indirect' trainees with the training	Proportion of 'indirect' trainees satisfied with the training					X		

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Monit- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
Qualifications achieved – at different levels	No. of qualifications achieved* Proportion of qualifications achieved at different levels (FO target)		X		X	X	X	
4) Sector Initiatives								
Satisfaction of participants/businesses with provision	Proportion of participants reporting themselves satisfied with provision Proportion of businesses reporting themselves satisfied with provision	X		X	X	X	X	
Businesses believing training is sector specific and distinct from other L+M training available	Proportion of businesses reporting training tailored to their sector Proportion of businesses reporting that they could not have				X	X		

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Monit- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
	sourced the same training elsewhere							
Qualifications achieved – at different levels	No. of qualifications achieved* Proportion of qualifications achieved at different levels (*WEFO target)		X		X	X	X	
Participants acquiring new L+M skills/techniques relevant to the business	Proportion of participants reporting they have acquired relevant skills and techniques				X	X	X	
Participants acquiring new technical skills relevant to their workplace	Proportion of participants reporting they have acquired relevant skills and techniques				X	X	X	
5) Welsh Language Diagnostic								
Businesses using online tools to analyse	No. of businesses using -management diagnostic tool	X		X				

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Monit- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
-workforce needs -workforce capabilities	- skills diagnostic tool							
6) Cross-Cutting Themes								
Businesses adopting equalities strategies	No. of businesses putting in place equalities strategies* (*WEFO target)		X	X		X		
Businesses improving environmental management	Proportion of businesses accessing environmental management training identifying improvement in practice				X	X		
OUTCOMES/BEHAVIOUR								
Businesses/participants apply learning to practical change within the business -Business planning and goal setting - Work organisation -Modification of products processes and services	Proportion of businesses/participants reporting they have put in practice what they have learnt	X			X	X	X	

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Monit- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
(1,2,3,4,5,6)								
Participants more confident in - managing change - managing people - providing strategic leadership for the business (1,2,3,4)	Proportion of participants reporting improvements in performance attributed to the provision Proportion of participants reporting increase in their confidence				X	X	X	
Participants believing they are performing better and fulfilling their potential at work (1,2,3,4)	Proportion of participants reporting improvements in their personal performance Proportion of participants reporting being given increased responsibility Proportion of participants reporting making fewer errors				X	X	X	
Increased demand from participants for training and personal development	Proportion of participants reporting they either have or would like to undertake further				X	X	X	

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
(1,2,3,4)	learning							
Continued commitment to and investment in L+M training by assisted businesses (2,3,4)	Proportion of businesses reporting increased likelihood of investing in L+M training				X	X		
'Indirect' trainees providing coaching and mentoring in the workplace (3) ¹²⁵	Proportion of 'indirect' trainees going on to provide coaching and mentoring in the workplace					X		
Mentees and 'indirect' trainees believing they are performing better and fulfilling their potential at work (3)	Proportion of participants reporting improvements in their personal performance Proportion of participants reporting being given increased responsibility Proportion of participants reporting making fewer errors					X		
'Indirect' trainees and mentees more confident in	Proportion of 'indirect' trainees and mentees reporting					X		

¹²⁵ See footnote 135 re this and the next three outcomes

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Monit- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
-managing change -managing people - providing strategic leadership (3)	improvements in performance attributed to the provision Proportion of 'indirect' trainees and mentees reporting increase in their confidence							
Increased demand from 'indirect' trainees and mentees for training and personal development (3)	Proportion of 'indirect' trainees and mentees reporting they either have or would like to undertake further learning					X		
Better understanding of specific L+M needs of different sectors (4)	Evidence of learning from the pilot projects	X		X				
Businesses improve matching of Welsh language	No./proportion of businesses using the management diagnostic	X						

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
skills to needs of specific posts (5) ¹²⁶	tool reporting improved matching of staff to posts							
Increased opportunities for Welsh speaking staff to use their language skills (5)	No./proportion of businesses using the skills diagnostic tool reporting increased opportunities for Welsh speaking staff to use their language skills	X						
Businesses provide opportunities for staff to learn Welsh (5)	No./proportion of businesses reporting increased access to Welsh language training as a result of using the diagnostic tools	X						
IMPACTS/ ORGANISATIONAL PERFORMANCE								
Business better able to exploit opportunities and	Proportion of businesses reporting enhanced ability,				X	X		

¹²⁶ Though conceptually these are relevant and important outcomes for this strand, we believe we will be reliant on any evidence collected separately by those implementing and overseeing this strand, notably the WJEC and the office of the Welsh Language Commissioner

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Monit- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
respond to threats (1,2,3,4)	attributed to the intervention							
Improved staff morale and buy in to business vision (1,2,3,4,5)	Proportion of businesses reporting improved staff morale, attributed to the intervention Proportion of businesses reporting improved staff understanding of their roles, attributed to the intervention				X	X		
Reduced number of disputes and grievances/disciplinary (1,2,3,4,5)	Proportion of businesses reporting improvement in personnel problems, attributed to the intervention				X	X		
Improved staff retention (1,2,3,4,5)	Proportion of businesses reporting improved staff retention, attributed to the intervention				X	X		X Future Emp. Skills Surveys

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
Fewer businesses reporting skills gaps/shortages in L+M	Proportion of businesses reporting skills gaps/shortages					X		X Future Emp. Skills Surveys
Improved business productivity (1,2,3,4,5,6)	Proportion of businesses reporting improvements in various aspects of products, processes and customer service, attributed to the intervention				X	X		
Improved business profitability (1,2,3,4,5,6)	Proportion of businesses reporting improved business profitability, attributed to the intervention				X	X		
Fewer business failures (1,2,3,4,5)	Proportion of assisted businesses which fail to survive during lifetime of evaluation				X			X ONS figures on

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Moni- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
								survival rates
Participants progress in terms of - taking more responsibility - pay - promotion (1,2,3,4)	Proportion of businesses/participants reporting these changes, attributed to the intervention				X	X		
Mentees and 'indirect' trainees progress in terms of -taking more responsibility -pay -promotion (3)127	Proportion of mentees and 'indirect' trainees, reporting these changes, attributed to the intervention					X		
Increased opportunities to access goods and services								X Nat

¹²⁷ See footnote 135

Description	Indicator/Measure	Evidence Source						
		Docu- ment Review	Monit- oring Data	Stake- holder Interviews	Survey data	Business Case- Studies	ESF Leavers Survey	Other data sources
through the medium of Welsh (5)								ion al Sur vey for Wa les

Annex 2: List of Qualitative Stakeholders Interviews

Individual	Organisation
Owen Evans	Welsh Government
Teresa Holdsworth	Welsh Government
John Jones	Welsh Government
Sion Meredith	Welsh Government
Natalie Sawkins	Welsh Government
Helen Tinsley	Welsh Government
Rhys Morris	Welsh Government
Richard Evans	Welsh Government
David Thornley	WEFO
Mark Watson	WEFO
Dr Barrie Kennard	LMW
Phil Swain	LMW
Dave John	LMW
Jemma Kinch	LMW
Sarah Pepper	LMW
Ceri Frayne	LMW
Rhian Kelly	LMW
Helen Baynham	LMW
Jo Riley	LMW
Andrew Gilbert	Worth Consulting
David Roberts	Wales Management Centre, Bangor University
Catrin Roberts	Wales Management Centre, Bangor University
Caroline Day	Coleg Gwent
Ceri Jones	Swansea University
Joanne Price	Centre for Business
Kathryn Jellings	Consult Capital
Mary Sisson	Awbery Management
Melanie Allsop	The Group
Mike Brown	EEF

Jo Lord	Learning to Inspire
Elaine Rodgers	Learning to Inspire
Sharon Mott	University of Glamorgan
Alison Jones	BPI Training
Matthew Channell	TSW Training
Helen Jones	Fix Training

Annex 3: ELMS Interim Evaluation Telephone Survey Questionnaire

Private & Confidential J5119 Date 9/10/13

ELMS Main (non-LMW) Strands Telephone

Quota Targets			
Region	Workshop	Discretionary	Total
CONVERGENCE DATABASE:	(83)	(33)	(116)
Valleys	34	13	47
South West	26	10	36
Mid	2	1	3
North	21	9	30
COMPETITIVENESS DATABASE:	(59)	(25)	(84)
South East	41	18	59
Mid	6	2	8
North	12	5	17
Total	140	60	200

FROM SAMPLE TAKE:

Commitment Type	Workshops Training in coaching and mentoring skills Sector Skills Council led activities Discretionary support through the Workforce Development Programme
Training provider	
Number of participants	

REASSURANCES TO USE IF NECESSARY

This research is being conducted on behalf of the Welsh Government, and is

being carried out to assess the effectiveness of ELMS, the Enhancing Leadership and Management Skills Programme.

The interview should take around 25 minutes to complete.

IFF Research is an independent market research company. All of our work is carried out according to the strict Code of Conduct of the Market Research Society.

Everything you tell us will be treated in the strictest confidence and the Welsh Government will not know how named individuals or employers have responded.

To confirm the validity of survey or get more information about aims and objectives, you can call:

MRS: Market Research Society on 0500 396999

IFF: Sam Morris or Peter Hall: 020 7250 3035

Welsh Government: Sion Meredith: 03000 622400

Screener

ASK TELEPHONIST

S1 Good morning / afternoon. My name is <NAME> and I'm calling from IFF Research, on behalf of the Welsh Government. May I speak to <NAMED RESPONDENT>?

Continue - named person speaking		GO TO S3
Transferred		
Person left the organisation / never heard of person		ASK S2
Hard appointment		MAKE APPOINTMENT
Soft Appointment		
Refusal		CLOSE
Nobody at site able to answer questions		
Not available in deadline		
Engaged		
Fax Line		

No reply / Answer phone		
Residential Number		
Dead line		
Company closed		
Company moved		ASK FOR NEW NUMBER
Reassurances required		DISPLAY REASSURANCES

IF S1 = 3 (NAMED PERSON LEFT)

S2 If I could explain, I'm calling on behalf of the Welsh Government to discuss your organisation's involvement with the Enhancing Leadership and Management Skills Programme, known as ELMS.

We had <NAMED RESPONDENT> as the contact for this. Is there someone else who would be able to answer about your organisation's involvement?

ADD IF NECESSARY: Perhaps the owner or a director?

Continue - correct person speaking		CONTINUE TO S3
Referred to someone else at establishment NAME_____		TRANSFER AND RE-INTRODUCE
JOB TITLE_____		
Hard appointment		MAKE APPOINTMENT
Soft appointment		
Refusal		THANK AND CLOSE
Not available in deadline		
Reassurances required		DISPLAY REASSURANCES

ASK ALL STILL IN SCOPE

S3 Hello, my name is <NAME>, calling from IFF Research, and I'm part of the team which has been commissioned by the Welsh Government to assess the effectiveness of its Enhancing Leadership and Management Skills Programme and to find out how the Programme might be improved.

The Enhancing Leadership and Management Skills Programme, which you might know better as ELMS, [OR IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme' SAY: 'or Leadership and Management Training through the Workforce Development Programme'], is designed to help businesses develop the capacity of staff to lead and manage more effectively. It comprises a number of elements, including <'commitment type(s)' FROM THE SAMPLE DATABASE>, which I understand your organisation was involved with at some stage during the period since June 2009. Is this right?

Yes		GO TO S4A
No		ASK S4C
Not sure		

IF S3 = 1 & <COMMITMENT TYPE = workshops OR training in coaching and mentoring skills OR Sector Skills Council led activities> ASK:

S4A Am I right in saying that staff from your organisation participated in <COMMITMENT TYPE(s)> delivered by <'Training Provider'>?

Yes		ASK S5
No		ASK S4B
Not sure		THANK AND CLOSE

READ OUT IF NO AT S4a

S4B Do you recall which organisation delivered the training or activity (PROMPT IF NECESSARY)?

PROGRAMMER: SHOW APPROPRIATE LIST BASED ON <COMMITMENT TYPE> AND MULTICODE OKAY

Awbery Management Centre		SHOW THIS LIST IF <commitment type(s)> = 'workshops']
BPI Training		
Centre for Business		
Coleg Gwent		
Consult Capital		
EEF		
Fix Training		
Learning to Inspire		
The Group		
The Management Centre, Bangor Business School		
TSW Training		
University of Glamorgan Commercial Services		
Learning to Inspire		SHOW THIS LIST IF <commitment type(s)> = 'training in coaching and mentoring skills']
Worth Training		
Asset Skills		SHOW THIS LIST IF <commitment type(s)> = 'Sector Skills Council led Activities']
Semta		
Other (SPECIFY)		CHECK IF ON LIST OF CODES 1-16 AND IF SO BACKCODE IF SINGLE CODED AND NOT ON LIST 1-16 THANK AND CLOSE
Don't know / not sure		THANK AND CLOSE
If any coded 1-16 continue, others thank and close		

IF S3 = 2 OR 3

S4C According to our records, <PARTICIPANT COUNT> staff from your organisation were involved in activities delivered by <'training provider'>. Do you recall this now?

Yes		ASK S5
No		THANK AND CLOSE
Not sure		SAY: Unfortunately, we're only looking to interview people who took part in the programme, so we'll have to stop there. Thank you very much for your time.

ASK ALL IN SCOPE

S5 I'd like to ask you some questions about your experience of < commitment type(s)'>, and what difference participating in it made to your organisation. All responses will be treated in strict confidence. Can I check, would you prefer to conduct the interview in English or Welsh?

English		GO TO A1
Welsh		ASK S6

IF S5 = 2 (WELSH)

S6 I'm not a Welsh speaker myself, but could a colleague who is give you a call within the next week or so?

Hard appointment in Welsh		MAKE APPOINTMENT IN WELSH INTERVIEWER QUEUE
Soft appointment in Welsh		
Continue in English		CONTINUE

READ OUT FOR ALL

Please note, this call may be recorded for quality or training purposes.
It takes around 20-25 minutes to complete.

Organisation's Details

ASK ALL

A1 Before we start, I'd like to check a few things about your organisation.

Firstly, how would you describe the main business activity of the organisation?

PROBE FULLY:

What exactly is made or done by the organisation?

WRITE IN - MUST CODE TO 4-DIGIT SIC 2007.

--

ASK ALL

A2 How long has your organisation been in operation? PROMPT IF NECESSARY

INTERVIEWER NOTE: This refers to the organisation as a whole SINGLE CODE.

Less than 2 years	
2 to 5 years	
More than 5 and up to 10 years	
More than 10 years	
Don't know	

ASK ALL

A3 Are there other establishments or sites in your organisation?

PROMPT IF NECESSARY. SINGLE CODE.

Yes	
No	
Don't know	

IF A3 = 1 OR 3

A4 Is the Head Office located...READ OUT

SINGLE CODE.

In Wales	
Elsewhere in the UK	
Elsewhere in Europe	
Outside Europe	
(DO NOT READ OUT) Don't know	

ASK ALL

A5 How many people does your organisation employ [IF A3 = 1 OR 3: at the site where you work]? Please include both full time and part time employees on your payroll and any working proprietors or owners, but exclude any self-employed and outside contractors or agency staff.

PROMPT IF NECESSARY. SINGLE CODE.

Less than 10 employees	
10 to 49 employees	
50 to 249 employees	
250+ employees	
(DO NOT READ OUT) Don't know	

ASK ALL

A6 How does this compare to the number of people employed [IF A3 = 1 OR 3: at the site] 12 months ago? Do you have....READ OUT

SINGLE CODE.

More now than 12 months ago	
Same	

Fewer now than 12 months ago	
(DO NOT READ OUT) Don't know	

A7 What is your job title and role within the organisation?

WRITE IN - CODE TO SOC 2010 MAJOR GROUPS.

--

Organisation's Training Behaviours

READ OUT FOR ALL

Before I talk to you about the involvement you have had with Leadership and Management Skills Programme, I'd like to ask you a few questions about your organisation's approach to business planning and training.

ASK ALL

B1 Does the organisation have a formal business plan which sets out the business' objectives for the coming year?

SINGLE CODE.

Yes	
No	
Don't know	

B2 Would you say that the business' ambitions over the coming three years or so are...READ OUT. SINGLE CODE.

To grow significantly	
To grow a little	
To maintain its current position	
To survive	

Other (PLEASE SPECIFY)	
(DO NOT READ OUT) Don't know	

B3 Does the organisation have a training plan that specifies in advance the level and type of training your employees will need in the coming year?
SINGLE CODE.

Yes	
No	
Don't know	

IF B1 = 1 AND B3 = 1

B4 Does this plan link to the objectives set in the organisation's business plan?
SINGLE CODE.

Yes	
No	
Don't know	

ASK ALL

B5 Before getting involved with ELMS, roughly how much did the organisation spend with outside companies on training each year [IF A3 = 1 OR 3: at this site]? Was it...READ OUT.

SINGLE CODE

Nothing	
Less than £5,000	
£5,000 to £10,000	
£10,001 to £20,000	

£20,001 to £50,000	
£50,001 to £100,000	
More than £100,000	
DO NOT READ OUT: Don't know / refused	

IF AT B5 SPEND SOMETHING OR DON'T KNOW (B5 2-8)

B6 Before getting involved with ELMS, roughly how much did the organisation spend with outside companies on training in leadership and management skills each year [IF A3 = 1 OR 3: at this site]? Was it... READ OUT.

SINGLE CODE.

Nothing	
Less than £5,000	
£5,000 to £10,000	
£10,001 to £20,000	
£20,001 to £50,000	
£50,001 to £100,000	
More than £100,000	
DO NOT READ OUT: Don't know / refused	

ASK ALL

B7 Which of the following applies regarding your organisation or site's Investors in People (IIP) status...READ OUT?

SINGLE CODE.

Are you currently IIP accredited	1
Did you used to be IIP accredited but are not currently	2

Or has your organisation or site never been IIP accredited	3
(DO NOT READ OUT) Don't know	4

IF B7 = 1 (CURRENTLY ACCREDITED)

B8 Roughly how long has it held the award? PROMPT IF NECESSARY.
SINGLE CODE.

Less than 12 months	1
1 to 2 years	2
More than 2 years	3
Don't know	4

Route into ELMS

SAY TO ALL: Turning now to your organisation's involvement with the Enhancing Leadership and Management Scheme, or ELMS.

IF <COMMITMENT TYPE> = DISCRETIONARY SUPPORT THROUGH THE WORKFORCE DEVELOPMENT PROGRAMME

C1 What kind of organisation provided the bulk of the training undertaken?
Was it...READ OUT. MULTICODE OK.

University or Higher Education Institution	
College or Further Education Institution	
Generalist training provider	
Specialist training provider	
Other (PLEASE SPECIFY)	
DO NOT READ OUT: Don't know / Can't remember	

ASK ALL

C2 How did you or your organisation first hear about ELMS, was it...READ OUT AND CODE FIRST MENTIONED

SINGLE CODE

ROTATE START POINT (though DON'T START WITH 6th CODE)	
Via human resource development adviser	
Via Business.Wales.gov.uk website	
Via the Leadership and Management Wales website (possibly followed up with a phone call)	
Via the Leadership and Management Wales / Cardiff University taster sessions or networking events	
Via the organisation delivering the training or workshops	
Via another learning provider	
Other (PLEASE SPECIFY)	
(DO NOT READ OUT) Don't know / Can't remember	

IF C2 = 1 (A human resource development adviser)

C3 Had you or your organisation had any dealings with the Human Resource Development Adviser in the past?

SINGLE CODE.

Yes	
No	
Don't know	

IF C2 = 1 (A human resource development adviser)

C4 How helpful was the Human Resource Development Advisor in helping you secure <IF COMMITMENT TYPE = Discretionary Support through the Workforce Development Programme SAY: Discretionary support through the

Workforce Development Programme> <OTHER: ELMS support>. Were they...READ OUT

SINGLE CODE

Very helpful	
Fairly helpful	
Neither helpful nor unhelpful	
Fairly unhelpful	
Very unhelpful	
(DO NOT READ OUT) Don't know / Can't remember	

IF C2 = 1 (A human resource development adviser) & <COMMITMENT TYPE = Discretionary Support through the Workforce Development Programme>

ASK:

C5 Did the Human Resource Development Advisor help you source and select training providers?

SINGLE CODE.

Yes		ASK C6
No		ASK D1
Don't know		

IF C5 = 1

C6 How helpful was the Human Resource Development Advisor in helping you source and select training providers....READ OUT.

SINGLE CODE.

Very helpful		
Fairly helpful		
Neither helpful nor unhelpful		

Fairly unhelpful		ASK D1
Very unhelpful		
(DO NOT READ OUT) Don't know / Can't remember		

IF C2 = 2 (BUSINESS WALES WEBSITE)

C7 How helpful was the Business Wales website in enabling you to find the right kind of training or support...READ OUT.

SINGLE CODE.

Very helpful		ASK D1
Fairly helpful		
Neither helpful nor unhelpful		
Fairly unhelpful		
Very unhelpful		
(DO NOT READ OUT) Don't know / Can't remember		

IF C2 = 3 (LMW WEBSITE)

C8 How helpful was the Leadership and Management Wales website in enabling you to find the right kind of training and support...READ OUT?

SINGLE CODE.

Very helpful		ASK D1
Fairly helpful		
Neither helpful nor unhelpful		
Fairly unhelpful		
Very unhelpful		
(DO NOT READ OUT) Don't know / Can't remember		

IF C2 = 4 (The Leadership and Management Wales taster sessions and networking events)

C9 How helpful was or were the Leadership and Management Wales taster session or networking events in enabling you to find the right kind of training and support...READ OUT?

SINGLE CODE.

Very helpful		ASK D1
Fairly helpful		
Neither helpful nor unhelpful		
Fairly unhelpful		
Very unhelpful		
(DO NOT READ OUT) Don't know / Can't remember		

IF C2 = 5 OR 6 (LEARNING PROVIDER)

C9 How helpful was the Learning Provider in enabling you to find the kind of training and support you needed...READ OUT?

SINGLE CODE.

Very helpful	
Fairly helpful	
Neither helpful nor unhelpful	
Fairly unhelpful	
Very unhelpful	
(DO NOT READ OUT) Don't know / Can't remember	

Motivation

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'workshop']

D1 What made you or the organisation decide to participate in the Leadership and Management Workshop(s)? Were you: READ OUT GRID. SINGLE CODE ONE PER ROW

	Yes	No	Don't know
Looking to address specific leadership and management problems that you'd identified within the business?	1	2	3
Were you attracted by the relevance of the specific event to your business?	1	2	3
Were you attracted by the fact the event was free?	1	2	3

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

D2 Was the activity undertaken as a result of the Discretionary Support linked to specific business objectives? PROMPT IF NECESSARY SINGLE CODE.

Yes – it was linked to specific objectives	
No – the training was done just to improve management skills in general	
DO NOT READ OUT: Don't know	

ASK ALL

D3 [IF COMMITMENT TYPE = Discretionary: What made you or the organisation decide to do what you did as a result of Discretionary Support? Were you consciously looking to:] [IF COMMITMENT TYPE NOT Discretionary: How did you envisage that participation would benefit the business? Were you hoping to:] GRID. READ OUT. SINGLE CODE PER ITEM.

ROTATE START POINT	Yes	No	Don't know
Improve senior managers' leadership skills	1	2	3
Bring on more junior managers	1	2	3
Allow staff to gain management qualifications	1	2	3
Put in place a succession strategy for the business	1	2	3
Improve staff relations and morale	1	2	3
Improve products or processes	1	2	3
Generate additional sales for your business through networking with other businesses	1	2	3

D3N What other benefits to the business did you hope to gain [IF COMMITMENT TYPE = Discretionary as a result of Discretionary Support?][IF COMMITMENT TYPE <> Discretionary from participation?]
WRITE IN.

WRITE IN
None
Don't know

D4 Was it clear beforehand how the leadership and management skills developed by those doing the training would be applied within your organisation afterwards?

Yes	
No	
DO NOT READ OUT: Don't know	

Participation

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'workshop']

E1 Can I confirm that around <PARTICIPANT COUNT FROM SAMPLE DATABASE> people from your organisation participated in Leadership and Management Workshops?

SINGLE CODE.

Yes		ASK E2
No		ASK E1a
DO NOT READ OUT: Don't know		ASK E2

IF E1 = 2 (No)

E1A How many people did participate in Leadership and Management Workshops then?

ENTER NUMBER OR CODE.

ENTER NUMBER, ALLOW 0 – 99,999	
Don't know / Can't remember	X

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'workshop']

E2 Were any of those that participated in these workshops...READ OUT MULTICODE.

Owners	
Directors / Senior Management	
Middle management	
Junior management / supervisory	
Technicians	
Shop-floor / clerical workers	
Other (PLEASE SPECIFY)	
DO NOT READ OUT: Don't know / can't remember	

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'workshop']

E3 In general, how much experience did those who participated in the Leadership and Management Workshops have of formal leadership and management training beforehand. Was it...READ OUT?

SINGLE CODE.

A lot	
Some	
A little	
None	
DO NOT READ OUT: Difficult to say – it was different for different participants	
DO NOT READ OUT: Don't know / can't remember	

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'workshop']

E4 Did you personally take part in any Leadership and Management Workshops?

SINGLE CODE.

Yes	
No	
DO NOT READ OUT: Don't know	

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

E5 Can I confirm that around <PARTICIPANT COUNT FROM THE SAMPLE> people from your organisation participated in activities funded by Discretionary Support through the Workforce Development Programme?

SINGLE CODE.

Yes		ASK E6
No		ASK E5a
DO NOT READ OUT: Don't know		ASK E6

IF E5= 2 (no)

E5A How many people did participate in activities funded by Discretionary Support through the Workforce Development Programme? ENTER NUMBER OR CODE.

ENTER NUMBER, ALLOW 0 – 99,999	
Don't know / Can't remember	X

IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

E6 Were any of those that participated in these activities...READ OUT MULTICODE OK

Owners	
Directors / Senior Management	
Middle management	
Junior management / supervisory	
Technicians	
Shop-floor / clerical workers	
Other (PLEASE SPECIFY)	
DO NOT READ OUT: Don't know / can't remember	

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

E7 In general, how much experience did those who participated in activities funded by Discretionary Support have of formal leadership and management training beforehand? Was it...READ OUT SINGLE CODE.

A lot	
Some	
A little	
None	
DO NOT READ OUT Difficult to say – it was different for different participants	
DO NOT READ OUT: Don't know / can't remember	

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

E8 Was the training undertaken as a result of Discretionary Support put together as a package specifically for your organisation (rather than staff slotting into courses which formed part of the training providers' standard portfolio)?

SINGLE CODE.

Yes	
Partly	
No	
Don't know	

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

E9 Where was the training undertaken? PROMPT IF NECESSARY
MULTICODE OK

At the providers premises	
At a venue selected by the provider	
At your organisation's premises	
In a number of different places, including your organisation's premises	
Other (PLEASE SPECIFY)	
DO NOT READ OUT: Don't know	

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

E10 Which of the following kinds of activities were undertaken as a result of the Discretionary Support...READ OUT
MULTICODE

Staff undertook long courses (over a period of several months) e.g. university or college courses	
Staff participated in a development programme comprising a series of linked training sessions, with independent work between sessions	
Staff participated in a number of stand-alone training sessions/courses	
Staff participated in one stand-alone training session/ course	
Staff took part in other types of training activities (PLEASE SPECIFY)	
DO NOT READ OUT: Don't know	

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

E11 Did you personally take part in activities funded by Discretionary Support?

SINGLE CODE.

Yes	
No	
DO NOT READ OUT: Don't know	

Reaction

Now I'm going to ask you about participants' [IF E4=1 OR E11=1 SAY "and your"] reaction to the training.

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 'workshop']

F1 Overall, how would you describe the reaction of the staff who participated in Leadership and Management Workshops to the workshops?

Was it...READ OUT

SINGLE CODE.

Very positive	
Fairly positive	
Neutral/Mixed	
Fairly negative	
Very negative	
DO NOT READ OUT: Don't know / can't remember	

IF PERSONALLY TOOK PART IN WORKSHOPS (E4=1)

F2 Thinking about the most recent event attended, on a scale of 1 to 5, where 1 is not at all and 5 is very...READ OUT. SINGLE CODE EACH ROW

	Not at				Very	Don't know /
--	--------	--	--	--	------	--------------

	all					NA
1. How organised were the workshops?	1	2	3	4	5	6
2. How engaging were the tutors?	1	2	3	4	5	6
3. How appropriate was the pace of delivery?	1	2	3	4	5	6
4. How appropriate were the learning materials issued?	1	2	3	4	5	6

IF PERSONALLY TOOK PART IN WORKSHOPS (E4=1)

F3 Was the content of the workshops pitched at the right level for the individuals attending?

SINGLE CODE.

Yes	
No	
Difficult to say – the individuals had different levels of experience and knowledge	
DO NOT READ OUT: Don't know	

IF PERSONALLY TOOK PART IN WORKSHOPS (E4=1)

F4 How relevant was the content of the workshop(s) to your job?

READ OUT. SINGLE CODE.

Very relevant	
Fairly relevant	
Mixed	
Largely irrelevant	
Totally irrelevant	

DO NOT READ OUT: Don't know	
-----------------------------	--

IF PERSONALLY TOOK PART IN WORKSHOPS (E4=1)

F5 How closely did the workshop(s) meet your expectations? Did they...READ OUT
SINGLE CODE.

Far exceed expectations	
Exceed expectations	
Met expectations but did not exceed them	
Didn't quite live up to expectations	
Didn't live up to expectations at all	
DO NOT READ OUT: Don't know	

IF PERSONALLY TOOK PART IN WORKSHOPS (E4=1)

F6 Which of the following best describes how effectively the workshop achieved its specified learning outcomes...READ OUT?
SINGLE CODE.

Fully achieved outcomes	
Largely achieved outcomes	
Achieved some of the outcomes	
Largely failed to achieve outcomes	
Totally failed to achieve outcomes	
DO NOT READ OUT: Don't know	

[IF 'commitment type(s)' FROM THE SAMPLE DATABASE = 'Discretionary Support through the Workforce Development Programme']

F7 Overall, how would you describe the reaction of the staff who participated in training supported by Discretionary Funding to the training they received...READ OUT?

SINGLE CODE.

Very positive	
Fairly positive	
Neutral/Mixed	
Fairly negative	
Very negative	
DO NOT READ OUT: Don't know	

IF PERSONALLY TOOK PART IN 'Discretionary Support through the Workforce Development Programme' E11=1 ASK

F8 Thinking about the most recent training undertaken, on a scale of 1 to 5, where 1 is not at all and 5 is very...

READ OUT. SINGLE CODE

	Not at all				Very	Don't know / NA
1. How organised was the activity?	1	2	3	4	5	6
2. How engaging were the trainers?	1	2	3	4	5	6
3. How appropriate was the pace of delivery?	1	2	3	4	5	6
4. How appropriate were the learning materials issued?	1	2	3	4	5	6

IF PERSONALLY TOOK PART IN 'Discretionary Support through the Workforce Development Programme' E11=1 ASK

F9 Was the content of the training pitched at the right level for the individuals who participated?

READ OUT. SINGLE CODE

Yes	
No	
DO NOT READ OUT: Don't know	

IF PERSONALLY TOOK PART IN 'Discretionary Support through the Workforce Development Programme' E11=1 ASK

F10 How relevant was the training to your job...READ OUT?
SINGLE CODE.

Very relevant	
Fairly relevant	
Mixed	
Largely irrelevant	
Totally irrelevant	
DO NOT READ OUT: Don't know	

IF PERSONALLY TOOK PART IN 'Discretionary Support through the Workforce Development Programme' E11=1 ASK

F11 How would you rate the overall quality of the training...READ OUT?
SINGLE CODE.

Very good	
Good	
Mixed	
Poor	
Very poor	
DO NOT READ OUT: Don't know	

IF PERSONALLY TOOK PART IN 'Discretionary Support through the Workforce Development Programme' E11=1 ASK

F12 How closely did the training meet your expectations? Did it...READ OUT

SINGLE CODE.

Far exceed expectations	1
Exceed expectations	2
Meet expectations but did not exceed them	3
Didn't quite live up to expectations	4
Didn't live up to expectations at all	5
DO NOT READ OUT: Don't know	6

IF PERSONALLY TOOK PART IN 'Discretionary Support through the Workforce Development Programme' E11=1 ASK

F13 Which of the following best describes how effectively the training achieved its specified learning outcomes...READ OUT

SINGLE CODE.

Fully achieved outcomes	
Largely achieved outcomes	
Achieved some of the outcomes	
Largely failed to achieve outcomes	
Totally failed to achieve outcomes	
DO NOT READ OUT: Don't know	

Learning

READ OUT FOR ALL

I'd like to turn now to what participants in workshops and activities actually learnt as a result of the training they undertook.

ASK ALL

G1 Which of the following areas of leadership and management did these workshops or activities cover...READ OUT.

MULTICODE OK.

Business planning and budgeting	
Change management	
Coaching and mentoring skills	
Environmental management	
Equal opportunities	
Financial management	
Higher level health and safety	
Higher level job specific skills	
Managing people/teams	
Other (SPECIFY)	
(DO NOT READ OUT) None of the above	
(DO NOT READ OUT) Don't know	

ASK ALL

G1A Did the workshops or activities cover any of the following...READ OUT.

MULTICODE.

Marketing	
Process management/ improvement e.g. lean, six sigma	
Procurement/supply chain management	
Project management	

Quality management	
Sales/service/account management	
Strategic planning	
Supervisory skills	
Training skills	
(DO NOT READ OUT) None of the above	
(DO NOT READ OUT) Don't know / can't remember	

G2 Did you, or any of those who participated in the workshops or activities, achieve any sort of leadership or management related qualification(s) or part qualifications as a result of participation?

SINGLE CODE.

Yes		ASK G3
No		ASK G7
Don't know		

IF G2 = 1 (YES: QUALIFICATIONS ATTAINED)

G3 What level were these qualifications at?

READ OUT. MULTI CODE.

Level 2	
Level 3	
Level 4	
Level 5	
Level 6	
Level 7	
DO NOT READ OUT: Don't know	

Other (PLEASE SPECIFY)	
------------------------	--

IF G2 = 1 (YES: QUALIFICATIONS ATTAINED)

G4 In general, were these qualifications at a higher, lower or the same level as the most advanced qualifications that participants already held?
SINGLE CODE.

Higher	
The same	
Lower	
DO NOT READ OUT: Don't know / varied too much to say	

IF G2 = 1 (YES: QUALIFICATIONS ATTAINED)

G5 How important was it to the organisation that the individuals who undertook the training achieved qualifications. Was it...READ OUT. SINGLE CODE.

Very important	
Fairly important	
Neither important nor unimportant	
Fairly unimportant	
Very unimportant	
DO NOT READ OUT: Don't know	

IF G2 = 1 (YES: QUALIFICATIONS ATTAINED)

G6 How important was achieving qualifications to the individuals who undertook the training...READ OUT. SINGLE CODE.

Very important	
----------------	--

Fairly important	
Neither important nor unimportant	
Fairly unimportant	
Very unimportant	
DO NOT READ OUT: Don't know	

IF G2 = 2 OR 3 (QUALIFICATIONS NOT ATTAINED)

G7 How, if at all, was what participants learnt assessed?
PROMPT IF NECESSARY. MULTICODE OK..

Learning wasn't assessed	
Test taken at the end of the activity	
Portfolio produced at the end of the activity	
Presentation given at the end of the activity	
Trainer/assessor observed new skills being applied	
Other (PLEASE SPECIFY)	
DO NOT READ OUT: Don't know	

ASK ALL

G8 Other than the formal training received, how important a component of the workshop(s) or activity was the opportunity to learn from others?

READ OUT. SINGLE CODE.

Very important	
Fairly important	
Neither important nor unimportant	
Fairly unimportant	
Very unimportant	

DO NOT READ OUT: Don't know	
-----------------------------	--

IF E4 OR E11=1 personally took part in activities ASK

G9 On a scale of 1 to 5, where 1 means very low and 5 means very high, where would you put your understanding of the subject area of the workshop or course before participating?

READ OUT. SINGLE CODE.

Not at all satisfied			Very satisfied		
1	2	3	4	5	
Don't know / Not applicable					6

IF E4 OR E11=1 personally took part in activities ASK

G10 Also on a scale of 1 to 5, where 1 means very low and 5 means very high, where would you put your understanding of the subject area now, after the workshops or course?

READ OUT. SINGLE CODE.

Not at all satisfied			Very satisfied		
1	2	3	4	5	
Don't know / Not applicable					6

ASK ALL

G11 After the training, did participants and their managers discuss how they would apply what they had learnt in the workplace?

SINGLE CODE.

Yes	
No	
Don't know	

G12 Does the organisation offer those that participated in any mentoring or coaching to follow-up what was learnt?

SINGLE CODE.

Yes	
No	
Don't know	

Behaviour

READ OUT FOR ALL

I'd now like to turn to the effects of what was learnt in the workplace.

ASK ALL

H1 To what extent have those who participated in the workshops or courses been able to put into practice what they learnt...READ OUT

SINGLE CODE.

To a very great extent	
To a great extent	
To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

H2 What, if any, circumstances have helped you or other participants put into practice what was learnt?

PROMPT IF NECESSARY. MULTICODE.

The training was designed to address issues the organisation faced	
The skills developed could be used to solve a particular problem	
The course involved working on 'assignments' that were related to particular work issues	
Time was allowed to think about how the learning might be applied	

Managers were supportive and encouraged the application of what was learnt	
Colleagues/staff were prepared to go along with new ideas/approaches	
Other (PLEASE SPECIFY)	
No circumstances have helped (not been able to put what learnt into practice)	
DO NOT READ OUT: Don't know	

H3 What, if any, barriers at work have made it difficult to put into practice what you and the other participants learnt?

PROMPT IF NECESSARY. MULTICODE.

There was no time/pressure of work	
Managers were unsupportive	
Colleagues/staff were not prepared to go along with new ideas/approaches	
The training was too general and didn't lend itself to application	
The training wasn't really relevant to the organisation	
The training was too poor to put anything worthwhile into practice	
Other (PLEASE SPECIFY)	
No barriers	
DO NOT READ OUT: Don't know	

H4 On a scale of 1 to 5, where 1 is none and 5 is a great deal, how much has the ability of relevant staff who participated in the workshops or activities to deal with the following aspects of leadership improved:...READ OUT.

SINGLE CODE EACH ROW

	None				A great	Don't
--	------	--	--	--	---------	-------

					deal	know / NA
1. Recognising opportunities and threats facing the organisation	1	2	3	4	5	6
2. Challenging the status quo	1	2	3	4	5	6
3. Engendering staff and stakeholders buy-in to a vision for the organisation	1	2	3	4	5	6
4. Influencing the organisation's culture	1	2	3	4	5	6

IF ANY H4 CODED 2-5:

H5 To what extent do you think any improvement in these skills can be attributed to participation in the workshops or activities...READ OUT. SINGLE CODE.

Totally	
To a large extent	
To some extent	
Hardly at all	
Not at all	
(DO NOT READ OUT) Don't know	

H6 On a scale of 1 to 5, where 1 is none and 5 is a great deal, how much has the ability of relevant staff who participated in the workshops or activities to deal with the following aspects of management improved:...

READ OUT. SINGLE CODE

	None				A great deal	Don't know / NA
1. Business planning	1	2	3	4	5	6
2. Organising staff	1	2	3	4	5	6
3. Time management	1	2	3	4	5	6

4. Controlling financial resources	1	2	3	4	5	6
5. Working with suppliers	1	2	3	4	5	6
6. Improving systems	1	2	3	4	5	6
7. Marketing the organisation's products	1	2	3	4	5	6
8. Working with customers	1	2	3	4	5	6

H6NA Did the workshops or activities improve the management abilities of the staff who attended in any areas not already mentioned?

WRITE IN.

WRITE IN
No
Don't know

IF TEXT RESPONSE AT H6NA

H6NB On the same scale of 1 to 5 as before (IF NECESSARY: where 1 is none and 5 is a great deal) how much would you say it improved their abilities in the area you mentioned?

READ OUT. SINGLE CODE.

None			A great deal		
1	2	3	4	5	
Don't know / Not applicable					6

IF ANY H6 OR H6NB CODED 2-5

H7 To what extent do you think any improvement in these skills can be attributed to participation in the workshop(s) or activities...READ OUT.

SINGLE CODE

Totally	
To a large extent	

To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

[IF E4 OR E11=1 (personally take part)

H8 On a scale of 1 to 5, where 1 is none and 5 is a great deal how much effect do you feel participation in the workshop or activity has had upon you personally in terms of:...

READ OUT. SINGLE CODE

	None				A great deal	Don't know / NA
1. Your awareness of your own personal traits as a leader or manager	1	2	3	4	5	6
2. Your openness to addressing you own weaknesses	1	2	3	4	5	6
3. The level of confidence you feel in dealing with senior colleagues	1	2	3	4	5	6
4. The level of confidence you feel in dealing with colleagues at the same or a lower level than yourself	1	2	3	4	5	6
5. Your openness to collaboration/sharing with others	1	2	3	4	5	6
6. Your willingness to delegate and allow others to make decisions for themselves	1	2	3	4	5	6

H8NA Did the workshops or activities have any other effects on you personally, in business terms?

WRITE IN.

WRITE IN
No
Don't know

IF TEXT RESPONSE AT H8NA

H8NB On the same scale of 1 to 5 as before (IF NECESSARY: where 1 is none and 5 is a great deal) how much effect would you say it had in the area you mentioned?

READ OUT. SINGLE CODE.

None			A great deal		
1	2	3	4	5	
Don't know / Not applicable				6	

IF ANY H8 OR H8NB CODED 2-5 ASK

H9 To what extent do you think any improvement in these skills can be attributed to participation in the workshops or activities...READ OUT

SINGLE CODE

Totally	
To a large extent	
To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

IF ANY H8 OR H8NB CODED 2-5 ASK

H10 Do you think that these changes are apparent to other staff around you?

SINGLE CODE

Yes	
No	
DO NOT READ OUT: Don't know	

IF D2 = 1 (YES):

H11 Have the business objectives which the training was designed to support been achieved?

SINGLE CODE

Yes	
No	
DO NOT READ OUT: Don't know	

IF H11 = 1 (YES)

H12 To what extent did the skills developed help in enabling those objectives to be achieved...

READ OUT. SINGLE CODE.

To a very great extent	
To a great extent	
To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

IF D4 = 1 (YES)

H13 To what extent have the leadership and management skills developed been applied as had been envisaged beforehand?

READ OUT. SINGLE CODE.

To a very great extent	
To a great extent	
To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

ASK ALL

H14 How likely is your organisation to undertake further leadership and management training in the coming 12 months....READ OUT

SINGLE CODE.

Very likely	
Fairly likely	
Neither likely nor unlikely	
Fairly unlikely	
Very unlikely	
DO NOT READ OUT: Don't know	

IF H14 = 1 or 2 (Very likely OR Fairly likely):

H15 Has participating in Leadership and Management workshops or training funded by Discretionary Support made it any more likely that the organisation will undertake further leadership and management training than it would otherwise have been?

SINGLE CODE

Yes	
No	
DO NOT READ OUT: Don't know	

Impact

READ OUT FOR ALL

Finally, I'd like to ask you some questions about the impact which the training has had upon various aspects of business performance

I1 Using the following options, 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially', how would you say the training has impacted upon staff who participated in terms of:

READ OUT. SINGLE CODE EACH ROW

	improved substantially	improved a little	made no change	deteriorated a little	deteriorated substantially	Don't know / NA
1. Clarity about the direction in which the company is going	1	2	3	4	5	6
2. The confidence shown by senior management in taking opportunities and	1	2	3	4	5	6

dealing with threats						
3. Staff understanding of their roles within the organisation	1	2	3	4	5	6
4. Staff attitudes and preparedness to take responsibility	1	2	3	4	5	6
5. Teamwork within the organisation	1	2	3	4	5	6

[IF ANY I1 CODED 1 OR 2 = 'improved substantially' or 'improved a little']

I2 To what extent do you think any improvements can be attributed to participation in the workshops or activities...READ OUT?

SINGLE CODE

To a very great extent	
To a great extent	
To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

ASK ALL

I3 Using the same options as before, [READ OUT AGAIN IF NECESSARY: 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially'], how would you say the

workshops or training has impacted upon staff who participated in terms of:

READ OUT. SINGLE CODE

	improved substantially	improved a little	made no change	deteriorated a little	deteriorated substantially	Don't know / NA
1. Staff morale	1	2	3	4	5	6
2. The number and seriousness of personnel problems (e.g. grievances, disciplinaries)?	1	2	3	4	5	6
3. Staff retention	1	2	3	4	5	6

[IF ANY i3 = 1 OR 2 (IMPROVED)]

I4 To what extent do you think any improvements can be attributed to participation in the workshops or activities...READ OUT?

SINGLE CODE

To a very great extent	
To a great extent	
To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

ASK ALL

I5 Again using the same options, [READ OUT AGAIN IF NECESSARY: 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially'], how would you say the workshops or

training has impacted upon staff who participated in terms of:

READ OUT. SINGLE CODE

	improved substantially	improved a little	made no change	deteriorated a little	deteriorated substantially	Don't know / NA
1. Promotion and being given more responsibility	1	2	3	4	5	6
2. Pay	1	2	3	4	5	6

[IF I5 statements CODED 1-2 = 'improved substantially' or 'improved a little' ASK

I6 To what extent do you think any improvements can be attributed to participation in the workshops or activities...READ OUT.

SINGLE CODE

To a very great extent	
To a great extent	
To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

ASK ALL

I7 Again using the same options, [READ OUT AGAIN IF NECESSARY: 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially'], how would you say the workshops or training has impacted upon staff who participated in terms of:

READ OUT. SINGLE CODE

	improved substantially	improved a little	made no change	deteriorated a little	deteriorated substantially	Don't know / NA
1. Product or service innovation	1	2	3	4	5	6
2. Supply chain management/ procurement processes	1	2	3	4	5	6
3. Productivity and efficiency	1	2	3	4	5	6
4. Wastage rates/ down-time	1	2	3	4	5	6
5. The use of new technologies	1	2	3	4	5	6
6. The quality of products or services	1	2	3	4	5	6

IF ANY I7 statements coded 1 or 2 = 'improved substantially' or 'improved a little' ASK

I8 To what extent do you think any improvements can be attributed to participation in the workshops or activities...READ OUT. SINGLE CODE

To a very great extent	
To a great extent	
To some extent	
Hardly at all	
Not at all	
DO NOT READ OUT: Don't know	

I9 And using the same options for the final time, [READ OUT AGAIN IF NECESSARY: 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially'], how would you say the workshops or training has impacted upon:...

READ OUT. SINGLE CODE

	improved substantially	improved a little	made no change	deteriorated a little	deteriorated substantially	Don't know / NA
1. Profit levels / reducing losses	1	2	3	4	5	6
2. Your organisation's prospects going forward	1	2	3	4	5	6

IF ANY I9 1st statement is 1-2 = 'improved substantially' or 'improved a little' ASK

I10 Are you able to say roughly how much of a percentage increase there has been in profit because of the training?

PROMPT IF NECESSARY. SINGLE CODE

Less than 5 per cent	
Between 5 and 10 per cent	
Between 10 and 20 per cent	
More than 20 per cent	
DO NOT READ OUT: Don't know	

ASK ALL

I11 What have been the main factors, positive or negative, which have affected your organisation's business performance over the last couple of

years?

DO NOT READ OUT. MULTI CODE

Economic conditions	
Marketing	
Winning new customers / markets	
Less competition	
Recruited more skilled staff	
Improvement in existing staff's skills as a result of other training	
Shortage of appropriate skills	
Inability to train staff as needed	
Reduced capacity/defunct plant	
More competition	
Losing customers/markets	
Worsening trading conditions	
Other (PLEASE SPECIFY)	
DO NOT READ OUT: Don't know	

Future Studies

ASK ALL

J1 Finally, this study will involve undertaking follow-up interviews with organisations in order to assess the longer-term effects of leadership and management development activities supported by the Welsh Government.

Would you be prepared to be contacted again in a year or so's time?

SINGLE CODE.

Yes	
No	
Don't know	

THANK AND CLOSE SURVEY

I declare that this survey has been carried out under IFF instructions and within the rules of the MRS Code of Conduct.		
Interviewer signature:	Date:	
Finish time:	Interview Length	mins

Annex 4: An Evaluation of the Impact and Effectiveness of the Leadership and Management Wales (LMW) Centre for Excellence. Executive Summary

The Leadership and Management Wales Centre for Excellence (LMW) forms part of the Enhancing Leadership and Management Skills (ELMS) Programme funded by the Welsh Government and the European Social Fund (ESF).

LMW is a service delivered under contract by a consortium led by Cardiff Business School and includes Glyndŵr University and Tattum Guest Associates Ltd with an annual budget of £743,000.

LMW does not itself deliver leadership and management training. Rather, its purpose is to act in an impartial way as a centralised resource for businesses and individual managers' aimed at raising awareness, interest and up-take of leadership and management training.

The Welsh Government commissioned Old Bell 3 Ltd. with IFF Research Ltd. and York Consulting LLP to undertake an evaluation of ELMS, one element of which was to undertake a summative assessment of the impact and effectiveness of LMW in driving up demand for leadership and management development, particularly within small and medium businesses. The terms of reference for the study included the requirement for an assessment of the satisfaction of the centre's customers and stakeholders on the concept and delivery of the centre and usefulness of materials and seminars it provides.

The work programme for this evaluation involved reviewing relevant policy, strategy and research documents, project specific documents and monitoring information. It also involved the development of an evaluation framework, designing research instruments, drawing a sample from the LMW database, undertaking telephone interviews with 150 businesses and qualitative interviews with 41 stakeholders.

In relation to the policy framework and the development of the LMW concept, the report found that:

- a well established and supportive policy framework exists, which demonstrates that both the over-arching ELMS programme and specifically the LMW component were conceived on the basis of a clear policy rationale. This is underpinned by a sound body of research in terms of evidence of need
- there was logic attached to the process of applying for ESF funding from the Welsh European Funding Office (WEFO) to finance LMW as part of the broader, strategic ELMS project application (with two inter-related business plans for Convergence and Competitiveness purposes)
- the LMW specification (as put out to tender by Welsh Government) and the business plans submitted to WEFO reflect the aims, aspirations and intentions as set out in key policy documents. The specification also set out a clear description of the broad requirements of the LMW service, consistent with the direction of travel outlined by Ministers
- a key weakness of the initial specification for LMW was that it lacked detail in relation to targets and key performance indicators.

In terms of delivery and performance to date, the report found that:

- including a set of measurable key performance indicators (KPIs) within the original specification set by the Welsh Government would have assisted both LMW and the Welsh Government by bringing additional clarity to and focus for the centre's activities
- progress reports indicate that (prior to targets being introduced) LMW was discharging appropriate activity, in-line with the overall specification and nine of its ten objectives. However, the structure of the original quarterly reports and the lack of targets make it difficult to get a sense of LMW's cumulative performance leading up to March 2012 when more structured targets were introduced
- the streamlining of LMW's objectives from ten down to four and the introduction of structured targets is a positive development which has provided an additional focus and direction for the centre's work.

However, some of these targets are vague and insufficiently SMART in nature

- LMW's progress in the six months since the introduction of operational targets has been solid across each of the four objectives with most of the quantifiable deliverables broadly on or ahead of target. However, there are some concerns in relation to generating new SME leads
- the quality checking aspect of LMW's role (i.e. monitoring visits to ELMS providers) is a valid use of the centre's expertise, but this would benefit from the Welsh Government putting a more structured forward plan in place for this work as and when course delivery schedules are confirmed
- a number of key improvements need to be made to the LMW database in the short term and more work should be done by Welsh Government to analyse the LMW database in the context of ELMS.

In terms of effectiveness and impact, the report found that:

- established businesses are more likely than new starts to use LMW's services, while companies from a broad range of industrial sectors have been engaged by the centre
- the majority of the businesses engaged by LMW are micro and small businesses of below 50 employees
- the majority of LMW's business contacts have come from the centre's own proactive marketing and promotional activities
- referrals passing between LMW and Welsh Government contracted Human Resource Development Advisers (HRDAs) and LMW and ELMS providers (and vice versa) appear to be minimal
- feedback from businesses on LMW events is broadly positive, though feedback from HRDAs and providers is mixed
- the website is used by businesses as a practical tool for information purposes rather than as an intellectual resource or a 'way in' to LMW. Feedback on the website itself is relatively positive while businesses are indifferent about the utility of the e-Newsletter
- a relatively low proportion of businesses have received direct advice from LMW staff. Feedback on the advice received is solid but suggests scope for some improvement

- overall, awareness of, interest in and use of LMW's research products appears to have been modest
- LMW has had a positive influence on just under a third of the businesses engaged in terms of the importance they attach to leadership and management skills. Two thirds of businesses engaged by LMW are now more aware than they were about how and where to get support suggesting that LMW may have been more successful to date in promoting awareness of provision (supply side) than it has in changing attitudes and behaviours (demand side)
- there is some, reasonably positive, evidence to suggest attributable progression from LMW through into other strands of ELMS
- just over a quarter of businesses engaged by LMW say that they have increased their investment in leadership and management skills and 60 per cent say that they plan to do so in the future.

The report made a series of seven recommendations which are:

Recommendation 1

On balance, there is sufficient justification to recommend that the Welsh Government extends the contract for LMW to 2015, tying it in with the timeframe for the delivery of ELMS.

Recommendations two through seven are based on the assumption that the Welsh Government accepts recommendation one.

Recommendation 2

The Welsh Government should refine and develop the targets it sets for LMW in conjunction with centre staff. The targets should continue to be based around the strategic aims, but should be more specific and quantifiable. Going forward, targets and indicators need to be more clearly related to measuring the extent to which LMW is driving up demand. In this context, it is recommended that key improvements are made to LMW's database. It is also recommended that, building on the data in this report as a baseline, the Welsh Government should undertake more frequent and deeper analysis of LMW's

database in the context of customer progression to ELMS and other leadership and management initiatives.

Recommendation 3

The Welsh Government should, (in the context of the extended contract) commission LMW to add depth and specificity to the content of its events. This should stop short of turning them into training sessions that would compete with ELMS workshops, but would enable LMW to have a greater influence on the attitudes and behaviours of businesses – linked to driving up demand and improving leadership and management skills.

Recommendation 4

Within the scope of an extended contract, the Welsh Government should set LMW the task of strengthening its signposting protocols. Specifically, it is recommended that LMW takes a more direct approach to signposting customers to ELMS and other leadership and management provision. This may well raise some tensions in terms of LMW's impartiality, but it is recommended that this needs to take place to ensure that LMW adds sufficient value to the customer journey. In terms of the WDP, LMW should not have to ask businesses to take the initiative of using the Skills Hotline if they want to progress on to the programme: LMW should be able to pass on the contact direct to the WDP team and receive feedback on what has come of the referral.

Recommendation 5

It is recommended that LMW continues to operate the website, recognising that this is a functional resource for businesses it has already made contact with. It is recommended that the Welsh Government re-doubles efforts to ensure that ELMS workshop providers regularly update the LMW website with details of their sessions. It is recommended that, based on the rather lukewarm feedback from businesses about the e-Newsletter that LMW considers whether this is still relevant, or whether other means of communicating with its customer base may be more appropriate. In this context, it is recommended that LMW seeks further, qualitative feedback on

the e-Newsletter from its readership, possibly in the form of ad hoc focus groups with a view to increasing its perceived appeal and utility.

Recommendation 6

It is recommended that the Welsh Government continues to use LMW to monitor and provide feedback on ELMS provision. In this context, it is recommended that a forward plan should be put in place to help LMW allocate its resources in order to accommodate this without negatively affecting its customer facing work.

Recommendation 7

It is recommended that LMW should continue to have a research function. In this context it is recommended that the Welsh Government and LMW discuss and agree a forward research strategy to 2015, setting out a very small number of proposed studies which largely draw on secondary, rather than primary research sources (and with a practical as opposed to an academic focus) and supplemented by case studies of Welsh companies aimed at informing and influencing businesses and driving up demand for leadership and management skills.