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# Evaluation of the Enhancing Leadership and Management Skills in Wales (ELMS) Programme: Final Report

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Views expressed in this report are those of the researcher and not necessarily those of the Welsh Government

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## Table of Contents

Glossary of Acronyms .....	3
Executive Summary .....	4
1 Introduction .....	13
Evaluation aim and objective .....	16
Work programme .....	17
Report structure .....	18
2 Updated Policy Context, Evidence Base and Stakeholder Reflections .....	20
Relevant Policy Developments .....	21
3 Performance - Targets and Expenditure .....	31
Progress against Indicators - Convergence .....	33
Expenditure – Convergence .....	35
Progress against Indicators - RCE .....	36
Expenditure – RCE .....	38
4 ELMS Supported Businesses and Learners: Overview and nature of participation .....	44
Analysis of ELMS supported businesses .....	45
Survey sample .....	47
Analysis of ELMS supported learners – 2012 and 2013 ESF Leavers Survey .....	54
5 Route into ELMS and Motives for Involvement .....	56
Route into ELMS .....	57
Motives for involvement - Business perspective .....	59
Envisaged Benefits of ELMS Participation .....	64
Nature of participation – Business perspectives .....	67
Nature of participation – Learner perspectives .....	70
Course content .....	71
Stakeholder evidence – Route into ELMS and Motives for Involvement .....	74
6 Quality, Relevance and Qualification Outcomes .....	76
Business feedback on ELMS provision – satisfaction, quality and relevance of training .....	77
Learner feedback on ELMS provision .....	83
Qualification outcomes – Business perspectives .....	84
Qualification outcomes – Learner perspectives .....	89
7 Effects and Impacts .....	95
Utilisation of newly acquired skills – Company perspective .....	98
Skills Utilisation – Learner Perspective .....	98
Effects on participant behaviour – Company perspective .....	99
Effects on participant abilities – Company perspective .....	102

Personal impact on participants – Company perspective.....	103
Coaching and mentoring – effects of cascading.....	105
Qualification outcomes – Company perspective.....	106
Positive impacts for participants – Company perspective.....	107
Positive impacts – Learner perspective.....	109
Organisational Impacts.....	112
Stakeholder evidence – Effects and Impacts.....	121
8 Conclusions and Recommendations .....	123

## Glossary of Acronyms

<b>Acronym</b>	<b>Explanation</b>
BME	Black and Minority Ethnic
C&M	Coaching and Mentoring
DF	Discretionary Funding
DfES	Department for Education and Skills
ELMS	Enhancing Leadership and Management Skills
EPS	Employer Perspectives Survey
ESF	European Social Fund
ESS	Employer Skills Survey
FE	Further Education
HPW	High Performance Working
liP	Investors in People
LLP	Limited Liability Partnership
LMW	Leadership & Management Wales
NOS	National Occupational Standards
RCE	Regional Competitiveness and Employment
SLF	Workforce Development Advisor
SME	Sector Leadership Fund
SSC	Sector Skills Council
UKCES	UK Commission for Employment and Skills
WDA	Workforce Development Advisor
WDP	Workforce Development Programme
WEFO	Welsh European Funding Office
WLDT	Welsh Language Diagnostic Tool
W/S	Workshops

## Executive Summary

Enhancing Leadership and Management Skills (ELMS) was 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 involved:

‘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 businesses and organisations’.

ELMS consisted of:

- the Centre for Excellence for Leadership and Management: Leadership Management Wales (LMW) – which had the objective of driving up demand for leadership and management skills particularly in Small and Medium Sized Enterprises (SMEs) and providing enhanced information and signposting services to businesses across Wales
- a series of open access workshops delivered across Wales through a network of 12 contracted providers
- a Discretionary Funding element, which was made available via the Welsh Government’s Workforce Development Programme (WDP). This was open to all private sector employers (with a 50 per cent subsidy rate) and was used to support leadership and management training
- the Sector Leadership Fund (SLF) which supported the Welsh Government’s sector based approach and was 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 provided an on-line tool enabling employers to analyse which Welsh language skills are required by their workforce. This intervention also enabled employers to analyse the

Welsh language skills and capabilities of their staff and to identify specific aspects which need improvement.

The ELMS Convergence and RCE projects were approved in April 2009. Delivery started on 1st October 2009 and was due to run until December 2015 but a policy decision was taken to halt delivery in December 2014 albeit that the projects themselves did not end until 31st March 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 delivery and effectiveness of the ELMS Convergence and Competitiveness Fund projects including the Leadership & Management Wales (LMW) Centre for Excellence.

The objective of this report is to provide a final, summative evaluation of ELMS, focusing principally on the workshops, discretionary fund and coaching and mentoring elements.

Two separate reports dealing with LMW have been published as part of this long term evaluation programme. The first was published in July 2013 and the second, a final evaluation was published alongside this report in 2016.

A separate report has been prepared which evaluates the 'Welsh in the Workplace' Welsh Language Diagnostic Tool element of ELMS which was published alongside this report in 2016.

The work programme for this final evaluation involved a literature review of relevant policy and strategy documents, analysing claims data (for the period 1 July 2014 to 31 December 2014), analysing database records (for companies joining ELMS after 1<sup>st</sup> August 2013), updating research instruments, undertaking telephone surveys and qualitative fieldwork including follow-up visits to assisted companies.

## Performance

The evaluation found that ELMS was an ambitious programme which aimed to deliver Welsh Government policy priorities in relation to raising leadership and management skills in Wales by training 43,000 participants across 16,000 companies in Wales.

In practice however, ELMS never quite managed to deliver on this scale – in the end training just over 20,500 people and supporting over 4,000 companies having spent some £20 million of the original £65 million budget.

Taken in isolation, this is clearly a significant achievement but set against the scale of its targets, ELMS under-spent and under-delivered in both the Convergence and RCE areas. This leads to the conclusion that while the logic for ELMS was sound, its scale was overly-ambitious in the context of demand.

Key factors that contributed to ELMS' under-performance included:

- a lack of visibility (by companies) of the ELMS discretionary fund which was made available via the Workforce Development Programme and there being other ESF and Welsh Government funding schemes that provided companies with alternative (and sometimes more generous) options to access the same or similar training. Companies that received support via the discretionary fund route gave positive feedback about its bespoke and flexible nature and as such it is disappointing that further use was not made of it
- commissioning delays which meant that the coaching and mentoring strand (which ultimately performed well) was restricted in its scale by a condensed delivery timeframe
- significant issues with the development of the Sector Leadership Fund strand which could have been commissioned more efficiently via either ELMS workshops or the discretionary fund and did not require the complexity associated with a suite of sub-projects

- some early, operational challenges (which were later resolved) in relation to defining what training was available via the ELMS open access workshops. In this context, the evaluation concludes that the Welsh Government could have drawn more extensively on the expertise available to it via Leadership and Management Wales to help shape this element of the programme
- a lack of evidence to substantiate outputs and performance in relation to the cross-cutting themes of environmental sustainability and equal opportunities. There was also a lack of emphasis on the cross cutting themes within the actual delivery of ELMS.

### **Promotion, Awareness and Participation**

The evaluation found that most of the companies that participated in ELMS had specific reasons for doing so and most expected to see an improvement in the skills of their senior managers as a result. The fact that ELMS provision was either free of charge or subsidised was also a very attractive feature to companies.

Most companies got to know about ELMS and were encouraged to participate by the provider that eventually delivered the training to them. The evaluation found that feedback about the quality and relevance of the training (across the workshop, discretionary fund and coaching and mentoring strands) from participating companies has been consistently good and in the vast majority of cases (93 percent) has met the expectations of participating companies which is a very positive achievement.

Workforce Development Advisers also played an important role in promoting awareness of ELMS, particularly the discretionary funding strand, and feedback from supported companies on the added value of their work has been positive.

## **Effects and Impacts**

The evaluation found that ELMS has delivered some positive outcomes, particularly for SMEs with strong evidence of skills utilisation in the vast majority of participating companies particularly by those having trained staff via the open access workshops and discretionary funded training.

The impacts from both the open access workshops and the discretionary funded training have been greater in terms of overall behaviours and interpersonal skills than in terms of the acquisition or improvement of more specific skills.

Evidence from the telephone survey data suggested that the cascading of skills to other managers via the coaching and mentoring strand had worked well and feedback on the quality of the training was excellent. However, the qualitative evidence challenges the extent to which these skills have percolated through and shows that cascading activity has been more limited and far more informal than originally envisaged. However, the evaluation concludes that the coaching and mentoring strand was a worthwhile exercise and the learning from it should be proactively disseminated by Welsh Government to help inform the design of any future interventions of this nature.

Evidence shows that ELMS training has led to a range of positive outcomes for participants including increased confidence, improved staff morale and team working, with the discretionary fund having been particularly effective in this respect. There is also evidence to suggest that the programme has led to positive outcomes for some trained staff in terms of promotion and being given greater levels of responsibility. The programme seems to have been somewhat less effective however in relation to influencing levels of pay for training participants.

In terms of organisational level effects, the evaluation evidence shows that ELMS led to positive effects in relation to productivity and efficiency with the

discretionary fund training having been the most effective of the three intervention types in this respect. Effects on profit levels are somewhat less compelling although evidence from the longitudinal survey data suggests an increasing tendency to attribute positive changes to profitability over the longer term.

The evaluation found that most ELMS supported businesses would take part in further leadership and management training with a high proportion of those saying that their involvement with the programme had made it more likely they would do so.

In terms of the effects of ELMS training over time, the longitudinal evaluation evidence is not consistent, although there is some evidence of an increased propensity for employers to perceive benefits in terms of organisational performance over time. In reality, however, the sample for the third wave evaluation survey is too small to draw any firm conclusions.

Overall, the evaluation concludes that despite the various performance and operational challenges which ultimately led to the conscious policy decision to withdrawal early from delivery, ELMS has succeeded in generating a range of genuinely positive effects. While broader evidence from the Wales Employer Skills Survey shows that its wider population impact cannot be described as transformational, ELMS training has been of good quality, has been well received and utilised and has benefitted the companies and individuals that it supported in Wales.

The evaluation makes a series of eight recommendations aimed at informing the design and implementation of future programmes.

### **Recommendation 1**

The Welsh Government should incorporate the key learning points from ELMS into the design of future training programmes. In terms of design, a key learning point is that the scale of future programmes should be informed by and should be commensurate with evidence of demand and projected levels

of up-take to reduce the need for re-profiling. The Welsh Government should also be definitive and specific about what kind of training courses are included (and eligible) within the scope of a programme from the outset so that providers and companies are clear about what is available and what is not. In this context, a clear logic chain linking courses and course content to the identified need (or market failure) and the desired outcomes should be incorporated as part of future programme design.

### **Recommendation 2**

The Welsh Government should learn from the experience of the Sector Leadership Fund and carefully consider whether introducing a discrete and additional tier of sub-projects is the most effective way of delivering targeted or sector specific training provision. Before introducing a tier of sub-projects to the design of a programme such as ELMS, the Welsh Government should in future explore whether provision can be incorporated more efficiently within the 'core' programme offer while being tailored or modified to meet any specific requirements.

### **Recommendation 3**

The Welsh Government should look to build on good practice from ELMS and in particular the discretionary fund where there have clearly been benefits to companies from identifying and selecting the training they need with the assistance of impartial Workforce Development Advisers. However, the Welsh Government should make sure that any future programmes are designed in a way that companies are fully aware of and understand the full extent of the offer available to them. In the case of ELMS, the availability of leadership and management training via the Workforce Development Programme was not particularly visible and this affected the level of up-take.

### **Recommendation 4**

The Welsh Government should learn from the experience of ELMS in relation to the cross cutting themes. Specifically, the cross cutting themes need to be a far more prominent feature in the design and implementation of future ESF funded programmes of this nature. This should include setting out more

clearly (for example via procurement and diagnostic processes) what the expectations of contracted providers (e.g. training providers and Workforce Development Advisers) are in relation to the cross-cutting themes. The Welsh Government should also review and strengthen its monitoring systems and practices in relation to cross cutting theme targets to ensure that sufficient evidence exists to support outputs and results.

#### **Recommendation 5**

The Welsh Government should learn from the experience of the Coaching and Mentoring strand of ELMS by ensuring that the procurement of training delivery providers allows a sufficient delivery window to enable new approaches to be thoroughly tested and evaluated. The Welsh Government should also take account of the mixed evidence from the cascading effects of the coaching and mentoring strand and should limit its expectations in relation to the extent to which trained individuals will themselves be able to go on and train others within their organisations without some form of ongoing support.

#### **Recommendation 6**

The Welsh Government should take account of the impact of high levels of staff turnover in key project management roles in implementing large programmes such as ELMS. As far as is possible, the Welsh Government should promote and facilitate continuity in project and programme management staff to ensure clear strategic and operational direction throughout.

In addition, recommendations are also made relating to the future evaluation of programmes such as ELMS:

#### **Recommendation 7**

In terms of evaluating future programmes, the long-term approach taken to evaluating ELMS which combined formative and summative elements has been effective and has enabled a thorough analysis of both process and impact aspects and the Welsh Government should continue to adopt this approach for major policies and programmes in the future. Combining

quantitative and longitudinal surveys with robust qualitative evidence has enabled findings to be tested, refined and shared with management and delivery staff during implementation though in the case of ELMS the lack of continuity in programme management staff limited the benefits of this somewhat.

### **Recommendation 8**

The scoping phase of the evaluation concluded at the time that there were no easy or proven solutions in terms of developing robust approaches to estimating the counterfactual of a programme such as ELMS. While this is clearly a complex methodological consideration, the Welsh Government should continue to explore quasi-experimental ways of undertaking counterfactual impact analysis including the use of synthetic or virtual control groups as new literature and data sources become available.

# 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 in Wales (ELMS) Programme.

1.2 ELMS was a flagship programme funded by the Welsh Government and the European Social Fund (ESF), through the Convergence<sup>1</sup> and Regional Competitiveness and Employment (RCE) Programmes<sup>2</sup>, which involved:

‘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 businesses and organisations’<sup>3</sup>.

1.3 The programme aimed to ‘support the leadership and management development of Wales’ business managers, especially small and medium enterprises (SMEs)<sup>4,5</sup>. The ELMS Convergence and RCE projects were approved in April 2009. Delivery started on 1<sup>st</sup> October 2009 and was due to run until December 2015 but a policy decision was taken to halt delivery in December 2014 albeit that the projects themselves did not end until 31<sup>st</sup> March 2015.

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<sup>1</sup> In the West Wales and Valleys area – Isle of Anglesey, Conwy, Denbighshire, Gwynedd, Ceredigion, Pembrokeshire, Carmarthenshire, Swansea, Neath Port Talbot, Bridgend, Rhondda Cynon Taf, Merthyr Tydfil, Caerphilly, Blaenau Gwent, Torfaen. Note that the term Convergence is used throughout this report to refer to the Convergence ESF Programme, the ELMS Convergence Project and targets associated with the ELMS Convergence Project.

<sup>2</sup> In the East Wales area – Flintshire, Wrexham. Powys, Monmouthshire, Newport, Cardiff, Vale of Glamorgan. Note that the term RCE is used throughout this report to refer to the RCE ESF Programme, the ELMS RCE Project and targets associated with the ELMS RCE Project.

<sup>3</sup> Convergence Business Plan. Page 5.

<sup>4</sup> Ibid. Page 3.

<sup>5</sup> 1-250 employees.

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

**Figure 1.1: Overview of the five ELMS interventions**

Intervention	Summary description	Delivery arrangements
Leadership and Management Workshops	The leadership and management workshops were a series of open access workshops delivered across Wales through a network of 12 contracted providers. The workshops focused on a range of management and leadership topics including leadership skills and managing change and were based on the National Occupational Standards (NOS) for Management and Leadership. Micro and small businesses were able to attend the workshops at a 70 percent subsidised rate, while larger firms (250 plus employees) could attend at a 50 percent subsidised rate.	A Network of 12 contracted providers appointed by Welsh Government following a procurement exercise.
Discretionary Funding	The Discretionary Funding intervention was made available via the Welsh Government’s Workforce Development Programme (WDP). This was open to all private sector employers (with a 50 percent subsidy rate) and was used to support leadership and management training. Micro businesses or those with Investors in People (IiP) accreditation were able to apply directly for funds while larger businesses that were not IiP accredited worked with Welsh Government funded Workforce Development Advisors (WDAs) <sup>6</sup> to undergo a strategic review to identify necessary training requirements.	Delivered via the Workforce Development Programme with the assistance of WDAs or via direct application to Welsh Government.
Sector Leadership Fund	The Sector Leadership Fund (SLF) supported the Welsh Government’s sector based approach and was ring fenced to Sector Skills Councils (SSCs). SSCs were invited to apply to set up specific leadership and management training projects.	Ring-fenced to SSCs that were invited to apply with project ideas directly to Welsh Government. Four projects were

<sup>6</sup> Formerly known as Human Resource Development Advisors (HRDAs).

Intervention	Summary description	Delivery arrangements
		approved.
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 intervention was 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 (WLDT) known as 'Welsh in the Workplace'	The aim of this intervention was to provide an on-line tool enabling employers to analyse which Welsh language skills are required by their workforce. This intervention also enabled 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 interventions, the Welsh Government 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 was financed from within the ELMS budget until December 2014. The Welsh Government extended LMW's contract using its own (i.e. not ELMS) funds to June 2015<sup>7</sup>.

1.6 LMW itself did not deliver leadership and management training. Rather, it was a parallel service intended to 'act as a central hub for businesses and individuals, providing up to date leadership and management

<sup>7</sup> Prior to the extension being granted, LMW's contract was due to expire on 31st December 2014.

research and signposting to the most appropriate leadership and management project, depending on need<sup>8</sup>.

### **Evaluation aim and objective**

- 1.7 The overall aim of the evaluation of ELMS is to evaluate the delivery and effectiveness of the ELMS Convergence and RCE Fund projects including the Leadership & Management Wales (LMW) Centre for Excellence.
- 1.8 An interim evaluation of ELMS (covering the workshops and discretionary funding and the time period 1<sup>st</sup> March 2010 to 30<sup>th</sup> June 2012) was published in July 2013<sup>9</sup>. An update report which considered performance data (for the period 1<sup>st</sup> July 2012 to 30<sup>th</sup> September 2013) and database records (for the period 1<sup>st</sup> September 2012 to 31<sup>st</sup> July 2013) was published in November 2014<sup>10</sup>. In addition to the workshops and discretionary fund elements, the update report also considered the coaching and mentoring strand.
- 1.9 The objective of this report is to provide a final, summative evaluation of ELMS, focusing principally on the workshops, discretionary fund and coaching and mentoring elements.
- 1.10 Two separate reports dealing with LMW have been published as part of this long term evaluation programme. The first<sup>11</sup> was published in July 2013 and the second<sup>12</sup>, a final evaluation was published alongside this report in 2015.

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<sup>8</sup> ELMS Business Plan (Convergence ESF). Page 41.

<sup>9</sup> See: <http://wales.gov.uk/statistics-and-research/evaluation-enhancing-leadership-management-skills-programme/?lang=en>

<sup>10</sup> See: <http://wales.gov.uk/statistics-and-research/evaluation-enhancing-leadership-management-skills-programme/?lang=en>

<sup>11</sup> An Evaluation of the impact and effectiveness of the Leadership and Management Wales (LMW) Centre for Excellence

<sup>12</sup> Final Evaluation of the Leadership and Management Wales (LMW) Centre for Excellence.

1.11 A separate report has been prepared which evaluates the 'Welsh in the Workplace' Welsh Language Diagnostic Tool element of ELMS which was published alongside this report in 2015.

### **Work programme**

1.12 The work underpinning this final evaluation has involved the following elements:

- attending a meeting of the ELMS evaluation steering group on 30<sup>th</sup> July 2014 to discuss and agree the final stage work programme
- reviewing relevant policy, strategy and research documents to update the strategic context and evidence base for ELMS
- analysing WEFO claims data covering the period 1 July 2014 to 31 December 2014.
- analysing the business database records for those businesses who joined ELMS since the sampling for the update evaluation (i.e. companies joining the after 1<sup>st</sup> August 2013)
- updating existing and preparing new semi-structured discussion guides for use in qualitative fieldwork with employers, trainees and key stakeholders
- undertaking qualitative interviews with 22 stakeholders including Welsh Government officials, LMW staff, Workforce Development Advisers (WDAs<sup>13</sup>) and ELMS training providers
- updating telephone research questionnaires (used for the interim and update evaluation surveys)
- completing telephone interviews with 140 employers supported by ELMS during the period 1<sup>st</sup> August 2013 to 31<sup>st</sup> October 2014
- completing telephone re-interviews (second wave) with 244 ELMS supported employers from the sample for our update (November 2014) report

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<sup>13</sup> Formerly known as Human Resource Development Advisers (HRDAs).

- completing telephone re-interviews (third wave) with 54 ELMS supported employers from the sample for our interim (July 2013) report
- completing (first wave) qualitative interviews with 14 ELMS employers supported between 1<sup>st</sup> August 2013 and 31<sup>st</sup> October 2014
- completing (second wave) qualitative re-interviews with 17 ELMS employers from the 2013 update evaluation sample
- completing qualitative (third wave) re-interviews with nine ELMS employers from the 2012 interim evaluation sample

1.13 In terms of the Sector Leadership Fund (SLF), this report explains that very few employers or individuals were supported by this element of the programme. Indeed, only five companies appeared on the ELMS database as having been supported by the SLF. Given this situation, no primary research was undertaken with providers or beneficiaries of the SLF strand. We understand that a number of individual project level evaluations of SLF initiatives were being undertaken at the time of our final programme level evaluation but only one of these reports was made available to us. As such, only qualitative stakeholder evidence on SLF, mainly focused on the design and performance, is contained in relation to that strand of the programme in this report.

### **Report structure**

1.14 In the remainder of this report, we:

- consider the updated policy context and evidence base for leadership and management training in Wales generally and ELMS specifically (Chapter 2)
- consider how the programme has performed against its performance and expenditure targets (Chapter 3)
- provide an overview of ELMS supported businesses and consider the nature of their participation (Chapter 4)
- consider routes into ELMS and motives for participation (Chapter 5)

- consider the quality and relevance of ELMS training and qualification outcomes (Chapter 6)
- consider the effects and impacts of ELMS training (Chapter 7)
- set out our conclusions and recommendations (Chapter 8)

## 2 Updated Policy Context, Evidence Base and Stakeholder Reflections

2.1 In this chapter, we examine a number of key policy developments of relevance to ELMS and leadership and management training in Wales since our interim evaluation report was published. Our analysis in this chapter draws on a desk based review of key policy documents and evidence gathered as part of the qualitative stakeholder interviews. We also consider and update the evidence base in terms of labour market intelligence around leadership and management skills by reviewing the 2013 Employer Skills Survey Report for Wales and the 2014 Employer Perspectives Survey. The chapter also analyses evidence presented by stakeholders with regards to reflections on the design and implementation of ELMS and the policy decision to withdraw from delivery of the programme a year earlier than originally planned in December 2014.

Key findings outlined in this chapter:

- The emphasis on leadership and management skills is more subtle in recent Welsh Government policy statements than when ELMS was originally conceived with the focus more recently on high performance working (HPW) techniques and the incorporation of leadership and management development as part of broader skills strategy.
- The 2013 Wales Employer Skills Survey shows that relatively little has changed in terms of the demand for, and supply of, leadership and management skills compared to the situation reported in our interim evaluation.
- Stakeholders acknowledged that provision funded via ELMS could, particularly in the programme's early stages, have been more focused on leadership and management skills. While this improved during the delivery period, some stakeholders still felt that ELMS tried to do too

much in terms of the range of courses and subject areas covered.

- Stakeholders saw the workshops as a good entry point to leadership and management training for micro businesses and overall, they perceived the quality of ELMS training (across all three intervention types) to be of a good standard.
- Stakeholders noted that there were significant challenges with the implementation of the SLF and the sector focused ELMS provision could have been delivered more effectively and efficiently without the need to create a discreet programme strand and suite of sub-projects.
- The Welsh Government took a policy decision to withdraw from the delivery of ELMS early, in December 2014, as part of a phased transition into the priorities for the 2014-2020 EU Structural Fund Programmes.

## **Relevant Policy Developments**

2.2 Since we undertook our interim evaluation of ELMS, a number of important policy developments have occurred. In January 2014, the Welsh Government published a new policy statement on skills with the intention of ‘informing future action in relation to post-19 skills and employment policy’ and as a basis (over an envisaged 10 year period) to ‘support Wales to evolve into a highly-skilled nation and to create the conditions which allow businesses in Wales to grow and flourish’<sup>14</sup>. One of the key themes in the policy statement was the intention to pursue ‘a stronger culture of co-investment between government, employers and individuals across all available funding sources’<sup>15</sup>.

2.3 Specifically in relation to leadership and management skills, the statement outlined that ‘Wales, like the rest of the UK, is constrained by lower levels of management and leadership skills compared to our

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<sup>14</sup> Policy Statement on Skills. Welsh Government. January 2014. Page 2.

<sup>15</sup> Ibid. Page 13.

competitor regions'. Given this constraint, the statement set the challenge that the 'skills system must go beyond supply issues to support employers to become better informed consumers who are capable of fully utilising the skills of their workforce by strengthening leadership and management capabilities by applying High Performance Working (HPW) practices'<sup>16</sup>.

2.4 Following the publication of this policy statement, the Welsh Government produced a Skills Implementation Plan<sup>17</sup>. Published in July 2014, the aim of the implementation plan is to 'provide details of the actions to be undertaken by the Welsh Government working with employers, individuals, trade unions and delivery partners'<sup>18</sup>.

2.5 The implementation plan makes no direct references to either leadership or management skills, but does continue the HPW theme under the heading of 'skills that employers value'. In this context, the implementation plan sets out the aim of:

'Working with employers to develop adult vocational qualifications and apprenticeship frameworks and supporting them to fully utilise the skills of their workforce through developing a culture of high performance working and investment in skills alongside government'<sup>19</sup>.

2.6 Another key document of relevance to the policy agenda is the Department for Education and Skills' 'footprint' for European Social Fund (ESF) delivery in the 2014-2020 period<sup>20</sup>. The aim of the footprint document is to outline the Department's approach to ESF and to provide

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<sup>16</sup> Ibid. Page 13.

<sup>17</sup> Skills implementation plan. Delivering the policy statement on skills. July 2014. Welsh Government.

<sup>18</sup> Ibid. Page 2.

<sup>19</sup> Ibid. Page 4.

<sup>20</sup> Update to DfES footprint for ESF delivery 2014-2020. September 2014. Welsh Government.

‘a map of youth and adult employment and skills provision across Wales, highlighting relevant links with the 2014-2020 ESF Programmes’.

2.7 There are no specific references to leadership and management skills within the footprint document indicating that the Welsh Government itself does not plan to develop its own dedicated leadership and management project under the 2014-2020 Programmes. This footprint document does not however rule out the potential use of ESF funding to support leadership and management interventions in Wales under the 2014-2020 Programmes.

2.8 In November 2014, the Welsh Government elaborated on the co-investment policy, initially set out in the skills statement by publishing a framework for co-investment in skills<sup>21</sup>. Once again, leadership and management skills are not mentioned specifically within this key document. It sets out three broad investment areas, which are:

- government led, with a focus on ‘areas of economic and social return which support the focus on jobs, growth and tackling poverty’
- joint actions, with a focus on ‘delivering flexible and responsive solutions to skills needs where government resources can add value to the investment already being made by employers’
- employer led, with a focus on ‘skills priorities relevant to their business operations and future skills needs and complementing the action taken by government’<sup>22</sup>.

2.9 The lack of specific references to leadership and management in these recent policy documents is notable and is in contrast to the finding in our interim evaluation report that ‘a well-established and supportive policy framework exists, which demonstrates that ELMS was conceived on the basis of a clear policy rationale’<sup>23</sup>.

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<sup>21</sup> Framework for co-investment in skills. Taking collective responsibility for skills investment in Wales. November 2014. Welsh Government.

<sup>22</sup> Ibid. Page 9.

<sup>23</sup> Interim Evaluation of the Enhancing Leadership and Management Skills (ELMS) Programme. 2013. Old Bell 3 Ltd. Page 17.

## Evidence base update

### *Wales Employer Skills Survey 2013*

- 2.10 In June 2014, the Welsh Government published a report for Wales drawn from the UK Commission for Employment and Skills' (UKCES) 2013 Employer Skills Survey<sup>24</sup> (ESS). This is a successor to the 2011 ESS considered in the interim evaluation.
- 2.11 The 2013 ESS Wales report found that 16 percent of establishments responding to the survey reported skills gaps (i.e. skills lacking among existing staff). Nineteen percent of skills gaps were due, at least in part, to their staff lacking strategic management skills<sup>25</sup> (the figure was 22 percent in the 2011 ESS Wales Report)<sup>26</sup>. The 2013 ESS Wales report also found that 72 percent of establishments cited a need for upskilling in the next 12 months, with a third (33 percent) of those establishments noting that there was a need for upskilling in the area of 'strategic management'<sup>27</sup>.
- 2.12 In terms of the skills gaps amongst specific occupational groups, the 2013 ESS Wales report found that employers in Wales identifying skills gaps on the part of their managers identified strategic management skills as one area where skills were lacking in 50 percent of skills gaps<sup>28</sup>. Similarly, in relation to the 'professionals' occupation group, 48 percent<sup>29</sup> of skills gaps were due, at least in part to a lack of strategic management skills, with 41 percent<sup>30</sup> in respect of 'associate professionals'.
- 2.13 Sixty-two percent of establishments in Wales provided training over the past 12 months. In terms of the type of training offered by employers

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<sup>24</sup> Employer Skills Survey 2013: Wales Report. IFF Research. 4<sup>th</sup> June 2014.

<sup>25</sup> Ibid. Page 45. Base of 1,219 respondents in Wales reporting skills gaps.

<sup>26</sup> UK Commission's Employer Skills Survey 2011: Base 1,354.

<sup>27</sup> Ibid. Page 55. Base of 2,227 respondents in Wales who anticipate a need to upskill staff in the next 12 months.

<sup>28</sup> Ibid. Table A.4.4: Skills lacking among staff with skills gaps followed up, by occupation. Base 228.

<sup>29</sup> Ibid. Base 71.

<sup>30</sup> Ibid. Base 71.

who provided training, the 2013 ESS Wales report found that 37 percent of establishments in Wales had provided management training<sup>31</sup> and that this compared with 35 percent for the UK as a whole<sup>32</sup>.

2.14 Following on from this, the 2013 ESS Wales report found that in terms of skills which needed improving or updating in the next 12 months by occupation type, 40 percent of employers who believed upskilling of their managers was necessary over the next 12 months identified the need to improve the strategic management skills of their managers<sup>33</sup>. The equivalent figure for 'professionals' was 36 percent<sup>34</sup> and for 'associate professionals' 27 percent<sup>35</sup>.

2.15 The 2013 ESS Wales report also commented on skill-shortage vacancies (i.e. skills lacking among applicants). Four percent of establishments in Wales had skill-shortage vacancies. In this context, 26 percent<sup>36</sup> of skill-shortage vacancies were due, at least in part to strategic management skills lacking among applicants (compared to 33 percent in the 2011 ESS)<sup>37</sup>.

#### *Employer Perspectives Survey 2014*

2.16 The UKCES published the results of its 2014 Employer Perspectives Survey (EPS) in November 2014<sup>38</sup>. There is very little reference to leadership and management skills or training within the report. However, the report does find that employers in Wales were 'generally more likely to have sought help on skills and training related issues' (34 percent for Wales compared with 28 percent average across the UK). Welsh employers were 'particularly likely to have sought help from public sector

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<sup>31</sup> Compared to 36 percent for Wales in the 2011 ESS. . Base 4,653 (unweighted).

<sup>32</sup> Ibid. Page 64. Base of 4,277 respondents in Wales saying that they provided their staff with training. See also Table A.5.5 on page 122.

<sup>33</sup> Ibid. Table A.4.8: Skills which need improving or updating in the next 12 months, by the single occupation most affected by upskilling need. Base 848.

<sup>34</sup> Ibid. Base 236.

<sup>35</sup> Ibid. Base 92.

<sup>36</sup> Ibid. Figure 3.2. Page 35. Base 269.

<sup>37</sup> UK Commission's Employer Skills Survey 2011: Base 272.

<sup>38</sup> Employer Perspectives Survey 2014: UK Results. Evidence Report 88. November 2014.

organisations (20 percent compared with 10 percent average across the UK) and most notably from the Welsh Government (13 percent)<sup>39</sup>.

2.17 The EPS also asked a question relating to which initiatives or schemes employers had heard of. Although this did not provide an option for ELMS (or any of its individual intervention types), it did cover LMW. The report found that 17 percent of Welsh employers said that they had heard of LMW<sup>40</sup>. Of those that had heard of it, 19 percent said that they had used it in the past 12 months<sup>41</sup>. In the 2012 EPS, 14 percent were aware of LMW and of those 15 percent had used it. In the 2010 EPS, 13 percent were aware of it and of those 10 percent had used it. This shows a modest but steady increase in awareness and usage (by those that were aware) of LMW since 2010.

### **Stakeholder evidence – The Design, Implementation and Withdrawal of ELMS**

#### *The design and implementation of ELMS*

2.18 Welsh Government officials interviewed as part of the final stage of this evaluation reflected on a number of learning points in relation to the design and implementation of ELMS. One of the consistent points raised during the final stage interviews was that in terms of selecting specific courses and training content, to be made available via the workshops and discretionary fund, ‘leadership and management’ was too broad a definition. According to these stakeholders this resulted, in particular in the early stages of the programme, in training content being funded and approved under ELMS which might not have been as closely related to leadership and management as was intended in the original programme specification. One stakeholder for instance reflected that:

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<sup>39</sup> Ibid. Page 75.

<sup>40</sup> Base for Wales 2,007 respondents.

<sup>41</sup> Source: IFF Research. This data was not included in the published 2014 EPS report.

'The staff [Welsh Government] involved in making decisions about which courses to approve were quite junior and I think they found it difficult to say no when providers put courses forward under ELMS. We could have been clearer about what we were trying to achieve and on reflection we could probably have involved LMW more in advising us on this process'.  
(Welsh Government Official)

2.19 As a result of this early confusion, Welsh Government officials told us that they introduced 'tighter controls' during 2012 including a traffic light system. This categorised ELMS courses in order to provide greater focus on leadership and management training within the course content being put forward by providers and approved by WG. Even so, 'we still tried to do too much' and the ELMS approach felt rather 'piecemeal' in nature.

2.20 Over time however, one Welsh Government official felt that internal staff involved in overseeing ELMS 'became a lot smarter, took advice and where necessary turned things down [by providers] that just weren't appropriate' though they also noted that this had 'created a backlash from some training providers'.

2.21 In terms of key learning points, this official reflected that:

'The learning we should take from that is that we [Welsh Government] need to be more specific about defining what's available and what we want to achieve. The other lesson is that there needed to be more senior level guidance to support us in making those decisions'.  
(Welsh Government Official)

2.22 Beyond the definitional challenges relating to what actually constituted leadership and management training, stakeholders on the whole felt that in strategic terms, the workshop strand had provided 'a nice entry point' into leadership and management training for many employers and that overall, the client experience had been positive. Several stakeholders

pointed out however that ‘workshops’ had been a misleading description of what was actually delivered suggesting instead that in practice they were short training courses.

‘They weren’t really workshops at all. They were mislabelled’. (LMW official)

2.23 Others however, including one WDA, thought that the workshops had ‘gone down really well’ and ‘what you saw was what you got’. Training providers felt that the open access nature of the ELMS funded workshops enabled micro and small businesses in particular to participate in training that would otherwise have been beyond their reach. It was clear from our stakeholder interviews (and this chimes with our survey findings, reported later) that the training providers themselves had, in the main recruited the bulk of the participants onto the workshop training sessions. The training providers interviewed also argued that without the financial support from ELMS, most micro and small businesses would probably not have participated in the workshops.

2.24 Stakeholders saw the discretionary fund as being ‘more about bespoke leadership and management training’ and some argued that in practice this strand already constituted a co-investment approach (such as that being advocated in more recent Welsh Government policies) with its 50 percent or 70 percent intervention rates depending on company size. In this context, Welsh Government officials felt that the discretionary fund had been the strand of the programme most closely integrated with existing company training plans.

2.25 In terms of the coaching and mentoring strand, Welsh Government officials felt that this had been a worthwhile investment in trialling the approach though several were sceptical of the extent to which participants would in reality be able to cascade the learning to other staff within their organisation, which was a fundamental element of the

strand's design (this latter point is discussed in more detail elsewhere in this report):

'There was clearly real potential in the coaching and mentoring strand. It was definitely the right thing to try it'. (Welsh Government Official)

2.26 In contrast, there was a sense of considerable disappointment amongst stakeholders with the SLF strand. While some stakeholders within Welsh Government thought that the SLF concept was 'probably OK', others said that they were 'not entirely convinced there was a genuine need' to have developed a separate suite of sub-projects when in their view sector specific leadership and management training could 'quite easily' have been accommodated and commissioned either via the workshop or discretionary fund strands.

2.27 Policy officials within the Welsh Government felt that the SLF element had 'fallen down' in relation to its delivery with the Sector Skills Councils (SSCs) involved having very limited resources, being 'preoccupied with survival' and being unable to prioritise the development and implementation of SLF projects.

'There have been some significant issues with SLF'. (Welsh Government Official)

#### *The withdrawal of ELMS*

2.28 Welsh Government interviewees commented that leadership and management skills remained a key issue for the Welsh economy and a priority for Ministers but that recent policy announcements reflected the fact that (in the context of the co-investment strategy and on-going austerity) it no longer represented an area that Welsh Government would invest directly in. These officials saw the leadership and management agenda (and consequently investment in related training interventions) as being the responsibility of regional skills partnerships,

to identify and prioritise as necessary, in the context of any training projects that are developed under the 2014-2020 ESF Programmes.

‘We expect the regional skills partnerships to pick up this kind of work. There’s a strong HE presence on these partnerships and we’re expecting them to want to take it forward’. (Welsh Government Official)

2.29 Welsh Government officials reported that the decision to withdraw ELMS earlier than anticipated was, in large measure part of an internal transition plan from the priorities of the 2007-2013 ESF Programmes into the new 2014-2020 ESF Programmes.

2.30 It was also clear that Welsh Government officials felt the withdrawal of ELMS had resulted in there being ‘no clear role’ for LMW in terms of raising demand for leadership and management skills training despite the fact that the Centre itself was meant to operate impartially. Rather, these officials saw LMW’s role as having evolved into being primarily about ‘policing’ the quality of training provision.

### 3 Performance - Targets and Expenditure

3.1 In this chapter, we consider how ELMS performed against its targets and the extent to which expenditure has been in-line with expectations. The chapter draws on analysis of project monitoring data and evidence from the qualitative stakeholder interviews.

3.2 It should be noted that the original targets for ELMS were revised in March 2012 following a decision by Welsh Government in December 2011 to make a number of key alterations to the ELMS project which included reducing the allocation of funding to both the discretionary fund and workshop strands to reflect lower than anticipated up-take<sup>42</sup>. Performance against (revised) participation targets<sup>43</sup> should be interpreted in this light, as the achievement data cover the 66 months for which the project was operational whereas the targets cover the 75 months the project was planned to run for.

Key findings in this chapter:

**Convergence area:**

- Even taking into account the early withdrawal from delivery, ELMS missed its revised target for number of participants and under-performed substantially, against its other main ESF target of number of employers assisted.
- There has been a lack of evidence available to substantiate delivery against target in relation to equality strategies and the outputs in this area were not included in the ESF claim. This is supported by qualitative evidence (gathered from stakeholders and supported companies) which indicates that the depth and added value of equalities advice imparted by the ELMS Convergence project was very limited.

<sup>42</sup> Throughout this report we refer to revised targets unless otherwise stated. Annex 3 presents a summary of changes to targets.

<sup>43</sup> Performance against outcome targets are not affected as they are proportions.

- The Convergence project under-performed against its gender balance target (achieving 36 percent female participation compared to a target of 45 percent female participation). Targets for proportions of disabled and older participants were also narrowly missed though the target for proportion of BME participants (at 2 percent) was achieved. Similar targets (relating to learner characteristics) for those gaining qualifications were also missed.
- Only 52 percent of the Convergence budget had been spent as of December 2014 following the early withdrawal from delivery of ELMS.
- The ELMS Convergence project worked with a higher number of individual participants per business than was envisaged. This resulted in lower than anticipated unit costs for participants but higher than anticipated unit costs for employers assisted.
- Taken together, the performance data relating to targets and expenditure show that the scale of the ELMS Convergence project was overly ambitious.
- The target for employees gaining qualifications was missed. However, the proportion of employers responding to our survey saying that staff gained qualifications (58 percent) was considerably higher than that shown in monitoring information (6.5 percent), possible reasons for this difference are discussed in this chapter.

**RCE area:**

- The ELMS RCE project also under-performed against its ESF targets relating to participant numbers, participants gaining qualifications and employers assisted – substantially so in the case of the latter two targets. As in the Convergence project, the proportion of RCE employers in our survey saying that staff gaining qualifications was considerably

higher (at 55 percent) than the equivalent data in project monitoring information (at four percent).

- As with the Convergence project, qualitative evidence from stakeholders and supported companies indicates that the depth and added value of equalities advice delivered has been limited. There has also been a lack of evidence to substantiate outputs in relation to the target on equality strategies.
- The RCE project under-performed against its gender balance target (achieving 43 percent female participation compared to a target of 55 percent female participation). Targets for proportions of disabled and older participants were also narrowly missed though the target for proportion of BME participants (at 3 percent) was exceeded (the target was 2 percent).
- Only 52 percent of the RCE budget had been spent as of December 2014 following the early withdrawal from delivery of ELMS.
- Taken together, the performance data relating to targets and expenditure show that the scale of the ELMS RCE project was also overly ambitious.

### **Progress against Indicators - Convergence**

- 3.3 **Figure 3.1** provides an overview of performance against WEFO targets for the Convergence project.

**Figure 3.1: Performance against Convergence targets**

Indicator	Target	Achieved	Numbers
			<i>Proportion achieved (percentage)</i>
Participants	15,331	10,978	72
Employers assisted/Financially supported	5,788	2,279	39
Equality strategies <sup>44</sup>	210	0	0
Projects delivering specialist training in sustainable development <sup>45</sup>	1	1	100

Source: WEFO Claim Form covering whole of project (submitted December 2014)

3.4 This shows that as of December 2014, the ELMS Convergence project had achieved 72 percent of its participant target some 85 percent of the way into its operating period. The number of employers assisted (at 39 percent) was considerably lower than the target.

3.5 There were difficulties in evidencing the outputs recorded against the equality strategies target and as a result, the outputs were not included in the final ESF claim.

3.6 Only 6.5 percent of participants gained qualifications compared to a target of 9.0 percent. We note a finding later on in this report (chapter 6), however, that employers responding to our survey said that notably higher proportions of staff (58 percent in the Convergence area) had actually gained qualifications. Possible reasons for this difference are explored in chapter 6.

<sup>44</sup> The number of employers adopting a strategy, which outlines the key priorities for action by the employer and its staff to promote equality and diversity and challenge discrimination (GLA, 2005), and monitoring progress against these priorities. The equality strategies and monitoring systems must have been adopted or improved as a result of Structural Fund assistance or financial support. Source: ESF Indicators Definitions. WEFO. February 2013.

<sup>45</sup> The number of projects which have a focus on training that addresses the environmental sustainability objectives of this Programme. Projects should focus on environmental skills training that contributes towards one or more of the following activities: combating climate change; delivering sustainable transport; increasing resource efficiencies; promoting biodiversity; promoting community access to green spaces; and environmental risk management. Source: ESF Indicators Definitions. WEFO. February 2013.

**Figure 3.2: Participant Characteristics - Convergence**

	Percentages			
	Target (Participants)	Achieved total participants	Target (Qualifications)	Achieved participants gaining qualifications
Male	55	64	56	65
Female	45	36	44	35
Black and minority ethnic	2	2	2	1
Disabled	2	1	2	0.8
55 or above	10	9	10	5

Source: WEFO Claim Form covering whole of project (submitted December 2014)

3.7 The table shows that:

- females were under-represented compared to the output target for participants, and the result target for qualifications
- the target for BME participants was met but they were under-represented in terms of proportion gaining qualifications
- 1 percent of participants were disabled compared to a target of 2 percent.
- ELMS was close to target for participants by older age groups but this group were under-represented in terms of proportion gaining qualifications though it is worth noting that the actual figures are for people aged 55 or above but there was no definition for 'older age groups' in the targets.

3.8 It should be noted (and this also applied to the analysis of the RCE project) that in relation to age, the business plans set output and results targets for 'older people' while the WEFO Funding Claim Form Report specifies four age categories (15-24, 25-54, 55-64 and 65+). For the purposes of analysis, we have combined the 55-64 and 65+ age groups.

### **Expenditure – Convergence**

3.9 Turning to the Convergence project's expenditure, **Figure 3.3** summarises the cumulative position as of December 2014.

**Figure 3.3: Overview of expenditure – Convergence**

	<i>£million</i>
Gross expenditure target	21.1
Cumulative gross expenditure (as of end Dec 2014)	11
<i>Proportion of gross expenditure (percentage)</i>	<i>52</i>

Source: WEFO Claim Form to December 2014

3.10 This shows that as of December 2014, 52 percent of the Convergence project's budget had been spent. Clearly, this was due in large measure to the early withdrawal from delivery of ELMS, but nevertheless suggests that the scale of the overall programme was overly ambitious.

3.11 **Figure 3.4** outlines actual unit costs<sup>46</sup> for the Convergence project compared to that predicted by the (revised) business plan.

**Figure 3.4: Unit cost analysis – Convergence project**

Indicator	Participants	<i>£</i> Employers assisted
Target unit cost	1,374	3,639
Actual unit cost (as of end Dec 2014)	1,002	4,827
<i>Variance (actual against target)</i> <i>(percentage)</i>	<i>-27</i>	<i>+33</i>

Source: Business Plan and Quarterly Return Data

3.12 This shows that the actual unit cost per participant has been substantially lower (- 27 percent) than envisaged in the business plan. In contrast, the unit cost per supported company is a third higher than envisaged. Taken together with the performance data, this shows that ELMS has supported, on average, a higher number of employees within each individual organisation than had been anticipated.

### **Progress against Indicators - RCE**

3.13 **Figure 3.5** provides an overview of performance against targets for the RCE project.

<sup>46</sup> Calculated by dividing expenditure by target participant/employer numbers.

**Figure 3.5: Progress against RCE indicators**

Indicator	Target	Achieved	Numbers <i>Proportion achieved (percentage)</i>
Participants	11,594	9,581	83
Employers assisted/ Financially supported	4,348	1,765	41
Equality strategies	124	0	0
Projects delivering specialist training in sustainable development	1	1	100

Source: WEFO Claim Form covering duration of project (submitted December 2014)

3.14 This shows a similar pattern to the Convergence project with performance against the total participants target reasonable, given early withdrawal from delivery, but substantial under-performance against the employers target.

3.15 As with the Convergence project, there was a lack of evidence to substantiate the equality strategy outputs and as such no outputs were included in the final ESF claim. Qualitative evidence presented later in this chapter raises further questions about the depth and value of support provided via ELMS in relation to the cross cutting theme of equal opportunities.

3.16 The proportion of participants gaining qualifications was even lower (at 4 percent) in the RCE area than in the Convergence area though again it needs to be noted here that the survey data suggests the proportion of companies saying their employees gained qualifications was substantially higher (at 55 percent) than the monitoring information shows.

**Figure 3.6 Participant Characteristics - RCE**

	Percentages			
	Target (Participants)	Achieved total participants	Target (Qualifications)	Achieved participants gaining qualifications
Male	45	57	45	60
Female	55	43	55	40
Black and minority ethnic	2	3	2	4
Disabled	2	1	2	1
55 or above	10	9	10	9

Source: WEFO Claim Form covering whole of project (submitted December 2014)

3.17 The table shows that:

- females were under-represented compared to targets for both participation and gaining qualifications
- the target for BME participants was exceeded – both for total participants and participants gaining qualifications
- 1 percent of participants were disabled compared to a target of 2 percent while the same was true of the qualification target for disabled people
- for both measures performance was close to target for older age groups.

### **Expenditure – RCE**

3.18 A similar pattern to Convergence emerges in the RCE project, where 52 percent of the total (revised) budget had been used as of end December 2014 as shown in **Figure 3.7**.

**Figure 3.7: Overview of expenditure – RCE**

	<i>£million</i>
Target gross expenditure	17.2
Cumulative gross expenditure (as of end Dec 2014)	8.9
<i>Proportion of gross expenditure (percentage)</i>	52

Source: WEFO Claim Form covering whole of project (submitted December 2014)

3.19 **Figure 3.8** compares actual unit costs for the RCE project against that predicted in the revised business plan.

**Figure 3.8: Unit cost analysis – RCE Project**

Indicator	£	
	Participants	Employers assisted
Target unit cost	1,478	3,908
Actual unit cost (to of end Dec 14)	934	5,043
<i>Variance (actual against target)</i>	<i>-37</i>	<i>+29</i>
<i>(percentage)</i>		

Source: Business Plan and Quarterly Return Data

3.20 Consistent with the Convergence area, this shows that the unit cost per participant was lower (-37 percent than envisaged) while the unit cost per employer has been higher (by 29 percent) again confirming that ELMS has supported a higher than anticipated number of employees in each business albeit in the context of supporting fewer businesses overall than envisaged.

### **Stakeholder evidence - Performance and Cross Cutting Themes**

#### *Performance*

3.21 In terms of the performance of ELMS, some of the stakeholders interviewed as part of this final evaluation felt that the scale of the ELMS programme, both in terms of budget and target aspirations had been ‘overly ambitious’. As a result, the under-performance of the programme in terms of the number of employers assisted, the number of individuals gaining qualifications and the amount of budget spent had come as no surprise to them.

3.22 One stakeholder had been concerned from the outset that the ELMS element of the discretionary fund, delivered as part of the broader Workforce Development Programme (WDP) had not been distinctive enough and concluded that it had ‘not worked at all well’ on the basis of the quantity of training it had delivered against original expectations.

3.23 This interviewee along with several others also felt that employers, particularly those that were 'switched on' to the training system in Wales were able to source the same or very similar training (to the ELMS discretionary fund) via other ESF schemes, namely ProACT and Skills Growth Wales both of which offered more attractive intervention rates.

'Employers were able to go either route and it was a problem that plagued ELMS throughout'. (WEFO Official)

'There has been some overlap and duplication between ELMS and Skills Growth Wales'. (WDA)

3.24 Others argued that the existence of so many schemes (ELMS, Skills Growth Wales, Workforce Development Programme, 20Twenty and LEAD Wales were all examples mentioned) meant that some, usually smaller employers were just confused.

'There are simply too many initiatives. It needs streamlining'. (WDA)

3.25 In contrast, stakeholders felt that while the workshops had been more successful (than the discretionary fund) in contributing to overall output targets, the training delivered would have been at a lower and less intensive level with the resulting outcomes, including qualification outcomes, being more modest than the Business Plan had proposed.

3.26 Some stakeholders were conscious of the fact that overall, ELMS had worked with a higher number of individuals per company than was originally envisaged (confirmed by our analysis of ELMS performance data earlier in this chapter) and felt that there may have been a legitimate argument for introducing a tapered intervention rate for 'repeat users' reducing the amount of financial support each time.

3.27 Stakeholders, both within Welsh Government and outside felt that the overall performance management and strategic direction of ELMS had

been affected by a lack of continuity in project management personnel. They argued that this had been unsettling for contracted providers (including LMW and training providers) and had resulted in an overall lack of direction.

### *Cross Cutting Themes*

- 3.28 In general, stakeholders gave limited evidence in terms of how ELMS had gone about promoting the two cross cutting themes, of sustainable development and equal opportunities, as part of its delivery. As noted in our interim evaluation, most of the specific actions relating to the cross cutting themes included in the original ELMS business plans related to the inclusive way in which LMW was expected to deliver its information and signposting activities.
- 3.29 Some stakeholders pointed to a few examples of ELMS having promoted the cross cutting themes. These included a small number of events organised by LMW which had hosted several high profile women keynote speakers. While these events were not designed to promote gender equality in leadership and management positions in Wales, the stakeholders who pointed to this example felt that this would probably have been a positive by-product.
- 3.30 Others pointed to the Welsh Language Diagnostic Tool (WLDT) which was funded as part of ELMS (and is the subject of a stand-alone evaluation report) as having been a mechanism to promote the Welsh language and bilingualism in the workplace. They felt that this would have led to positive effects on promoting the Welsh language and bilingualism in a business context. The effects and impacts of the WLDT are covered in a stand-alone summative evaluation report.
- 3.31 More generally however, stakeholders thought that there had been a very limited focus on the cross cutting themes in the delivery of ELMS which chimes with the issue relating to the lack of available evidence to substantiate outputs in relation to equality strategies.

- 3.32 One WDA for instance said that the cross-cutting themes would have been covered and discussed as part of their advisory role but only 'at a superficial level' in the process of developing plans and applications for ELMS funding and that this would have been 'much more about compliance' than any genuine ambition on the part of employers to improve their processes. This adviser also said that 'to some extent it comes down to the enthusiasm of the individual WDAs' in terms of how and to what extent the cross cutting themes were promoted rather than this being a systemic part of ELMS implementation processes.
- 3.33 Another WDA explained that support for training in environmental management (via workshops and discretionary funding) which had apparently been allowed during the early days of ELMS had been discontinued as part of the process which the Welsh Government undertook to re-focus ELMS training more narrowly on leadership and management. In this stakeholder's view such training (had it been allowed to continue under ELMS) might have contributed to the sustainable development cross cutting theme objective.
- 3.34 WEFO in particular was critical that within the ELMS programme 'there had been no real capacity to deliver against the cross cutting themes' and on reflection felt that 'we [WEFO] could have been a lot firmer about how the cross cutting themes should have been fully incorporated into ELMS delivery from the outset'.
- 3.35 There was very little evidence from the qualitative follow-up fieldwork undertaken with ELMS supported companies to challenge the general view of stakeholders that there had been a lack of focus and effort on the cross cutting themes. One third sector employer did however say that they had identified the need to improve equality and diversity awareness amongst all staff but particularly amongst managers. As a result, several of their managers had participated in a one day ELMS funded 'equality and diversity' open access workshop though the HR

director responsible for arranging this training within the case study organisation said that it was not possible to identify (nor was it in their view reasonable to expect) any substantial positive changes in relation to equality and diversity within the organisation as a result of a one day workshop.

‘To be honest, it was more about putting some basics in place around awareness of equality, diversity and the protected characteristic groups rather than expecting deeper, cultural changes within the organisation’. (HR Director from case study organisation 14B)

## 4 ELMS Supported Businesses and Learners: Overview and nature of participation

4.1 In this chapter, we consider the characteristics of ELMS supported businesses and individual learners. This draws on:

- the project database
- the telephone surveys with ELMS supported businesses
- analysis of learner data from the 2011 and 2012 ESF Leavers' Surveys
- evidence from the qualitative stakeholder interviews.

Key findings outlined in this chapter.

- 57 percent of businesses were located in the Convergence area and 43 percent in the RCE area. These are the same proportions as were found in the interim evaluation and were exactly in-line with the anticipated split in terms of employers between the Convergence and RCE areas as set out in the revised indicators for the ELMS projects.
- The open access workshops were the predominant intervention type with 81 percent of all supported businesses attending a workshop.
- The proportion of businesses supported by the discretionary fund was low (at nine percent of all supported businesses) given that this was seen as a core element of programme delivery. Given the positive feedback by those supported via this route presented elsewhere in this report, it is surprising that the discretionary fund was not used more extensively.
- SLF supported businesses represented less than one percent of the businesses supported via ELMS.
- There was no formal target in the ELMS business plan relating to the

number or proportion of businesses participating in the coaching and mentoring strand but the combined target (of 450) set for the two providers in their contracts has been exceeded (482 achieved).

- The majority of businesses (87 percent) supported by ELMS were SMEs.
- Established businesses (of 10 years or more) were most likely (71 percent) to have been supported by ELMS.
- The majority (76 percent) of ELMS supported companies spent nothing or less than £5,000 per annum on leadership and management training prior to ELMS.
- More than half (55 percent) of individual ELMS learners in the ESF Leavers Survey sample were from the Convergence area with the remaining 45 percent from the RCE area. This is broadly in line with the targets in the original business plans of 57 percent of learners being in the Convergence area and 43 percent in the RCE area and the actual outturn of 53 percent Convergence and 47 percent RCE.
- 64 percent of individual ELMS learners in the ESF Leavers Survey sample were male, while 36 percent were female.

### **Analysis of ELMS supported businesses**

4.2 Firstly, we consider the profile of businesses supported by ELMS as recorded on management information via the combined project database.

4.3 **Figure 4.1** provides a breakdown of the ELMS database covering the period from 2009 to 2014. This shows the number of businesses having benefitted from ELMS support across the different intervention types and across the Convergence and RCE areas. Note that the data provided by

Welsh Government in this table records businesses each time they received a different intervention. More detailed analysis reveals, some 985 businesses were supported by more than one type of ELMS intervention<sup>47</sup>.

**Figure 4.1: Overview of businesses supported via different ELMS intervention types (businesses counted more than once if supported by multiple strands)**

Intervention Type	Database	Database	Total	Numbers
	Entries	Entries		Database
	Convergence	RCE		Proportion (Percentage)
Workshops	2,388	1,772	4,160	81
Discretionary Fund	272	209	481	9
Coaching and Mentoring	237	245	482	10
Sector Leadership Fund	2	3	5	-
<b>Total</b>	<b>2,899</b>	<b>2,229</b>	<b>5,128</b>	<b>100</b>

Source: Welsh Government ELMS Database. Period 2009 - 2015

4.4 This shows that the workshops had the highest level of up-take by a significant margin. It also shows that the number of recorded businesses having been supported by the SLF was very low at five in total. The Discretionary Fund and Coaching and Mentoring elements supported very similar numbers of businesses though it is notable that, unlike workshops or discretionary fund, the Coaching and Mentoring strand supported a slightly higher number of businesses in the RCE area (than in Convergence). The 482 recorded businesses supported by the coaching and mentoring strand exceeds the combined target of 450 set out in the contracts of the two appointed providers.

4.5 In terms of the size profile of supported businesses, **Figure 4.2** provides an overview.

<sup>47</sup> 5,128 businesses counted but only 4,143 unique businesses supported in all by ELMS.

**Figure 4.2: ELMS Supported Individual Businesses by Size Category**

Business Size Category (Number of Staff)	Numbers	Percentages
0-1	423	10
2 - 9	1,041	25
10 - 49	1,307	32
50 – 249	813	20
250+	355	9
Unknown	201	5
<b>Total</b>	<b>4,143</b>	<b>100</b>

Source: Welsh Government ELMS Databases. Period 2009-2015

4.6 This shows that the majority (87 percent) of the individual businesses supported by ELMS fell into the SME category (99 percent of all businesses in Wales are SMEs) with 35 percent of all businesses supported being micro enterprises of nine staff or less (77 percent of all businesses in Wales are micro enterprises)<sup>48</sup>.

### **Survey sample**

4.7 A telephone survey of businesses has been conducted with a new sample in each of three years of this evaluation. These are referred to as ‘first wave’ surveys/interviews. In the second and third years follow up interviews were also conducted, so some of those first interviewed in 2012 were followed up in 2013 (second wave) and again in 2014 (third wave) and in 2014 some of the new sample from 2013 were also followed up (second wave). **Figure 4.3** provides an overview of the completed telephone survey interviews with ELMS supported businesses from 2012, 2013 and 2014.

<sup>48</sup> Source: Business structure in Wales by size-band and measure. Stats Wales 2014.

**Figure 4.3: Evaluation Telephone Survey Sample Overview<sup>1</sup>**

	2012 Survey	2013 Survey	2014 Survey
2012 Cohort	200	88(w2)	54(w3)
2013 Cohort	-	500	244(w2)
2014 Cohort	-	-	140

1 (w2) = Second wave (or first follow-up) (w3) = Third wave or (second follow-up)

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

4.8 **Figure 4.4** shows survey participation in all first wave<sup>49</sup> interviews across the three different intervention types and across the two different programme areas. This table is based on the combined first wave interview participation in our evaluation surveys from 2012, 2013 and 2014 which provided a total of 840 completed interviews for analysis.

**Figure 4.4: Survey participation by intervention type and programme area**

Intervention Type	Numbers				
	Convergence	RCE	Total	Proportion of Sample (Percentage)	Variance to Database (Percentage)
Workshops	337	228	565	67	-14
Discretionary Fund	54	43	97	12	+3
Coaching and Mentoring	98	80	178	21	+11
Total Sample	489	351	840	100	-

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

4.9 In terms of the representativeness of the sample, the evaluation steering group decided that given the predominance of workshops in the ELMS database, the discretionary fund and coaching and mentoring strands (which provided deeper levels of support) should be proportionately

<sup>49</sup> By first wave, we mean the initial survey interview which was completed by a total of 840 companies in three cohorts (with the initial interviews undertaken in 2012, 2013 and 2014). Respondents from the first two cohorts in 2012 and 2013 were asked whether they were willing to undertake follow-up questionnaires and were then contacted around 12 months later: we refer to these follow-up interviews as 'second wave' interviews, with a total of 332 interviews being achieved in 2013 and 2014. Respondents first interviewed in 2012 and re-interviewed in 2013 were also contacted again in 2014 to complete a third wave interview: in all 54 respondents completed such interviews.

increased (with a census approach to both intervention types) to ensure that the sample was not overly-influenced by those companies supported via the workshops and that sufficient interviews were completed with businesses who had benefitted from the discretionary fund and coaching and mentoring strands.

**Figure 4.5** shows the size profile of supported businesses in first wave sample.

**Figure 4.5: Sample profile according to size**

	<i>Completed interviews (number)</i>	Proportion of Sample	Database Proportion	<i>Percentages Variance to Database</i>
Fewer than 10	273	33	35	-2
10 to 49	327	39	32	+7
50 to 249	194	23	20	+3
250+	43	5	8	-3
Not Known	3	0	5	-5
Total	840	100	100	-

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

4.10 This shows that 87 percent of the businesses in our sample were in the SME category, exactly the same proportion as recorded on the ELMS database so oversampling from two strands did not skew the representation of businesses of different sizes within the sample.

4.11 Turning to the age profile of supported businesses **Figure 4.6** shows the length of time that supported businesses had been in operation by the type of intervention they participated in.

**Figure 4.6: Length of time in operation by intervention type**

	Workshops	Discretionary	<i>Percentages</i> Coaching & Mentoring
Base (Number)	565	97	178
Less than 2 years	5	4	1
2 to 5 years	11	11	11
More than 5 and up to 10 years	16	13	17
More than 10 years	68	70	71
Don't know	-	1	-

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

4.12 As with our previous evaluation findings, it remains the case that established businesses (operating for more than 10 years) were most likely to have received ELMS support. This holds true across all three intervention types and there are no substantial differences between the Convergence and RCE areas in this respect.

4.13 Just over half (52 percent) of all the supported businesses across our three first wave surveys said that they did not have other sites or establishments as part of their organisations.

4.14 Of the 402 businesses that said they had other sites, the majority (73 percent) said that their headquarters was located in Wales.

4.15 Turning to the role of the lead contact within supported businesses (not necessarily a beneficiary themselves<sup>50</sup>), as would be expected, the majority at 59 percent said that they fell into the category of Manager, Director or Senior Officer while 23 percent fell into the associate, professional and technical occupations category.

4.16 More than three quarters (79 percent) of all the businesses that responded to our three first wave surveys said that they had a formal business plan in place which set out the businesses' objectives for the

<sup>50</sup> Lead contacts varied from business owners to Human Resource Directors some of whom had not participated in the ELMS training themselves.

coming year. The larger the business, the more likely they were to have a business plan in place (e.g. 67 percent of businesses with fewer than 10 employees had a business plan compared to 98 percent of those with more than 250 employees). There were no notable differences in this context between the Convergence and RCE areas.

4.17 More than two thirds (70 percent) said that they had a training plan in place (specifying the level and type of training employees will need over the coming year). Again, the larger the company, the more likely they were to have a training plan in place and there were no notable differences between Convergence and RCE. The 2013 Wales Employer Skills Survey showed that only 36 percent of non-High Performance Working (HPW)<sup>51</sup> employers in Wales had a training plan in place compared to 94 percent that were classified as HPW employers. This suggests that ELMS supported businesses were more likely to be training aware and pre-disposed to investing in training their staff even prior to their engagement in the programme<sup>52</sup>.

4.18 In total, 30 percent of businesses across our three first wave surveys said that they had Investors in People (IiP) status. This is higher than the proportion of IiP accredited firms in Wales at 18 percent<sup>53</sup>. This suggests that (in-line with our findings at the interim and update evaluation stages) ELMS supported businesses were likely to have a better understanding of their training needs and might be more pre-disposed to training.

4.19 Turning to growth aspirations, **Figure 4.7** shows assisted company growth plans by intervention type.

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<sup>51</sup> High Performance Working is defined by the UKCES as 'a general approach to managing organisations that aim to stimulate more effective employee involvement and commitment in order to achieve high levels of performance'. Employer Skills Survey 2013: Wales Report. UKCES and Welsh Government. Page 13.

<sup>52</sup> Employer Skills Survey 2013: Wales Report. UKCES and Welsh Government. Page 93.

<sup>53</sup> Source: UK Commission's Employer Skills Survey 2013. Wales Data Tables. Table 130/1

**Figure 4.7: Growth aspirations (next three years) by intervention type**

	<i>Percentages</i>		
	Workshops	Discretionary	C&M
Base (Number)	565	97	178
Grow Significantly	33	48	38
Grow a Little	43	34	34
Maintain Current Position	16	14	14
Survive	5	2	11
Other/Don't Know	3	2	3

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

4.20 In relative terms, those engaged in discretionary funding were slightly more likely to have significant growth plans than those participating in other ELMS interventions. This is in keeping with our previous evaluation findings. There were no notable differences in this regard between Convergence and RCE or in terms of business size.

4.21 We went on to ask supported businesses to tell us about how much they spent on training with external providers prior to getting involved with ELMS. **Figure 4.8** provides an overview of responses.

**Figure 4.8: Prior expenditure (per annum) on training by intervention type**

	<i>Percentages</i>		
	Workshops	Discretionary	C&M
Base (Number)	565	97	178
Nothing	10	11	6
Less than £5,000	53	32	47
£5,001 to £10,000	17	27	19
£10,001 to £20,000	6	12	6
£20,001 to £50,000	4	4	4
£50,001 to £100,000	2	3	3
More than £100,000	-	1	4
Don't Know/Refused	8	9	11

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

4.22 This shows that the highest proportion of respondents had modest training budgets in place of less than £5k per annum. Businesses participating in the discretionary fund were more likely than businesses

from other interventions to have a budget in the £5,000-£20,000 range per annum. There were no notable differences in relation to training budgets between the Convergence and RCE areas.

4.23 We then asked supported businesses to tell us how much money they spent with external providers on leadership and management skills each year (prior to getting involved with ELMS).

4.24 More than three quarters (76 percent) said that they either spent nothing (27 percent) or less than £5,000 per annum (49 percent) on leadership and management training<sup>54</sup>. This mirrors the findings from the surveys undertaken for the interim and update evaluations and shows that spending patterns in relation to leadership and management training (prior to contact with ELMS) remained constant over the three years of our survey work.

4.25 Overall then, and comparing our data with the UKCES Employer Skills Survey for 2013, the evidence suggests that businesses participating in ELMS were more likely to have a business plan, training plan and/or liP status than Welsh businesses in general (even when taking size into account), but generally had made available only rather limited budgets for training, particularly in respect of leadership and management.

4.26 Of the 840 respondents across our three first wave surveys, 69 percent said that they had personally taken part in the ELMS training. This was (as expected) particularly true of the coaching and mentoring intervention where respondents from 79 percent of the businesses (141 of 178 businesses) had themselves taken part in the training.

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<sup>54</sup> The pattern was consistent across Convergence and RCE.

## **Analysis of ELMS supported learners – 2012 and 2013 ESF Leavers Survey**

- 4.27 For this final evaluation, we have conducted our analysis of ELMS related ESF Leavers' Survey participants based on a combined dataset for 2012 and 2013 in order to explore some issues in more detail, for example differences between Convergence and RCE areas. This has enabled larger samples and thus greater confidence that differences are substantive.
- 4.28 Combining the survey data in this way provided us with an overall base of 579 responses for analysis. It was not possible to conduct a combined analysis across 2011, 2012 and 2013 as there were changes to the questionnaire between 2011 and 2012. However, where possible and appropriate, we have included separate references to some data from the 2011 ESF Leavers' Survey to help contextualise our findings.
- 4.29 A total of 579 ELMS learners participated in the 2012 and 2013 ESF Leavers Surveys. More than half (55 percent) were from the Convergence area, while 45 percent were from the RCE area. This is in-line with the population of ELMS learners across the two areas.
- 4.30 In 2011, there were 670 ELMS participants, in 2012 there were 307 ELMS participants and in 2013 there were 272 ELMS participants, meaning that in total 1,249 individuals supported via ELMS have participated in the various Leavers' Surveys. This represents six percent of the total ELMS participants (20,509) as reported in WEFO quarterly claims up to end December 2014.
- 4.31 In terms of gender split, just over two-thirds of the leavers from the 2012 and 2013 surveys were male (64 percent) and 36 percent were female. This compares with 58 percent (male) and 42 percent (female) in the 2011 ESF survey.

4.32 Comparing this with all ELMS participants<sup>55</sup>, in the Convergence area 64 percent of participants were male and 36 percent were female. In the RCE area 57 percent were male and 43 percent were female.

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<sup>55</sup> Source: December 2014 Convergence and RCE quarterly reports submitted to WEFO.

## 5 Route into ELMS and Motives for Involvement

5.1 In this chapter, we consider the way in which supported businesses became aware of ELMS and the motives for the businesses, and individual participants' involvement. This draws on:

- the telephone surveys with ELMS supported businesses
- qualitative visits to assisted businesses and participants
- analysis of learner data from the 2011, 2012 and 2013 ESF Leavers' Surveys
- evidence from the qualitative stakeholder interviews.

Key findings outlined in this chapter.

- The most common means of businesses getting to know about ELMS workshops (29 percent) and coaching and mentoring training (21 percent) was via the organisation delivering the training itself. In order to recruit trainees, training providers had to invest more resources than originally anticipated into promotion and awareness raising activities for ELMS.
- Businesses participating in discretionary fund training were most likely (33 percent) to have first heard about ELMS via a Workforce Development Adviser (WDA).
- The vast majority (97 percent) of businesses that had heard about ELMS via their nominated WDA said that they had found them helpful.
- Businesses (in both Convergence and RCE) were most likely to have been motivated to participate in ELMS workshops because the event or training was relevant to their business.
- Companies (in both Convergence and RCE) participating in discretionary funded training were most likely to have been motivated

because the training was linked to specific objectives.

- Companies participating in coaching and mentoring (both in Convergence and RCE) were most likely to have done so because the training was free or available at relatively low cost. Coaching and mentoring supported businesses were most likely (91 percent) to expect the training to lead to improved staff relations and morale.
- In terms of envisaged benefits, businesses were most likely (86 percent) to have expected an improvement in senior managers' leadership skills from ELMS participation.
- The primary motivation for learners participating in ELMS (33 percent) was to develop a broader range of skills and knowledge. There was a very low (less than 1 percent) level of importance attached to qualification outcomes by ELMS learners.
- Most of the businesses participating in workshops (51 percent) and coaching and mentoring (80 percent) only sent one person on ELMS training.
- Discretionary funded training had the highest average (mean) number of participating staff per company (an average of 8.2 per business), while the coaching and mentoring strand had the lowest average number of participating employees per business (at 1.7 per company).

### **Route into ELMS**

5.2 We asked assisted businesses about how they heard about and got involved with ELMS.

5.3 The most common way of getting to hear about ELMS was via the organisation delivering the ELMS training or workshops<sup>56</sup>. Of the 840

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<sup>56</sup> Respondents were asked the question 'How did your organisation first hear about ELMS?'

surveyed businesses a quarter had got to know about ELMS this way. Other (non-ELMS) learning providers accounted for the way in which 15 percent of businesses had first heard about ELMS while 14 percent had first heard about it through a WDA.

- 5.4 Larger businesses were more likely than smaller ones to have first heard about ELMS via a WDA (50 percent of businesses with 50 or more employees had first heard of ELMS via their WDA compared to only 10 percent of those with less than 10 had first heard via a WDA).
- 5.5 The largest proportion of businesses who received discretionary funding said that they had first heard about ELMS via their WDA (33 percent). Businesses undertaking workshops or coaching and mentoring training were most likely to have first heard of ELMS via the providers delivering the training itself (29 percent and 21 percent respectively).
- 5.6 Of the 120 businesses that had first heard about ELMS via their WDA, 117 answered a question on how helpful the WDA had been. The majority (97 percent) said that their WDA had been either very or fairly helpful. All of the 26 businesses participating in the coaching and mentoring strand who had heard of ELMS via their WDA said that their WDAs had been very or fairly helpful.
- 5.7 The proportion of businesses that had come to know about ELMS via Leadership and Management Wales (LMW) was very low at (six percent<sup>57</sup>) and the proportion of those that had become aware of ELMS via the Business Wales website was also low (five percent). These findings are consistent with the survey data reported in the interim and update reports.
- 5.8 There were no notable differences between Convergence and RCE located businesses in terms of the way they had first heard about ELMS.

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<sup>57</sup> Consisting of 27 businesses that found out about ELMS via the LMW website and 24 businesses that had found out via a LMW taster session.

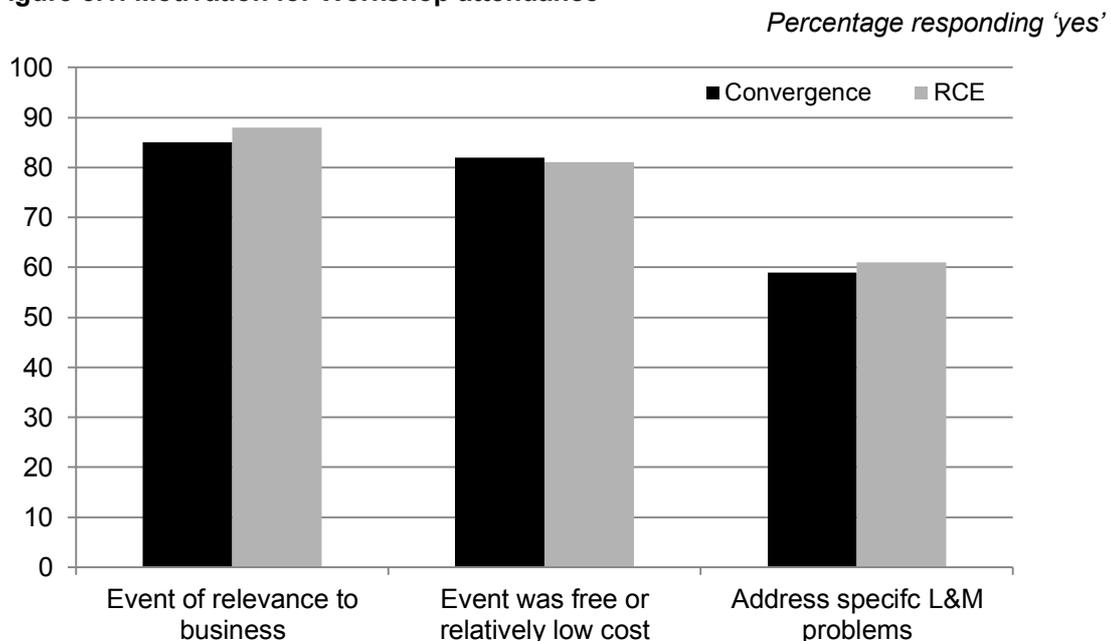
## Motives for involvement - Business perspective

### *Leadership and Management Workshops*

5.9 We asked the businesses in our surveys 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 relatively low cost; or in order to address specific leadership and management problems.

5.10 **Figure 5.1** shows the responses to this for both the Convergence and RCE project areas<sup>58</sup>.

**Figure 5.1: Motivation for Workshop attendance<sup>1</sup>**



1. Respondents were asked 'what made you or the organisation decide to participate in the Leadership and Management workshops? Were you...' For each of the three options above they were asked to respond yes, no or don't know.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

Base: 565 responses

5.11 This shows that the motives for participation in the leadership and management workshops were similar for businesses in both the

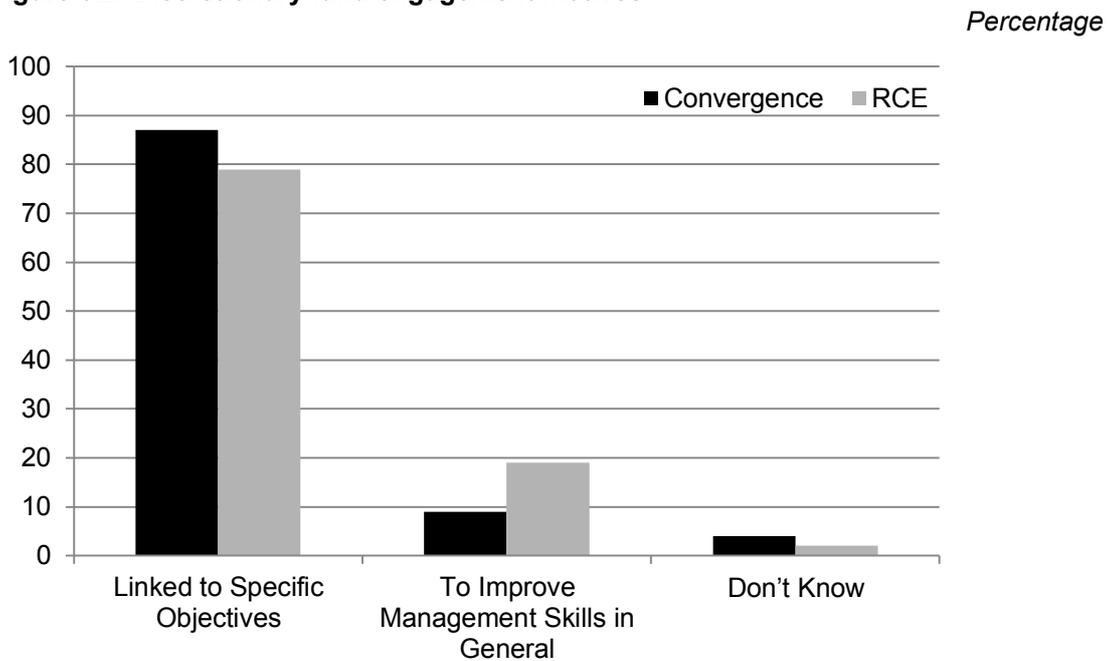
<sup>58</sup> As noted at the beginning of this chapter results from the 2012, 2013 and 2014 surveys have been combined in order to explore some issues in more detail, for example differences between Convergence and RCE areas, in order to get larger samples and thus can be more confident that differences are substantive.

Convergence and RCE areas with the perceived relevance of the workshop event being the primary reason for participation. Around four-fifths of assisted businesses cited the reason that the event was available free or at a relatively low cost. This is consistent with the survey data reported in the interim and update evaluation reports.

*Discretionary Funding*

5.12 Discretionary fund respondent businesses were asked whether the activity undertaken was linked to specific business objectives or was motivated by a more general wish to improve management skills. **Figure 5.2** summarises the responses to questions about this for both the Convergence and RCE areas.

**Figure 5.2: Discretionary fund engagement motives<sup>1</sup>**



1. Respondents were asked ‘was the activity undertaken as a result of the Discretionary Support linked to specific business objectives?’ The response options were either ‘yes – it was linked to specific objectives, no – the training was done just to improve management skills in general or don’t know’.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

Base: 97 responses

5.13 The majority of employers engaging in discretionary funded training reported that this activity was linked to specific business objectives. This

is consistent with our previous survey findings from the interim and update evaluations. The proportion of those businesses that linked the training with specific business objectives was slightly higher in Convergence than in the RCE area while the proportion that linked the training to specific improvements in general management skills was slightly higher in the RCE area.

**Figure 5.3: Qualitative evidence from company visits: Motives for involvement in discretionary funding**

Organisation 14B employs 67 people in the Convergence area. They had a long standing relationship with the main ELMS training provider used and were also supported by a WDA who helped organisation 14B access multiple courses via discretionary funding.

The motivation for 14B's involvement in ELMS was a clearly identified need for management training highlighted as part of the organisation's in-house corporate improvement plan. The HR director at 14B felt that there was a need for managers (at several levels) to take on greater levels of ownership and responsibility. They had also identified the need to improve awareness of equality and diversity amongst managers and had accessed a one day ELMS open access workshop to help with this.

In practice, while it would have been very likely that 14B would have undertaken some of the training regardless of ELMS funding, they felt that their WDA had added value in getting them through the process of accessing support from the Programme.

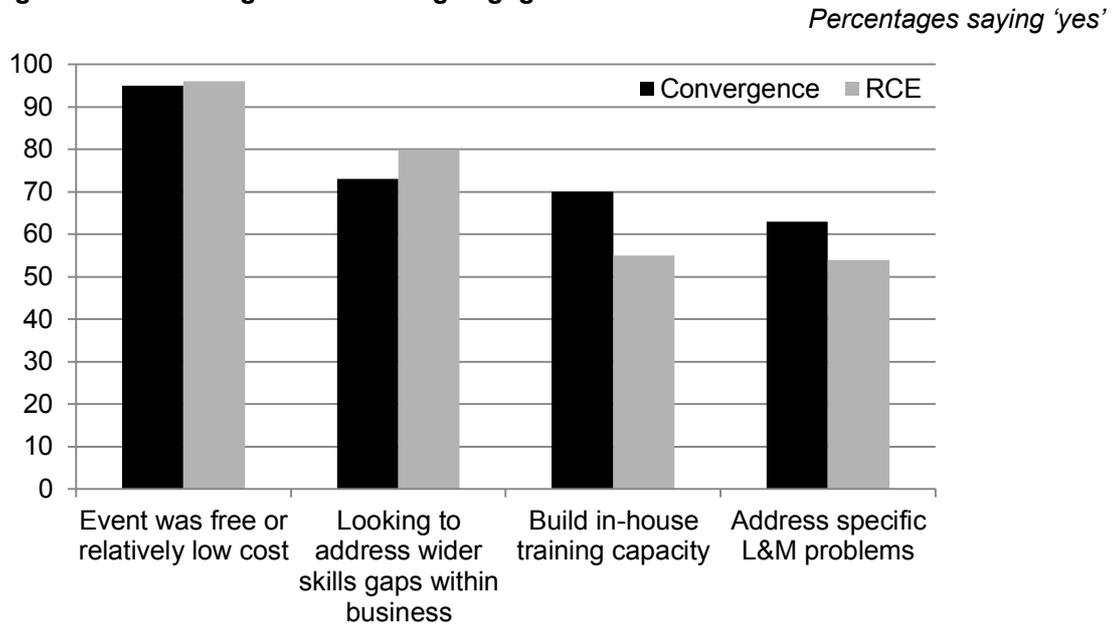
'To be honest, we wouldn't have got the ELMS funding had it not been for [our WDA]'.  
'

*Coaching and Mentoring*

5.14 Turning to coaching and mentoring, **Figure 5.4** summarises the motivations for involvement in this intervention type. This is based on

combined survey responses for 2013 and 2014 since this intervention type was not active during the 2012 interim evaluation survey.

**Figure 5.4: Coaching and Mentoring engagement motives<sup>1</sup>**



1. Respondents were asked 'what made you or the organisation decide to participate in the Leadership and Management workshops? Were you...' For each of the three options above they were asked to respond yes, no or don't know.

Source: IFF 2013 and 2014 ELMS Business Survey Data. Combined base of 178 responses.

5.15 This shows that in both the Convergence and RCE areas, the most commonly cited motivation for involvement in the coaching and mentoring strand was that it was free or relatively low cost. A high proportion of businesses said that they were looking to address wider skills gaps within the business (slightly higher in RCE than in Convergence), while slightly higher proportions in the Convergence area (than in RCE) said that they did the training to build in-house capacity and to address specific leadership and management problems.

**Figure 5.5: Qualitative evidence from company visits: Motives for involvement in coaching and mentoring**

Organisation 14A is a third sector arts organisation that employs eight members of staff and operates in the Convergence area. One of Organisations 14A's directors participated in an ELMS funded coaching and mentoring course.

The motivation for involvement in ELMS came personally from the director who undertook the coaching and mentoring training. This individual was in the process of managing a period of significant change within the organisation, and was also playing an increasingly important leadership role in driving forward external stakeholder relationships. The director became aware of ELMS via a national third sector conference (where one of the ELMS training providers had an exhibition stand) and thought that the coaching and mentoring course would be particularly appropriate to help them become a more effective leader.

Organisation 14F is a not-for-profit community organisation based in the RCE area. A member of the management board participated in Level 3 and Level 5 coaching and mentoring courses.

In this instance, there were several motivations for undertaking coaching and mentoring training including that:

- coaching and mentoring was seen as a potentially effective way of improving the way the organisation managed its volunteer base
- the organisation was keen to encourage non-executive board members to take on additional responsibilities - coaching and mentoring was viewed as an appropriate means of achieving this
- being able to demonstrate a 'coaching culture' was part of the application criteria for certain external funds the organisation was trying to access.

## Envisaged Benefits of ELMS Participation

5.16 Respondent businesses were asked how they envisaged participation in ELMS would benefit the business. **Figure 5.6** sets out the responses to this based on combined data from the 2012, 2013 and 2014 surveys.

**Figure 5.6: How supported businesses envisaged workshops would benefit the business<sup>1</sup>**

	<i>Percentages</i>			
	Workshops	DF	C&M	All
Base (Number)	565	97	178	840
Improve senior managers' leadership skills	83	94	91	86
Improve products or processes	83	88	75	82
Improve staff relations and morale	77	88	91	81
Allow staff to gain management qualifications	66	75	60	66
Put in place a succession strategy	59	73	60	61
Bring on more junior managers	55	75	67	60
Build capacity to deliver in-house training <sup>2</sup>	44	44	76	53
Generate additional sales through networking with other businesses	36	57	25	36

1. Respondents were asked 'when you decided to participate in [intervention type] were you hoping it would...' For each of the options above they were asked to respond yes, no or don't know.

2. Only asked in 2013 and 2014

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

5.17 Improving senior managers' leadership skills was the main benefit that participating businesses expected to achieve from ELMS training though for the workshops, companies equally expected the training to lead to improvements in their products or processes.

5.18 Companies participating in the coaching and mentoring strand were most likely (compared to those participating in other strands) to expect that the training would improve staff relations and morale while those participating in discretionary funded training were most likely to expect the training to lead to their staff getting a management qualification. Overall, the proportion of companies expecting ELMS training to enable staff to gain management qualifications reduced over the three surveys

from 72 percent in 2012, to 64 percent in 2013 and 62 percent in 2014. This is largely explained by the reduction in discretionary fund supported companies given that qualification outcomes were most important to this group.

5.19 Companies participating in discretionary fund training were most likely to expect the training to bring on more junior managers. The likelihood of bringing on junior managers as an envisaged benefit (across all three intervention types) increased along with the size of the company<sup>59</sup>.

5.20 In terms of succession strategies, again discretionary funded companies were more likely than others to say that this was an envisaged benefit. Overall, succession was most relevant to businesses in the 10-49 size category<sup>60</sup>.

5.21 Compared to those supported by other strands, discretionary funded companies were more likely to have anticipated generating additional sales through networking as a benefit. It was also true that, overall, employers with 10 or fewer staff were more likely to have been looking for the training to help achieve additional sales<sup>61</sup>.

### **Motives for involvement – Learner perspective**

5.22 **Figure 5.7** shows the main reasons why ELMS learners decided to do the course.

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<sup>59</sup> 76 per cent of companies with 50-249 employees expected the training to bring on more junior managers (base 194) compared to 38 per cent of those with less than 10 employees (base 221):

<sup>60</sup> 67 per cent ( of 327 companies) of companies with 10-49 employees expected the training to help put in place a succession strategy for the business. Compared to 61 per cent on average (all 840 businesses).

<sup>61</sup> 63 per cent of sole traders (base 52) and 40 per cent with fewer than 10 employees (base 221). Compared to 36 per cent on average (all 840 businesses).

**Figure 5.7: Learner motivations for involvement**

	<i>Percentages</i>
Base (Number)	579
Develop a broader range of skills and/or knowledge	33
Develop more specialist skills and/or knowledge	24
Employer requested it or required it	18
Improve or widen career options	9
Improve pay, promotion or other prospects at work	4
Learn something new for personal interest	3
An adviser recommended that you should attend this course as it was relevant to your particular needs	3
Help get a job	1
Help progress onto another education, training or learning course	1
Better myself and improve life	1
Wanted to become self-employed/start own business	-
To gain qualifications and improve CV	-

Source: Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

Base 579.

Respondents could give multiple responses.

5.23 This shows that the main learner motivation for participation in ELMS was to develop a broader range of skills and/or knowledge. This is consistent with our survey results from the interim and update evaluations. This was followed by the desire to develop more specialist skills and or knowledge and by the fact that their employer requested that the participant undertake the ELMS training.

5.24 The analysis confirms the low importance attached to qualification outcomes by learners from ELMS training noted in our interim and update evaluation reports. There were no substantive variations between the Convergence and RCE areas in relation to survey data on learner motivations for participation in ELMS.

## Nature of participation – Business perspectives

5.25 **Figure 5.8** provides an indication of the number of participants which assisted businesses sent on ELMS training.

**Figure 5.8: Employees Participating in ELMS (Proportions)<sup>1</sup>**

	<i>Percentages</i>			
	Workshops	DF	C&M	ALL
Base (Number)	565	97	178	840
1	51	35	80	55
2	16	11	13	15
3 to 5	17	22	4	15
6 to 10	7	11	1	7
11 to 20	4	10	1	4
Over 20	4	10	1	4
Don't know/can't remember	1	-	-	-

1. Respondents were asked: 'How many people did participate in [intervention type]?'

Source: Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

5.26 This shows that most of the businesses participating in workshops (51 percent) and coaching and mentoring (80 percent) only sent one person on ELMS training. It also shows that a higher proportion of discretionary fund supported companies have sent higher numbers of staff on training.

5.27 **Figure 5.9** shows the total number and the (mean) average of participants per business broken down by intervention type. This confirms that, as expected, coaching and mentoring had the lowest (mean) average number of participating employees (at 1.7 per business), while the discretionary fund had the highest (at 8.2 per business). It also shows that the workshop strand supported the highest number of individuals, almost three times more than the number supported via the discretionary fund.

**Figure 5.9: Employees Participating in ELMS (Numbers and Mean Averages)<sup>1</sup>**

	<i>Numbers</i>			
	Workshops	DF	C&M	ALL
Base (Number)	565	97	178	840
Total number of participants	2,227	793	309	
Mean average number of employees trained per company	4	8.2	1.7	

1. Respondents were asked: 'How many people did participate in [intervention type]?'

Source: Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

5.28 The (mean) average number of employees sent on ELMS training was slightly higher in RCE companies (at 4.7 per business) than in Convergence (at 3.5 per business).

5.29 As might be expected, the larger the employer, the more likely they were to have sent more employees on ELMS training with a (mean) average of 6.1 for companies employing 50-249 employees compared to 1.6 for companies employing less than 10 employees.

5.30 Next, we consider the type of staff that attended ELMS training. **Figure 5.10** gives an overview.

**Figure 5.10: Types of employees participating in ELMS training<sup>1</sup>**

	<i>Percentages</i>			
	Workshops	DF	C&M	ALL
Base (Number)	565	97	178	840
Directors/Senior Managers	45	65	48	48
Middle Managers	42	56	39	43
Junior Managers/Supervisors	35	42	16	32
Owners	23	30	8	20
Shop Floor/Clerical Workers	9	20	3	9
Technicians	6	16	1	6
Other	2	2	2	2
Don't know/can't remember	-	2	1	1

1. Respondents were asked: Were any of those that participated in [intervention type]...?'

Source: Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

- 5.31 This shows that for each of the three intervention types companies were, appropriately, most likely to have sent directors or senior managers on ELMS training. This was particularly true of the discretionary fund, though it was also true that companies using the discretionary fund were more likely to send almost every other category of employee on training funded by it, reflecting the fact that companies accessing the discretionary fund were, on average, sending higher numbers of employees on to training but also that respondents could select multiple options to the question.
- 5.32 There were no notable differences between the Convergence and RCE areas in terms of the types of employees companies sent on ELMS training.
- 5.33 In terms of company size, as might be expected, sole traders were most likely to have been owners attending ELMS training<sup>62</sup>. Companies in the 10-49 employee size bracket were most likely to have sent directors or senior managers on ELMS training<sup>63</sup> while companies in the 50-249 category were most likely to have sent middle managers<sup>64</sup>.
- 5.34 Companies in the 50-249 group were most likely to have sent junior managers/supervisors on coaching and mentoring and discretionary fund training, but those with 250 or more employees were most likely to have sent their junior managers/supervisors on workshop training.
- 5.35 In terms of the type of training activities undertaken via ELMS, **Figure 5.11** provides an overview.

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<sup>62</sup> 75 per cent of sole traders said that owners attended ELMS training (base 52) compared to 20 per cent on average (based 840).

<sup>63</sup> 54 per cent of 10-49 size companies (base 327) compared to 48 per cent on average (base 840).

<sup>64</sup> 63 per cent of 50-249 size companies (or 123 companies) (base 194) compared to 43 per cent on average (base 840).

**Figure 5.11: Overview of training activities undertaken via ELMS<sup>1</sup>**

Base (Number)	Workshops <sup>2</sup>	DF	Percentages	
			C&M	ALL
	414	97	178	689
Development programme comprising linked training sessions and independent work	45	69	75	56
A single stand-alone session/course	49	47	14	40
Multiple stand-alone training sessions/courses	35	51	28	35
Long courses (several months)	18	39	25	23
Other types of training activities	2	5	7	4
Don't know	1	1	2	1

1. Respondents were asked 'which of the following kinds of activities did staff undertake or participate in as part of the discretionary funding'. Respondents could select multiple options from the options listed.

2. This question was not asked of workshop supported companies in 2012.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

5.36 This shows that the most common type of training undertaken via the discretionary fund and coaching and mentoring strands has been a development programme comprising linked training sessions and independent work. As expected, the workshops have been more geared towards single, stand-alone sessions. Long courses were least common, even under the discretionary fund where there would have been greater flexibility for employers to commission training of this nature, suggesting that, overall, shorter training courses were favoured by employers.

5.37 There were no notable differences between the Convergence and RCE areas in terms of the kinds of activities staff undertook as part of their training.

### **Nature of participation – Learner perspectives**

5.38 In terms of the location where ELMS courses were undertaken, the highest proportion (42 percent) of the 579 ESF Leavers' Survey respondents<sup>65</sup> undertook the provision at their employer's workplace. This compared with 29 percent who said that their training took place at

<sup>65</sup> 579 was the total response base for the 2012 and 2013 surveys combined.

a training centre. There were no differences of any note between the Convergence and RCE areas in terms of where training was undertaken.

5.39 The vast majority (98 percent) of learners said that they took their ELMS course during the working week. Just over half (53 percent) said that they spent nine hours or less per week on their ELMS course and over a third (38 percent) said that they attended their course less than once per week. This ties in with the fact that the majority of ELMS learners participated in the workshops.

5.40 More than three quarters (76 percent) of those responding said that they were aware that ESF had helped pay for their course. Awareness of ESF was very marginally higher amongst women than men and in the RCE area compared to the Convergence area.

### **Course content**

5.41 Next, we turn to analyse the type of course content covered by workshop and discretionary fund intervention types participated in, as reported by telephone survey respondents. **Figure 5.12** provides an overview of the course content covered by participating businesses in these two intervention types<sup>66</sup>.

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<sup>66</sup> This question was not applied to coaching and mentoring assisted businesses.

**Figure 5.12: Overview of ELMS funded course content (Workshops and Discretionary) <sup>1</sup>**  
*Percentages*

	Workshops	DF	All
Base (Number)	565	97	
Managing people/teams	73	78	74
Coaching and mentoring skills	56	61	56
Change management	45	58	47
Higher level job specific skills	41	62	44
Business planning and budgeting	30	56	34
Equal opportunities	33	38	34
Higher level health and safety	29	29	29
Financial management	23	48	27
Environmental management	20	29	21
Higher level technical skills	10	19	11
Other	4	1	3
None of the above	2	-	2
Don't know	1	-	1

1. Respondents were asked 'which of the following areas of leadership and management did these workshops or training activities cover...?' Respondents could select multiple options from the list above.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

5.42 This shows that managing people and teams has been the most covered topic across ELMS courses which is consistent with our findings at interim and update evaluation stages.

5.43 This also shows that despite there being a discrete ELMS intervention on coaching and mentoring, this was also seen as an important element of the workshop and discretionary fund strands.

5.44 Not surprisingly, higher level job specific skills were more likely to have been covered under discretionary fund training – with more than three-fifths of respondents saying that this was part of the training - than they were in workshop provision and this was also true of business planning and budgeting and financial management.

5.45 There were few notable differences between the Convergence and RCE areas, though higher level health and safety was more likely to have

been covered in the Convergence area (at 34 percent) than in the RCE area (23 percent)<sup>67</sup>.

5.46 In terms of company size, the larger the business, the more likely they were to have covered managing people and teams in their ELMS training (e.g. 87 percent for companies sized 50-249 employees compared with 62 percent for those with fewer than 10)<sup>68</sup>. This was also true of change management.

5.47 **Figure 5.13** provides an overview of the skills covered in the workshops and the discretionary funded activities businesses participated in.

**Figure 5.13: Skills covered in ELMS activities (Workshops and Discretionary)<sup>1</sup>**

	<i>Percentages</i>		
	Workshops	DF	All
Base (Number)	565	97	
Supervisory	64	71	65
Training skills	48	61	50
Strategic planning	35	60	39
Project management	36	55	39
Process management <sup>2</sup>	32	51	35
Quality management	32	58	35
Marketing	25	40	28
Sales/service/account management	18	35	21
Procurement/Supply Chain Management	13	20	14
None of the above	10	1	9
Don't know/can't remember	1	1	1

1. Respondents were asked 'Did the workshops or training activities cover any of the following...'. Respondents could select multiple options from the list above.

2. e.g. LEAN, Six Sigma.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

5.48 This shows that supervisory skills were the main skills to have been covered by ELMS training activity under both the workshops and discretionary fund.

<sup>67</sup> Convergence base: 391. RCE base: 271.

<sup>68</sup> Base 153 for 50-249. Base 112 for those with fewer than 10.

5.49 There were no differences of note between the Convergence and RCE areas in terms of skills covered.

5.50 In terms of company size, smaller businesses were more likely to have covered marketing than larger firms (35 percent of those with less than 10 employees compared to 19 percent of those with 50-249 employees). In contrast, larger businesses were more likely to have covered supervisory skills than smaller firms in their ELMS training (72 percent of those with 10-49 or 50-249 employees compared to 54 percent of those with less than 10 employees).

### **Stakeholder evidence – Route into ELMS and Motives for Involvement**

5.51 Stakeholder evidence on engagement and motives for involvement in ELMS confirmed the findings of our survey in that those we consulted said the proactive work undertaken by providers was the main way in which companies got involved with the programme, in particular the workshops and coaching and mentoring strands.

5.52 One provider interviewed estimated that 95 percent of their workshop participants had been recruited directly. Another provider said that they had invested in developing close working relationships with WDAs which led to a steady flow of referrals coming through, though only one provider said this.

5.53 Several of the providers interviewed said that they had needed to invest a greater amount of time and resource into promoting and marketing the ELMS workshops than originally anticipated and these providers adopted various methods including networking, cold calling, e-bulletins, taster sessions, referral campaigns, training brochures as well as cultivating leads amongst existing clients.

- 5.54 ELMS training providers did not point to any particular trends relating to the up-take of workshops in terms of company size or sector, though some providers said that they tended (themselves) to specialise in supporting certain types of organisations (e.g. one provider explained that they had a strong track record of supporting manufacturing and engineering businesses). Several of the providers also said that they had worked with third sector organisations, though there had been some confusion as to whether the third sector was eligible for ELMS support and to what extent the programme should be proactively promoted to it.
- 5.55 Around half of the training providers interviewed said that the ELMS open access workshops had been used extensively by ‘new customers’ who had not previously done much in the way of leadership and management training.
- 5.56 In terms of the discretionary fund, the evidence from providers suggested that (as expected) the WDAs had played a more significant role (than for workshops) in promoting awareness of this strand with employers. Only one of the providers expressed any concern about the role of the WDAs in this respect citing a perceived lack of detailed understanding by some WDAs about the ELMS discretionary fund offer.
- 5.57 A minority of the providers interviewed felt that the discretionary fund had (based on their experience) been more appealing to larger businesses on the basis that they were ‘more ready’ to embrace the commitment levels required with this type of training as compared to the lighter touch open access workshops.

## 6 Quality, Relevance and Qualification Outcomes

6.1 In this chapter, we consider feedback from businesses 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 surveys with supported businesses
- qualitative visits to assisted businesses and participants
- analysis of learner data from the 2012 and 2013 ESF Leavers Surveys.

Key findings outlined in this chapter.

- There was a very high (97 percent) level of satisfaction with ELMS provision among supported businesses across the Convergence and RCE areas.
- Businesses supported by the coaching and mentoring strand were most likely (69 percent) to give very positive feedback about the reaction of participating staff.
- The perceived relevance of ELMS training was high (88 percent). This was consistent across both the Convergence and RCE areas.
- Feedback from participating businesses was that quality was high (91 percent rating it as good) with those participating in coaching and mentoring most likely to say that the quality was very good (78 percent).
- A very high proportion of businesses (93 percent) said that the ELMS training had at least met their expectations. Coaching and mentoring training was the strand most likely to exceed or far exceed expectations (55 percent).
- The majority of learners (92 percent) were either satisfied or very satisfied with their ELMS course in both the Convergence and RCE

areas.

- Just over half (57 percent) of companies supported by ELMS said that participating staff gained qualifications. This is notably higher than the proportion recorded in project monitoring information. Companies supported by coaching and mentoring were most likely to say that staff got a qualification (72 percent).
- Staff from companies in the Convergence area were slightly more likely to have gained a qualification (58 percent) than those in the RCE area (55 percent).
- Most participating staff that gained a qualification did so at level 5 (33 percent) followed by level 3 (32 percent). Over a third (34 percent) of companies said that ELMS participants gained qualifications at a higher level than their (previous) most advanced qualification.
- There was a clear pattern of improved understanding of relevant subject areas post ELMS training. This applied to the Convergence and RCE areas and the three different ELMS intervention types.
- Three quarters (75 percent) of companies that reported staff had gained qualifications via ELMS said that the qualification was important to the business. In contrast, evidence from qualitative aspects of the evaluation research shows that qualifications have not been a significant consideration when it comes to ELMS training.
- ELMS course completion has been high with 96 percent of learners saying they completed their course.

### **Business feedback on ELMS provision – satisfaction, quality and relevance of training**

6.2 In this section, we consider some of the feedback from assisted businesses about the ELMS provision.

6.3 First, we asked business survey respondents to describe the reaction of staff who participated in leadership and management workshops. **Figure 6.1** summarises the responses received.

**Figure 6.1: Businesses description of overall reaction of staff who participated in ELMS training<sup>1</sup>**

	<i>Percentages</i>			
	Workshops	DF	C&M	All
Base (Number)	565	97	178	840
Very positive	55	63	69	59
Fairly positive	35	33	25	32
Neutral/Mixed	8	4	5	7
Fairly negative	1	-	1	1
Very negative	1	-	-	1
Don't know/can't remember	1	-	-	-

<sup>1</sup> Participants were asked 'overall, how would you describe the reaction of the staff who participated in...? Was it...'

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

6.4 This suggests a very high level of satisfaction of businesses in relation to ELMS training with 97 percent saying that feedback from participating staff was positive. Businesses participating in the coaching and mentoring training were most likely to report positive feedback in terms of the overall reaction of their staff to training.

6.5 There were no notable differences between the Convergence and RCE areas in relation to this question. Larger companies (with 50-249 employees) were slightly more likely to report very positive feedback from staff in respect of their ELMS training than those with less than 10 employees (62 percent compared to 52 percent).

**Figure 6.2: Qualitative evidence from company visits: Feedback on Discretionary Funded Courses**

Company 14I is a manufacturing business headquartered in the Convergence area where 57 of its 80 or so staff are located.

Two senior managers from 14I attended Level 7 leadership and management training funded via the discretionary fund. A third manager from 14I had also attended the coaching and mentoring training.

Feedback from the managers that had attended the discretionary fund training was overall very positive in relation to the quality of what had been delivered.

At times, the managers felt that the course was a ‘little too academic’ in its content (the training was delivered by a University) and they also felt that it could have been slightly more relevant to a private sector (rather than a public sector) context.

6.6 Other questions relating to the quality of training were only asked of those who had themselves participated (581 respondents in total).

**Figure 6.3** gives an overview of ratings of different aspects of workshop delivery. Note that in relation to the discretionary fund base numbers are low throughout this section and care should be exercised in interpreting findings.

**Figure 6.3: Participants’ rating of aspects of the ELMS training<sup>1</sup>**

Base (Number)	<i>Percentages responding positively<sup>2</sup></i>			
	Workshops	DF	C&M	All
	372	68	141	581
How organised was the training?	92	97	92	92
How engaging were the tutors?	92	94	94	93
How appropriate was the pace of delivery?	86	93	90	88
How appropriate were the learning materials issued?	83	97	92	87

<sup>1</sup> Participants were asked ‘Thinking about the training or activity you undertook most recently, on a scale of 1 to 5, where 1 is not at all and 5 is very...’

<sup>2</sup> Respondents answering 4 or 5

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

- 6.7 The feedback on these different aspects of the training is very positive with the discretionary funded training in particular showing high satisfaction levels for how organised the training was and the appropriateness of the training materials issued.
- 6.8 In terms of company size, those with 50-249 employees were more likely to have been satisfied with learning materials than smaller firms with less than 10 employees (93 percent compared to 80 percent).
- 6.9 There were no notable differences in relation to the Convergence and RCE areas in relation to how participants rated aspects of ELMS training.
- 6.10 In terms of the relevance of ELMS training content, **Figure 6.4** provides an overview of responses to this question from those who attended training themselves.

**Figure 6.4: Relevance of ELMS training to participants' job<sup>1</sup>**

Base (Number)	Percentages			
	Workshops	DF	C&M	All
	372	68	141	581
Very relevant	59	69	66	62
Fairly relevant	28	25	23	26
Mixed	11	4	9	10
Fairly irrelevant	1	1	1	1
Totally irrelevant	1	-	-	-

<sup>1</sup> Participants were asked 'how relevant was the content of the training to your job?'

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

- 6.11 This shows a broadly positive picture in terms of perceived relevance of ELMS training across the three different intervention types with 88 percent saying that the training was relevant. There were no notable differences between the Convergence and RCE areas in terms of perceived job relevance of the ELMS training. Perceived relevance was also largely consistent across different company sizes.

6.12 Next we consider feedback on the overall quality of ELMS training by those that personally took part.

**Figure 6.5: Overall quality of ELMS training<sup>1</sup>**

	<i>Percentages</i>			
	Workshops	DF	C&M	All
Base (Number)	280	68	141	489
Very good	66	66	78	70
Good	23	29	15	21
Mixed	9	4	5	7
Poor	1	1	-	1
Very poor	1	-	1	1

<sup>1</sup> Respondents who had taken part themselves were asked 'How would you rate the overall quality of training?'

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

6.13 This shows that overall; the quality of ELMS training was thought to be very good by those that participated in it (91 percent overall saying that the quality was good). It is notable that a higher proportion of those that undertook coaching and mentoring training (as compared to the other two intervention types) thought it was very good (78 percent compared to 66 percent).

6.14 Feedback on quality was almost identical between the Convergence and RCE areas and there were no notable trends in terms of feedback on quality in relation to company size.

**Figure 6.6: How closely ELMS training met expectations**

	<i>Percentages</i>			
	Workshops	DF	C&M	All
Base (Number)	373	68	141	581
Far exceeded	5	12	21	10
Exceeded	34	26	34	33
Met but did not exceed	52	59	38	50
Didn't quite live up	4	3	5	4
Didn't live up at all	3	-	-	2
Don't know	1	-	2	1

<sup>1</sup> Respondents who had taken part themselves were asked 'How would you rate the overall quality of training?'

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

6.15 In terms of how closely ELMS training had met assisted participants expectations, 93 percent of respondents said that the training had at least met their expectations, with 43 percent saying their expectations had been exceeded. Those participating in the coaching and mentoring strand were more likely to have had their expectations far exceeded (at 21 percent compared to 10 percent average across the three interventions). However fewer discretionary fund participants said that their expectations had not been met than was true for the other strands (though in all cases this discontented minority was very small).

6.16 There were no differences of note between the Convergence and RCE areas or across different company sizes in relation to how closely expectations had been met.

**Figure 6.7: Qualitative evidence from company visits: Feedback on coaching and mentoring**

Organisation 14J employs 33 staff. It is a business operating in the marketing sector and is based in the RCE area.

The operations manager was the only person to undertake ELMS funded coaching and mentoring training within the organisation. The motivation for involvement was a need for senior level coaching highlighted during the process of applying for Investors in People accreditation. The specific training had been recommended by the company's WDA. The operations manager had been extremely satisfied with both the quality and content of the course as well as its relevance to the company itself.

'It is one of the best courses I have ever been on'.

Outcomes included increased productivity and confidence amongst team leaders, efficient resolution of staff issues and improved staff morale. In terms of qualifications, the participant gained an ILM Level 5 qualification in coaching and mentoring.

A coaching programme had since been developed at the company in order to cascade the knowledge gained via ELMS, and the manager has trained four team leaders as mentors and coaches. A recent Investors in People audit recognised the strong coaching culture that was now in place at company 14J.

It is likely that 14J would have undertaken the training had ELMS funding not been available, given the recommendation for it identified during the Investors in People process.

### Learner feedback on ELMS provision

6.17 **Figure 6.8** provides an overview of learner satisfaction with their ELMS courses based on data from the ESF Leavers Survey.

**Figure 6.8: Learner satisfaction with ELMS course**

	Percentages
Base (Number)	579
Very satisfied	47
Satisfied	45
Neither satisfied nor dissatisfied	5
Dissatisfied	2
Very dissatisfied	1

Source: 2012 and 2013 ESF Leaver's Survey data.

6.18 This shows that overall: the vast majority of learners (92 percent) were either satisfied or very satisfied with their ELMS course. The learner satisfaction data chimes with satisfaction levels reported by employers, with high levels of satisfaction evident across the workshops, discretionary fund and coaching and mentoring intervention types.

6.19 There were no notable differences between the Convergence and RCE areas in relation to learner satisfaction.

6.20 Four fifths (80 percent) of respondents to the 2012 and 2013 ESF Leavers' surveys said that they would, with hindsight, do the same course at the same place again.

### **Qualification outcomes – Business perspectives**

6.21 Moving on to qualification outcomes, **Figure 6.9** provides an overview of qualifications gained from the workshops, discretionary funded training and the coaching and mentoring intervention. This data represents the responses of participants in our survey, rather than project level monitoring information or returns to WEFO, though we do make comparisons between the two. Note the small base numbers relating to the discretionary fund element and the need therefore to exercise some care in interpreting findings in this section.

**Figure 6.9: Qualifications gained by participants (Workshops, Discretionary and Coaching and Mentoring)<sup>1</sup>**

	<i>Percentages</i>			
	Workshops	DF	C&M	All
Base (Number)	565	97	178	840
Yes – gained a qualification	52	59	72	57
No – did not gain a qualification	45	38	26	40
Don't know	4	3	2	3

<sup>1</sup> Respondents were asked 'Did you, or any of those who participated in training, achieve any sort of leadership or management related qualification(s) or part qualification(s) as a result of participation?'

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

6.22 Overall, 57 percent of survey respondents said that participating staff gained qualifications. This is a notably higher proportion than the levels reported in project management information. There are a number of possible reasons for this: there may be some differences in understanding of what counts as a qualification (with WEFO's definition excluding non-accredited qualifications, for example, PRINCE 2<sup>69</sup>), the monitoring information may not be up-to-date or there may be differences between the sample and the overall population.

<sup>69</sup> Projects in Controlled Environments.

6.23 Companies supported by the coaching and mentoring intervention were most likely to report that participants had gained a qualification (72 percent) while just over half of employers participating in the other interventions reported that qualifications were achieved.

6.24 Those participating in the Convergence area were slightly more likely to report that participants had gained a qualification compared with their RCE counterparts (58 percent<sup>70</sup> compared to 55 percent<sup>71</sup>).

**Figure 6.10: Qualitative evidence from company visits: Qualification outcomes**

Organisation 14H is an engineering company employing 160 staff across the UK, with its headquarters located in the RCE area. During 2013 and 2014, approximately 10 members of staff from 14H participated in either Site Management Safety Training Scheme training or so-called 'Triple S' training (Site Supervisor Safety Training) under the discretionary funded element of ELMS. The training was accredited and participants achieved the relevant qualification(s). The motivation for participation was that, while the training completed was non-statutory, it was expected by customers that these qualifications should be in place and could be demonstrated by 14H. In addition, there was a general desire by 14H to improve awareness of health and safety issues amongst staff and having the qualifications in place had led to a reduction in the annual insurance costs paid by the company. Staff at 14H felt that the qualifications secured would also potentially help their future career prospects and 'looked good' on their CVs.

It is unlikely that 14H would have adopted such an intensive approach to training without the ELMS funding but, as a result of participation, they have introduced a policy that the training (and subsequent health and safety qualifications) are a mandatory requirement for all managerial staff, something that was not previously in place.

Organisation 14C is located in the RCE area. A sales manager from the

<sup>70</sup> Of 489 businesses.

<sup>71</sup> Of 351 businesses.

organisation completed Level 3 and Level 5 coaching and mentoring qualifications accredited by the Chartered Management Institute, and also achieved a Train the Trainer Certificate. The main motivation for getting involved came from the individual who had identified a need for management training, and was interested in the coaching and mentoring courses when they came across them. The sales manager from 14C that completed the training was somewhat critical that they had needed to wait 11 months for their qualification to be awarded by the CMI and while this person was pleased to have eventually been awarded the qualification they did not think that their employer was 'particularly bothered' about it, being more interested as they were in the skills and knowledge gained and applied.

6.25 **Figure 6.11** explores the nature of qualifications gained via ELMS in more detail.

**Figure 6.11: Business reporting on level of qualifications gained by participants in ELMS training<sup>1</sup>**

Base (Number)	<i>Percentages</i>			
	Workshops	DF	C&M	All
	291	57	129	477
Level 2	11	14	-	8
Level 3	26	32	45	32
Level 4	11	11	2	9
Level 5	25	28	52	33
Level 6	1	7	1	2
Level 7	10	12	19	13
Don't know	23	30	4	19
Other	5	4	2	4

<sup>1</sup> Those who reported that participants had gained qualifications were asked 'what level were these qualifications at?'

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

6.26 This suggests that overall, a third of the ELMS participants who gained a qualification gained a level 5 qualification (33 percent) with almost as many gaining a level 3 qualification (32 percent).

6.27 A majority of learners on the coaching and mentoring training who got a qualification (52 percent) gained a level 5 qualification. By contrast,

those gaining a qualification on discretionary fund training were more likely to have achieved it at level 3 (32 percent) with the same being true for those gaining a qualification via the workshops (26 percent).

6.28 A higher proportion of businesses involved in the coaching and mentoring strand (than other strands) reported participants gaining Level 7 qualifications (at 19 percent). Only eight percent of those gaining a qualification did so at level 2 which is appropriate for a leadership and management training intervention, given that a level 2 qualification is broadly equivalent to one GCSE at grade A\* - C.

6.29 We also asked survey respondents to comment on whether the qualifications participants had gained via ELMS were higher, lower or equivalent to the most advanced qualifications already held by those trained.

6.30 Of the 477 who reported that qualifications had been gained:

- 34 percent said that the qualification was generally at a higher level than that previously held. The proportions were very similar for the Convergence and RCE areas
- those participating in discretionary funded training were most likely to say that the ELMS qualification participants had gained were higher than anything they had previously (49 percent or 28 businesses)
- 75 percent said that the individual achieving a qualification was either very or fairly important to the business. There were no notable variances between Convergence and RCE
- businesses participating in discretionary funded training were most likely to say that the qualification was very important to them as an organisation (81 percent of 57 businesses).
- 87 percent said that achieving a qualification was either very or fairly important to the individual that undertook the training.

6.31 Those who reported that qualifications had not been attained (363 businesses) were asked how the learning was assessed.

- The largest proportion (36 percent) said that the learning had not been assessed. There was no notable difference between the Convergence and RCE areas.
- Businesses with less than 10 employees were most likely to say that staff who did not gain qualifications had not had their learning assessed (47 percent of 109 businesses).
- The next largest grouping said that the ELMS learning had been assessed via a trainer or assessor that had observed new skills being applied (at 22 percent).

6.32 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 6.12** provides an overview of the before and after responses given.

**Figure 6.12: Understanding of subject area before course (personally took part) <sup>1</sup>**

Base (Number)	<i>Percentages</i>					
	Workshop 372		DF 68		C&M 141	
	Before	After	Before	After	Before	After
Low understanding	27	1	21	-	40	-
High understanding	28	92	37	96	20	95

<sup>1</sup> Participants were asked: '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 [training undertaken] before participating?'. They were subsequently asked '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 participating in the [training undertaken]? Note here that responses at 1 and 2 have been combined to give 'low' and responses at 4 and 5 combined to give 'high'.

Figure 6.12 excludes those who responded with a 3.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

6.33 This shows that for all three ELMS intervention types, there is a clear pattern of improved understanding of the subject area post training. The pattern of improved understanding was almost identical across the Convergence and RCE areas.

6.34 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 businesses suggested that in the majority (but by no means all cases) qualifications were not seen as a particular driver – especially from an employer perspective. In the minority of cases where qualifications were more of a motivating factor, this was driven more from the individual participant’s perspective – rather than the employer. The only exception to this was in relation to training relating to compliance issues (e.g. construction safety or general safety manager/supervisory training) where employers valued the qualification outcome from a compliance and procurement perspective.

### **Qualification outcomes – Learner perspectives**

6.35 In the 2012 and 2013 ESF Leavers Surveys, a total of 556 participant respondents commented on whether they received a qualification as a result of an ELMS course. Just over three fifths (63 percent) said that they had gained a qualification, while 32 percent said that they had not. This compared with 55 percent (of 634 learners) that said they had gained a qualification in the 2011 ESF Leavers Survey.

6.36 The proportion of learners gaining a qualification in the Convergence area was slightly higher than in the RCE area (at 65 percent compared to 61 percent).

6.37 Consistent with our previous findings, the 2012 and 2013 ESF Leavers’ Survey data suggested that ELMS participants seemed unable to provide much detail about the nature of the qualification they received. When asked a question on the level of qualification achieved on an ELMS course, the largest grouping (23 percent<sup>72</sup>) stated that it was a ‘diploma’. This compared with 39 percent<sup>73</sup> saying the same thing in 2011.

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<sup>72</sup> Of 369 learners

<sup>73</sup> Of 362 learners

6.38 This continues to suggest that from an individual participant perspective, qualifications have not been viewed as a significant part of the ELMS provision. This chimes with the evidence from the qualitative aspects of our evaluation.

6.39 The 2012 and 2013 Leavers Surveys also show that course completion has been high in relation to ELMS, with 96 percent (of 579 learners) saying that they had completed their course.

### **Stakeholder evidence – Quality, Relevance and Qualifications**

#### *Open Access Workshops*

6.40 Stakeholders felt that the ELMS open access workshop provision had, overall, been relevant to businesses in Wales and had also been of good quality. Some stakeholders thought that the relevance of the workshop offer (to the leadership and management agenda) had also ‘sharpened up’ and improved during the course of implementation.

6.41 Some stakeholders felt that the workshops, which accounted for the bulk of learner throughput on the programme had probably been more successful in developing individuals than they had in changing the culture or improving the performance of organisations.

6.42 In contrast, another stakeholder (a Workforce Development Adviser) commented that the workshop offer had been ‘too focused on courses’ and that there hadn’t been sufficient opportunities for individuals to ‘dip in and dip out enough’ before being expected to progress to more in-depth and longer term leadership and management training.

6.43 Another WDA however felt that the better ELMS workshop providers had successfully managed to ‘tweak the content’ with some ‘going the extra mile to make the training really bespoke and relevant’ to those participating.

'I never had one client complain about the workshops. They were very pleased with the quality and I was keen to refer my clients to the workshops whenever I could'. (WDA)

6.44 Other stakeholders commented that in their view, the workshops had probably been the most 'micro business friendly' aspect of ELMS (a view that ties in with our survey data) but that the contracted workshop providers could, on reflection, have done more to communicate the most appropriate form of training for individual businesses.

6.45 LMW, which had a quality assurance remit in relation to workshop delivery, felt that 'there were some really good ELMS providers' and that what set these stronger providers apart was 'the way they incorporated pre and post training advice and activity around the actual workshop content'.

6.46 Training providers commented that one downside of the open access nature of the workshops was that participants were 'often not too concerned' about missing some sessions, with several saying that this penalised them financially.

6.47 Training providers also felt that (in-line with our survey findings and case study evidence) qualification outcomes were not a primary motivation for participation in the ELMS workshops, though they also argued that where qualifications were awarded, these were ultimately valued by those that achieved them and their employers.

#### *Discretionary Fund*

6.48 In terms of stakeholder feedback on the quality of discretionary fund training, the general view was that training via this strand had been 'deeper and more bespoke' and that 'it felt like there was more of a plan'. Stakeholders felt that this had probably led to more positive organisational or corporate level outcomes and impacts in slightly larger

firms than the workshop element where the benefits were (in their view) more likely to have been at an individual level.

‘The kind of enquiries we’d see coming through for the discretionary fund tended to be more from HR people’. (LMW)

- 6.49 One stakeholder (a WDA) agreed that on the whole, the discretionary funded training had been of a high quality, but they could recall two instances of complaint from clients. According to this stakeholder, both complaints related to FE colleges having ‘cancelled at the last minute because of a lack of numbers’.
- 6.50 A number of stakeholders (including LMW officials, WDAs and training providers) commented that the process of applying for discretionary fund training was as one respondent put it ‘rather tortuous’. One provider said that some of the businesses they were supporting had decided ‘it wasn’t worth the trouble’ to apply for discretionary funding.
- 6.51 Several stakeholders pointed out however that the process of applying for discretionary fund support had been a lot easier ‘when there was a direct application route to the discretionary fund via the LMW website’.
- 6.52 Evidence from the training providers (some of which delivered both workshops and discretionary fund training) suggested that they had received positive feedback from participants on the quality and relevance of the discretionary fund training – more so than the workshops. Thus one provider commented that:
- ‘This learning [discretionary fund training] was better than the workshops as you could work with the employer in the way that they wanted...there was much greater flexibility’. (ELMS training provider)
- 6.53 In terms of qualification outcomes and the discretionary fund, in general the evidence from ELMS providers suggested that in their experience

qualifications were not a major driver for participation. While some providers gave examples of a few learners having progressed their qualification levels from level 3 to level 7 via discretionary funded training, these were seen as exceptions rather than the rule and in general stakeholders took the view that the majority of the discretionary funding had been about improving skills rather than qualifications.

### *Coaching and Mentoring*

6.54 Turning to the coaching and mentoring strand, stakeholders were, in the main very positive about the quality of the training provided.

‘The quality of the coaching and mentoring training from both providers was exceptional. Learners came out as capable coaches and that was a really good outcome’. (LMW)

6.55 However, not all stakeholders were convinced that the idea of cascading coaching and mentoring skills would work effectively in terms of creating a stronger culture of coaching in Welsh businesses. LMW for instance argued that the cascading concept was flawed and that only allowing a maximum of two people from each organisation on the ELMS coaching and mentoring programme was ‘insufficient to infiltrate the culture of organisations’. Another stakeholder (a Welsh Government official) acknowledged that there ‘was always a risk of dilution with the cascading concept’.

6.56 One of the WDA’s interviewed explained that they had referred some 12 clients to the coaching and mentoring training but that none had ended up committing to the course. This was because, despite the WDA’s best efforts, the individuals concerned had misunderstood the concept:

‘What they were really after was a coach or a mentor – not training on how to become a coach or a mentor’. (WDA)

6.57 One of the providers involved with the delivery of the coaching and mentoring strand felt that (as with the other strands of ELMS they were also involved in delivering) qualifications outcomes had not been a major driver for participation and were not particularly highly valued by employers who were more interested in the skills gained. This provider went on to say that in their view, the coaching and mentoring qualifications gained would probably have been more highly valued by the individual participants themselves and the positive effect that this had on their respective CVs. This view chimes with the evidence from our qualitative follow-up interviews with employers.

## 7 Effects and Impacts

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

7.2 The chapter draws on evidence from:

- the telephone surveys with supported businesses
- qualitative visits to assisted businesses and participants
- analysis of learner data from the 2011 and 2012 ESF Leavers' Surveys
- qualitative stakeholder interviews.

Key findings outlined in this chapter include that:

In relation to supported businesses:

- The majority of participating businesses (94 percent) said that staff trained via ELMS had been able to put what they had learned into practice.
- More than three quarters (78 percent) of the businesses that participated in coaching and mentoring said that those who did the training had passed on some of their skills within the organisation. However, qualitative evidence in relation to cascading coaching and mentoring skills was less positive than the survey data.
- The most frequently-cited positive effect on participants behaviour observed by supported businesses (workshops and discretionary fund) had been in relation to the influence on organisational culture (48 percent). There were some slight increases in the proportions reporting positive participant behaviour at second and third interview. A higher proportion of businesses participating in the discretionary fund than in the workshops identified participant behaviour outcomes.

- The most frequently-cited positive effects on participant ability (workshops and discretionary fund) observed by businesses related to organising staff (47 percent) and improving systems (46 percent). In practice however, identified effects were spread across a fairly wide range of areas (including working with customers, time management and business planning). There were no consistent trends from the longitudinal survey data relating to participant ability.
- In terms of positive impacts, improved staff morale was the most commonly cited positive impact of ELMS on participants (by employers). No consistent trends emerged from the longitudinal survey data though there were slight increases in the proportion reporting positive improvements in relation to staff retention, pay and (reducing) personnel problems.
- The most frequently-cited positive organisational impacts of ELMS related to productivity and efficiency and future prospects. Businesses supported by the discretionary fund were most likely to report positive organisational impacts. Overall, the longitudinal data show modest but clear increases in proportions of employers identifying improvements in organisational impacts. Evidence from qualitative follow-up interviews with supported companies also showed some process related impacts (e.g. introduction of new systems) and improvements in managing volunteers (in the context of third sector organisations).
- 30 percent of businesses supported by ELMS said that the training had led to a positive impact on profit levels, consistent across the Convergence and RCE areas. Discretionary fund participants were most likely to have experienced improved profitability. The longitudinal survey data showed an increase in the proportion of businesses saying ELMS training had led to a positive impact on profit over time.
- Most (77 percent) businesses said that they planned to take part in

further leadership and management training and 81 percent of those who planned to do so over the coming 12 months said that ELMS had made this more likely.

In relation to participants:

- The majority of ELMS learners (93 percent) said that they had been able to apply what they had learned via ELMS training.
- The most frequently-cited positive personal impact cited by those that had participated in workshop and discretionary fund training related to willingness to collaborate with others and share ideas (72 percent) and awareness of personal leadership traits (69 percent). Participants from larger companies were more likely to identify personal impacts of training than were participants from smaller companies. There were no consistent trends from the longitudinal survey data relating to participant ability.
- From the ESF Leavers Survey, the majority (80 percent) of ELMS learners said that they had improved their leadership and/or strategic management skills and 84 percent said that they were more confident of their abilities after completing their ELMS course.
- Three quarters said that they believed they had improved career prospects post training.
- Over half (54 percent) said that their future pay and promotion prospects had improved as a result of ELMS, 43 percent said that their actual pay rate or salary had increased while 23 percent had secured a promotion since completing their course.

## **Utilisation of newly acquired skills – Company perspective**

- 7.3 We asked assisted businesses to comment on whether participants and their managers had discussed how they might apply what they had learned in the workplace after ELMS training had taken place. The majority (82 percent) said that they had. Businesses participating in discretionary fund training were most likely to have discussed how training would be applied and those participating in workshops were least likely to have done so (92 percent<sup>74</sup> compared to 78 percent<sup>75</sup>). There was no difference between the Convergence and RCE areas in respect of this question.
- 7.4 Of those who took part in workshops or discretionary fund training (662 businesses in all) 94 percent said that those that had participated in the learning had been able to put into practice what they had learned. Companies with between 50 and 249 employees were more likely to say that their employees had put learning into practice to a ‘very great extent’ than those with fewer than 10 employees (at 48 percent<sup>76</sup> compared to 39 percent<sup>77</sup>).

## **Skills Utilisation – Learner Perspective**

- 7.5 The majority (93 percent of 579 ELMS respondents to the 2012 and 2013 ESF Leaver’s Surveys) said that they had been able to apply what they had learned via ELMS in their work.
- 7.6 567 ELMS participants that responded to the 2012 and 2013 ESF Leaver’s Surveys answered a question about their satisfaction with their current role. ELMS participants expressed high levels of satisfaction with their current employment, with 91 percent saying that they were either satisfied or very satisfied with their job overall. This is very similar to the

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<sup>74</sup> Of 97 businesses.

<sup>75</sup> Of 565 businesses.

<sup>76</sup> Of 153 businesses.

<sup>77</sup> Of 181 businesses.

2011 survey in which 93 percent were satisfied or very satisfied with their job overall.

### Effects on participant behaviour – Company perspective

7.7 Next, we consider how ELMS training might have influenced the behaviours, skills and abilities of participants across a number of areas. **Figure 7.1** shows the proportion of assisted businesses that said the training (via the workshops and discretionary fund) had led to a positive effect on participant behaviour.

**Figure 7.1: Positive effect of training (workshops and discretionary) on participant behaviour<sup>1</sup>**

Base (Number)	<i>Percentages responding positively<sup>2</sup></i>		
	Workshops	DF	All
Influence the organisation's culture?	46	59	48
Challenge the status quo?	40	61	43
Recognise business opportunities and threats?	41	61	44
Build and create buy-in to a vision?	36	60	40

<sup>1</sup> Respondents were asked 'On a scale of 1 to 5 where 1 is not at all and 5 is a great deal, how much did [the training] improve the ability of those taking part to...'

<sup>2</sup> 4 or 5

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.8 This shows that overall; the most frequently-cited positive behavioural effects observed by businesses had been in relation to the influence on organisational culture.

7.9 Across the positive effects, proportions responding positively were higher for discretionary fund supported businesses than for those who took part in workshops.

7.10 This is not an unexpected finding given that the discretionary fund training would have been more intensive than the lighter touch open access workshops.

7.11 Businesses in the 50-249 employee size category were slightly more likely to have observed positive behaviour changes relating to ‘challenging the status quo’ than businesses with fewer than 10 employees (54 percent<sup>78</sup> compared to 40 percent<sup>79</sup>).

7.12 It was also notable that businesses in the 50-249 employee size category were more likely to have observed positive behaviour changes relating to ‘buying into a vision for the organisation’ than businesses with fewer than 10 employees (47 percent<sup>80</sup> or 72 of 153 businesses compared to 34 percent<sup>81</sup>).

7.13 There were no notable differences between the Convergence and RCE areas in relation to positive effects on participant behaviour.

7.14 In terms of the effects of training on participant behaviour over time, **Figure 7.2** provides an overview of the data from the survey, matching later responses with the first wave responses of the same respondents in order to remove any bias resulting from the willingness of companies to take part in successive interviews<sup>82</sup>. In this and subsequent tables presenting the findings of the longitudinal research, we are in effect making two separate types of comparison:

- Firstly we are comparing the responses of all those who were interviewed on a second occasion with the responses the same companies gave 12 months earlier at the time of the first interviews,
- Secondly we are comparing the responses of the small number of companies who were successfully reinterviewed a third time with

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<sup>78</sup> Of 153 businesses.

<sup>79</sup> Of 181 businesses.

<sup>80</sup> Of 153 businesses.

<sup>81</sup> Of 181 businesses.

<sup>82</sup> Comparison of the first wave responses of those who took part in subsequent waves of interviews with the sample as a whole does suggest that these companies were somewhat more likely at the first wave to be more positive about the experience and effects of participation.

those same companies' responses when first interviewed two years earlier.

**Figure 7.2: Positive effect of training (workshops and discretionary) on participant behaviour<sup>1</sup>**

*Percentages responding positively<sup>2</sup>*

	<i>2012 &amp; 2013 1<sup>st</sup> wave (Matched sample to 2<sup>nd</sup> wave respondents)</i>	<i>2013 &amp; 2014 2<sup>nd</sup> wave</i>	<i>2012 1<sup>st</sup> wave (Matched sample to 3<sup>rd</sup> wave respondents)</i>	<i>2014 3<sup>rd</sup> wave</i>
Base (Number)	266 <sup>83</sup>	266	54	54
Influence the organisation's culture?	54	51	52	56
Challenge the status quo?	50	53	57	59
Recognise business opportunities and threats?	48	49	50	54
Build and create buy-in to a vision?	42	47	48	43

1 Respondents were asked 'On a scale of 1 to 5 where 1 is not at all and 5 is a great deal, how much did [the training] improve the ability of those taking part to...'

2 4 or 5

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.15 This shows a slight increase in the proportions reporting positive participant behaviour outcomes at the second interview stage, with the exception of the capacity to influence the organisation's culture. The third stage interview data also suggests an increase in the proportion of respondents reporting positive changes to participant behaviour, though in this case, the exception is with regard to creating a vision. Given the small sample sizes, care should be taken in interpreting this third wave data, while it is also important to bear in mind that some companies had continued to have support between the first and subsequent interviews. However, it does suggest that positive impacts at least continue to be observed over time.

<sup>83</sup> These questions were only asked of companies which had participated in the workshops and discretionary funding strands.

## Effects on participant abilities – Company perspective

7.16 Turning to participant ability, **Figure 7.3** (also workshops and discretionary fund) shows the proportion of assisted businesses that said training had led to positive effects.

**Figure 7.3: Positive effect of training (workshops and discretionary) on participant ability<sup>1</sup>**

Base (Number)	<i>Percentages responding positively</i>		
	Workshops	DF	TOTAL
	372	68	440
Organising staff	45	56	47
Improving systems	42	69	46
Working with customers	40	59	43
Time management	37	47	39
Business planning	31	53	35
Marketing the organisation's products	22	40	24
Controlling financial resources	17	29	19
Working with suppliers	18	25	19

1 Respondents were asked 'On a scale of 1 to 5 where 1 is not at all and 5 is a great deal, how much did [the training] improve the ability of those taking part to...'

2 4 or 5

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.17 The most frequently-cited positive effects on participant ability observed by businesses were in relation to organising staff, improving systems and working with customers. However, there is no clear pattern or any one particular area in which ELMS (discretionary fund or workshop training) had a considerable positive effect. Rather, it seems that the positive effects in relation to participant ability are spread across a fairly wide range of areas.

7.18 Consistent with the findings on observed behavioural effects, positive changes in relation to participant abilities were also more frequently reported across the board amongst discretionary fund supported businesses than they were for workshop training.

7.19 In terms of company size, there were no notable differences or trends in relation to positive effects on participant ability. Neither were there any substantive differences in terms of observed positive effects on participant ability between the Convergence and RCE areas.

7.20 The longitudinal data suggests that in most areas a higher proportion of second wave interviewees identified positive changes in employee behaviour at the second wave than they did at the first wave, again suggesting that at the least positive behavioural effects of the training were sustained over the long term.

### Personal impact on participants – Company perspective

7.21 **Figure 7.4** shows the extent of positive impacts the ELMS training (workshops and discretionary fund) had on respondents to the survey that took part in training themselves.

**Figure 7.4: The personal impact training (workshop and discretionary) had on participants<sup>1</sup>**

Base (Number)	<i>Percentage responding positively<sup>2</sup></i>		
	Workshops	DF	All
	372	68	440
Openness to collaborating or sharing with others	69	85	72
Awareness of personal traits as a leader/manager	67	76	69
Openness to addressing own weaknesses	66	72	67
Confidence in dealing with colleagues at the same level or a lower level	63	76	65
Confidence level in dealing with senior colleagues	58	75	60
Willingness to delegate and allow others to make decisions for themselves	57	82	61

<sup>1</sup> Respondents who had taken part in training themselves were asked '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 [training] has had upon you personally in terms of...'

<sup>2</sup> 4 or 5

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

- 7.22 This shows that the perceived positive effects of workshop and discretionary fund training (by those that actually took part in it) were most notable in relation to openness to collaborating with others and sharing ideas and individual awareness of personal leadership traits.
- 7.23 In terms of data from the first wave interviews, there was a clear trend (albeit slight in most cases) showing decreased levels of training impact being reported across the three survey years. The only exception to this was that the 2014 cohort were slightly more positive (69 percent) about their confidence in dealing with colleagues at the same or a more junior level than the 2013 cohort (63 percent) and the 2012 cohort (68 percent).
- 7.24 The longitudinal data showed no clear trends between the matched sample first wave responses and the responses at second wave: the numbers responding at third wave (40) were too small to be of value.
- 7.25 In terms of company size, the larger the company, the more likely were respondents to cite positive effects from the workshop and discretionary funded training across the board in relation to the personal impact of training on themselves as participants. Comparing large (50-249 employees<sup>84</sup>) with small (less than 10 employees<sup>85</sup>) businesses this was true for:
- Their awareness of own personal traits as a leader (e.g. 77 percent<sup>86</sup> compared with 59 percent).
  - Their openness to addressing own weaknesses (e.g. 80 percent compared with 59 percent).
  - Their confidence level in dealing with more senior colleagues (e.g. 76 percent compared with 47 percent).
  - Their confidence level in dealing with colleagues at the same or lower levels (e.g. 82 percent compared with 56 percent).

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<sup>84</sup> 93 companies.

<sup>85</sup> 138 companies.

<sup>86</sup> Of 93 companies.

- Their openness to collaborate and share with others (e.g. 87 percent compared with 59 percent).
- Their willingness to delegate and allow others to make decisions for themselves (e.g. 75 percent compared with 49 percent).

7.26 There were no notable differences between the Convergence and RCE areas in terms of the impact of workshop and discretionary training on participants.

7.27 A majority of 95 percent (of the 311 respondents who had taken part themselves)<sup>87</sup> said that the ELMS training had not led to any negative effects on them personally at work.

### **Coaching and mentoring – effects of cascading**

7.28 Turning to the coaching and mentoring strand, one of the key aims of this intervention was to pass on or ‘cascade’ coaching and mentoring skills gained by direct participants to others within their organisation. Just over three quarters (78 percent<sup>88</sup>) said that the individual who undertook the training had passed on some of their coaching and mentoring skills to others in the organisation. The proportion of those saying that they passed on skills in 2014 was lower than in 2013 (at 72 percent of 57 businesses compared to 81 percent of 121 businesses) though the sample size for 2013 was quite small.

7.29 There was no clear trend in terms of passing on coaching and mentoring skills in terms of company size and there was no notable difference between the Convergence and RCE areas in this context.

7.30 Amongst the 139 businesses who reported passing skills on, respondents reported that 491 staff (mean average of 3.7 per business) had been trained in coaching and mentoring skills by the individuals who participated in the ELMS coaching and mentoring training. Within this

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<sup>87</sup> Combined first wave sample for 2012, 2013 and 2014.

<sup>88</sup> Of the 178 businesses.

group 87 businesses also said that skills had been passed on to a second tier of staff which totalled 649 (mean average of 8.2 staff per business).

7.31 Of those 139 businesses where coaching and mentoring skills had been passed on, 63 percent said that those to whom the skills had been passed were putting these skills into practice.

7.32 On the face of it, this shows that the cascading dimension of the coaching and mentoring has worked well, though the survey data was considerably more positive than the qualitative evidence from stakeholders and the follow-up company interviews where the evidence of cascading was less compelling.

7.33 Of the 39 businesses that said no coaching and mentoring skills had subsequently been passed on, a variety of reasons were cited including that the person trained had not had time to pass on their skills to others and that it was too soon after the training itself.

### **Qualification outcomes – Company perspective**

7.34 Next, we asked the 139 businesses whether any of the staff who had subsequently been trained by the individual(s) that undertook the coaching and mentoring programme had gained a related qualification. Only a minority (six percent or eight businesses) said that they had which suggests that qualification outcomes have not been a major focus in the coaching and mentoring training passed on to others.

7.35 Just over three quarters of all 840 businesses surveyed (77 percent) said that they were likely to undertake further leadership and management training in the coming 12 months. This was consistently high across all three intervention types but was notably higher for discretionary funded businesses (at 90 percent of 97 businesses).

7.36 The larger the business, the more likely they were to say that they would take part in further leadership and management training. There was no notable difference between the Convergence and RCE areas.

7.37 Of the 650 businesses that said they were likely to undertake further leadership and management training in the next 12 months, 81 percent of these said that participation in the ELMS training had made it more likely that they would do so. This is a positive level of attribution though it is notable that the proportion of those saying yes reduced from 90 percent in 2012, to 78 percent in 2013 and 79 percent in 2014. Companies in the 10-49 employee size bracket were most likely (84 percent of 265 businesses) to say that they would undertake further training as a result of ELMS than they would otherwise have been.

#### **Positive impacts for participants – Company perspective**

7.38 Turning to examine impact, we look firstly at the impact of the training on the participants from the perspective of the businesses. **Figure 7.5** provides an overview.

**Figure 7.5: Positive impact of training on participants<sup>1</sup>**

Base (Number)	<i>Percentage responding positively<sup>2</sup></i>			
	W/S	DF	C&M	All <sup>3</sup>
Staff morale	71	82	71	72
Team work within organisation	55	71	62	58
Understanding of role within the organisation	53	68	57	56
Attitude and preparedness to take responsibility	52	66	56	55
Promotion and being given more responsibility	50	78	48	53
Confidence shown in taking opportunities and dealing with threats	46	70	50	50
Clarity about the direction in which the company is going	47	70	41	48
Staff retention	24	30	19	23
Participant pay	22	40	13	22
Number and seriousness of personnel problems <sup>89</sup>	21	33	16	22

1 Respondents (except sole traders) were asked 'Using the scale '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...'.  
 2 'improved substantially' or 'improved a little'.  
 3 Sample excludes sole traders

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.39 This shows that staff morale was the most commonly cited positive impact of ELMS training on participants followed by improved team working within the organisation. In terms of the intervention types, businesses supported via the discretionary fund responded most positively on each of the measures.

7.40 It is also notable that for all three intervention types, but particularly the discretionary fund, the proportion responding positively drops substantially in relation to staff retention, participant pay and the number and seriousness of personnel problems with these three impacts having been least evident.

<sup>89</sup> e.g. Grievances and disciplinaries.

7.41 There were no notable differences in the data between Convergence and RCE although the positive impact in relation to promotion and being given more responsibility was very slightly (5 percentage points) higher in Convergence than in RCE.

7.42 In terms of company size, those with between 10 and 49 employees were most likely to report positive impacts in relation to:

- team work within the organisation (62 percent compared to the average of 58 per cent)
- attitude and preparedness to take responsibility (60 percent compared to the average of 55 per cent)
- understanding of role within the organisation (59 percent compared to the average of 56 per cent)
- confidence shown in taking opportunities and dealing with threats (55 percent compared to the average of 50 per cent)
- clarity about the direction in which the company is going (54 percent compared to the average of 48 per cent)
- participant pay (27 percent compared to the average of 22 per cent).

7.43 Companies with between 50 and 249 employees were most likely to report positive impacts in relation to:

- staff morale (78 percent compared to the average of 72 per cent)
- promotion and being given more responsibility (60 percent compared to the average of 53 per cent)
- number and seriousness of personnel problems (32 percent compared to the average of 22 per cent)
- staff retention (29 percent compared to the average of 23 per cent).

### **Positive impacts – Learner perspective**

7.44 Turning to consider the impact of ELMS training on participants over time, **Figure 7.6** compares the survey data for companies interviewed for the second and third times with their response at the time of the first interview.

**Figure 7.6: Positive impact of training on participants<sup>1</sup>**

	<i>Percentage responding positively<sup>2</sup></i>			
	2012 & 2013 1 <sup>st</sup> wave (Matched sample to 2nd wave respondents )	2013& 2014 2 <sup>nd</sup> wave	2012 1 <sup>st</sup> wave (Matched sample to 3rd wave respondents)	2014 3 <sup>rd</sup> wave
Base (Number)	304	304	53	53
Staff morale	77	79	75	83
Team work within organisation	62	66	57	55
Understanding of role within the organisation	59	56	58	55
Attitude and preparedness to take responsibility	58	60	51	51
Promotion and being given more responsibility	57	60	62	72
Confidence shown in taking opportunities and dealing with threats	58	57	64	53
Clarity about the direction in which the company is going	56	48	60	62
Staff retention	24	27	23	19
Participant pay	21	30	23	25
Number and seriousness of personnel problems <sup>90</sup>	22	27	21	23

1 Respondents (except sole traders) were asked 'Using the scale '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...'.  
2 'improved substantially' or 'improved a little'.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.45 This suggests no consistent trends in the second wave, although there would appear to be some positive change in employers reporting effects in terms of staff retention, pay and personnel problems. The third wave figures may well not be reliable because of small sample sizes.

<sup>90</sup> e.g. Grievances and disciplinaries.

7.46 Next, we consider the impact of ELMS training on supported businesses.

**Figure 7.7** provides an overview of responses.

**Figure 7.7: Positive impact of training on the organisation<sup>1</sup>**

Base (Number)	<i>Percentage responding positively<sup>2</sup></i>			
	Workshop	DF	C&M	All
	565	97	178	840
Productivity and efficiency	59	75	64	62
Prospects going forward	62	84	56	63
Quality of products or services	47	73	56	52
Product or service innovation	42	57	42	44
Wastage and down time	35	46	29	35
Profit levels/reducing losses	29	53	22	30
Use of new technologies	29	57	22	31
Supply chain management/procurement processes	22	35	17	23

1 Respondents who were not sole traders were asked 'how would you say the workshops or training has impacted upon staff who participated in terms of...' and sole traders were asked how would you say the workshops or training has impacted upon your ...'. The response options were 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially'

2 Improved substantially or improved a little

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.47 This shows that the most commonly cited impacts from ELMS training on supported businesses have been in relation to productivity and efficiency and future prospects. Businesses accessing discretionary fund training were, by some considerable margin the most likely of the three intervention types to report positive organisational impacts from the training undertaken.

7.48 There were no notable differences between the Convergence and RCE areas in relation to positive responses on organisational impact of ELMS training.

7.49 In terms of company size, notable findings included that sole traders<sup>91</sup>:

<sup>91</sup> 52 businesses.

- were most likely to report positive impacts in relation to future prospects (75 percent compared to the average of 63 percent)
- sole traders were also most likely to report positive impacts in relation to product or service innovation and quality of products or services (both at 73 percent compared to the average of 44 percent and 52 percent respectively).

7.50 Companies with between 10 and 49 employees were the most likely to report positive impacts in relation to productivity and efficiency (66 percent of 327 businesses compared to the average of 62 percent).

7.51 There were no notable differences in relation to company size in terms of positive impacts on profit levels and reducing losses.

### **Organisational Impacts**

7.52 In terms of the organisational impacts created by ELMS training over time, **Figure 7.8** compares the survey data for companies interviewed for the second and third times (matched samples), with first wave interviews.

**Figure 7.8: Positive impact of training on the organisation<sup>1</sup>**

	<i>Percentage responding positively<sup>2</sup></i>			
	<i>2012 &amp; 2013 1<sup>st</sup> wave (Matched sample to 2nd wave respondents)</i>	<i>2013 &amp; 2014 2<sup>nd</sup> wave (Matched sample to 3rd wave respondents)</i>	<i>2012 1<sup>st</sup> wave (Matched sample to 3rd wave respondents)</i>	<i>2014 3<sup>rd</sup> wave</i>
Base (Number)	332	332	54	54
Productivity and efficiency	67	72	72	81
Prospects going forward	70	75	69	67
Quality of products or services	55	64	48	69
Product or service innovation	47	52	50	46
Wastage and down time	39	38	44	31
Profit levels/reducing losses	32	37	33	44
Use of new technologies	31	38	37	28
Supply chain management/procurement processes	23	28	30	22

1 Respondents were asked 'Using the scale '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...'.  
2 'improved substantially' or 'improved a little'.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.53 This shows a modest but clear increase in proportions identifying improvements in organisational impacts at the second wave with the exception of wastage and down time. However, there is no coherent trend at the third wave, which may simply be the result of the sample being so small or may be the result of a decreasing capacity of respondents to remember and identify changes.

7.54 **Figure 7.9** shows the estimated positive impact ELMS training had on the profit of their organisation (for businesses who reported that profits improved).

**Figure 7.9: How much of a positive impact the training had on profit levels<sup>1</sup>**

Base (Number)	Percentages			
	Workshops	DF	C&M	All
	565	97	178	840
Improved	29	53	22	30
Made no difference	55	35	53	52
Deteriorated	1	1	-	1
Don't know	15	11	25	17

<sup>1</sup> Respondents who stated that profits had improved were asked 'are you able to say roughly how much of a percentage increase there has been in profit because of the training'.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.55 This shows that overall, 30 percent felt that the training had a positive impact on profit levels. The proportion saying this in relation to the discretionary fund is noticeably higher than for the other two intervention types. It is also clearly positive that so few employers felt the training had led to any kind of deterioration in profit levels.

7.56 There was no notable difference in terms of the effect of training on profit levels between the Convergence and RCE areas. The effects on different business sizes were also very similar though the positive effect on profit was slightly higher for companies with less than 10 employees (at 34 percent of 221 businesses).

7.57 **Figure 7.10** considers the impact on profit levels using matched sample data from the survey re-interviews.

**Figure 7.10: How much of a positive impact the training had on profit levels<sup>1</sup>**

Percentages

	2012 & 2013 1 <sup>st</sup> wave (Matched sample to 2nd wave respondents )	2013& 2014 2 <sup>nd</sup> wave	2012 1 <sup>st</sup> wave (Matched sample to 3rd wave respondents)	2014 3 <sup>rd</sup> wave
Base (Number)	332	332	54	54
Improved	32	37	33	44
Made no difference	51	46	48	39
Deteriorated	1	1	-	-
Don't know	17	16	19	17

<sup>1</sup> Respondent who stated that profits had improved were asked 'are you able to say roughly how much of a percentage increase there has been in profit because of the training'.

Source: IFF 2012, 2013 and 2014 ELMS Business Survey Data.

7.58 This shows that there had been an increase in the proportion of those saying ELMS training had led to a positive impact on profit between our first and second interviews with the 2012 and 2013 cohort (using the matched sample to ensure consistency) and also an increase between the first and third interviews with the 54 respondents who took part in all three waves of the survey.

7.59 In terms of those that said at the first wave interviews that they had experienced an increase in profit as a result of ELMS the largest grouping (at 43 percent or 109 of 254 businesses) said that they did not know by how much it increased because of the training. The next largest grouping (at 29 percent or 73 of 254 businesses) said that the profit increase due to ELMS had been less than 5 percent.

### **Impact – Learner perspectives**

7.60 In terms of skills gained or improved as a result of the ELMS course, the combined 2012 and 2013 ESF Leavers Survey data showed that 80

percent (of the 579 learners) said that they had improved their leadership and/or strategic management skills. There was no substantive difference in this respect between Convergence and RCE or between male and female participants.

7.61 Respondents to the 2012 and 2013 ESF Leavers Surveys replied to a number of different questions relating to skills improvements. Of the 579 that replied to these individual questions:

- 74 percent reported that the provision had led to improvements in terms of job specific skills (down one percentage point from 2011).
- 81 percent said that the provision had led to improvements in communication skills (up seven percentage points from 2011)
- 77 percent said that the provision had led to improvements in team working skills (up five percentage points from 2011)
- 74 percent said that the provision had led to improvements in problem solving skills (up four percentage points from 2011)
- 73 percent said that the provision had led to improvements in organisational skills (up three percentage points from 2011).

7.62 Two thirds (65 percent) of all ELMS ESF learners (2012 and 2013 survey combined) said that they were now more enthusiastic about learning , while 84 percent said that they were more confident of their abilities after completing the ELMS course.

7.63 A majority of 75 percent said that they felt they had improved employment or career prospects after completing the ELMS course.

7.64 Of the 517 who answered a question on job satisfaction since completing their ELMS training, 57 percent (or 295 learners) said that they were getting more job satisfaction since completing their ELMS course.

7.65 Turning to positive changes within their current employment, of the 512 who answered a question on what had happened to them in work since

completing their ELMS training (2012 and 2013 combined sample), 23 percent said that they had secured a promotion since the ELMS course. This was a slight increase of 3 percentage points on 2011 (where the equivalent figure was 18 percent).

7.66 Of the 271 respondents to a question on pay 47 percent said that their pay rate or salary had increased since the ELMS course. This means that compared to all learners, ELMS participants are more likely to have said that their pay rate or salary has increased since their training course.

7.67 More than half (54 percent of 517 learners) in the combined 2012 and 2013 Leavers Survey sample said that their future pay and promotion prospects had improved as a result of ELMS training. This compares with 51 percent who said the same thing in 2011.

### **Case Study Evidence – Effects and Impacts**

#### *2014 Case Study Material – Overview of Findings*

7.68 For this final stage of the evaluation, follow-up qualitative interviews were completed with 14 ELMS assisted companies who were participating in the research for the first time. Three of these were supported by discretionary funded training, while the other 11 were supported by the coaching and mentoring strand.

7.69 Anonymised case note summaries for each of the companies participating in qualitative follow-up interviews are included in annex 1.

7.70 Of the three companies that were supported via the discretionary fund, two were located in the Convergence area and one in the RCE area. Of the three, we judged the utilisation of skills gained to have been moderate in all three cases. The quality of the training was highly rated across each of the three companies and there was evidence to suggest

that since the training was completed, there were some positive outcomes in relation to:

- managers being prepared to take on more responsibilities within their existing roles which for one organisation marked a 'cultural shift'
- improved integration of health and safety into daily work
- increases in productivity and sales which one company felt could be partly attributed to ELMS training.

7.71 We judged levels of additionality to be moderate in two cases and weak in one on the basis that there was some evidence of deadweight (i.e. the company saying that they would have undertaken some of the training regardless of ELMS support, but probably not on the same scale or pace).

7.72 Of the 11 coaching and mentoring supported organisations who participated in qualitative follow-up interviews in 2014, five were located in the Convergence area and six in the RCE area. It should be noted however that eight of the 11 coaching and mentoring organisations we managed to re-interview, eight were not for profit organisations or social enterprises.

7.73 Feedback on the quality of the coaching and mentoring training was overall very positive (in-line with survey results). In terms of the extent to which skills gained from coaching and mentoring training were utilised, we judged that this was high in four cases, moderate in four cases and low in three cases.

7.74 Positive outcomes reported by the 11 case study organisations included:

- improvements to staff appraisal and supervision processes, staff morale and staff retention rates
- improved relationships with volunteers
- the introduction of an internal coaching programme
- some limited (albeit unquantifiable) improvements in staff productivity

- improvements in communication and approaches to partnership working.

7.75 In terms of additionality, we judged this to be weak in six cases (where organisations said that they would in all probability have sourced similar training and paid for it had it not been for ELMS), moderate in one case and strong in four cases where the evidence suggested that it was highly unlikely that the training would have taken place without ELMS support.

7.76 In terms of the extent to which cascading had taken place, the evidence from the 11 follow-up case studies suggested that this was weak (with little or no evidence of formal cascading having taken place) in seven cases, moderate (with some limited evidence of informal cascading having taken place) in one case and strong (with good evidence of informal or formal cascading having taken place) in three cases.

#### *2012 and 2013 Case Study Re-interviews – Overview of Findings*

7.77 Turning to the qualitative re-interviews with companies first seen as part of the 2013 update report fieldwork, the main findings in relation to **workshop** supported companies (four in total) included evidence of:

- improvements in participant confidence and ability levels
- repeat training via ELMS
- one (workshop) participant having been promoted (though direct attribution to the workshop training was weak)
- directors/managers encouraging other, more junior staff to participate in other forms of training and learning opportunities

7.78 In terms of companies first interviewed in 2013 and supported via the **discretionary fund**, (six in total) findings from our re-interviews included evidence of:

- further use/retention of an ELMS training provider
- staff having moved on with their employers saying that the ELMS training and qualifications gained made these individuals more employable

- a clearer understanding of staff roles and responsibilities
- some increases in turnover and productivity
- one new job having been created (partially attributed to ELMS)
- progression to coaching and mentoring training
- staff promotion.

7.79 In terms of companies first interviewed in 2013 and supported via the **coaching and mentoring strand**, (seven in total) findings from our re-interviews included evidence of:

- further participation in ELMS workshop training.
- improvements to staff appraisal process and the introduction of a more formalised in-house leadership and management development programme
- expansion and growth via increased sales/income (though direct attribution to ELMS was low)
- learner progression (with one example of progression to a Masters course)
- high staff morale and low staff turnover
- one coaching and mentoring participant having cascaded the learning to five other colleagues. This person had also themselves been promoted and that an estimated 20-30 percent increase in turnover could be partly attributable to the coaching and mentoring training undertaken.

7.80 We undertook qualitative re-interviews (third wave interviews in 2014) with 15 ELMS supported companies from our interim evaluation in 2012. These re-interviews included evidence of:

- additional staff participation in ELMS workshop training
- increased confidence levels amongst participants
- progression from workshops into the coaching and mentoring strand (with Level 5 and Level 7 qualifications being achieved by the people concerned)
- initial, short term benefits from workshop participation but these benefits had faded over time

- improved internal communication which in one instance had helped participating managers through a difficult period of change
- improved staff retention levels and staff promotion (both with partial attribution to ELMS).

### **Stakeholder evidence – Effects and Impacts**

7.81 Stakeholders, particular training providers, argued that trainees participating in ELMS workshops gained increased confidence in their leadership and management abilities, though one provider argued that it was unrealistic to expect significant, attributable impacts, particularly at an organisational level, from participation in such short courses.

7.82 Other providers pointed to the fact that some employers were undertaking further leadership and management training and paying for it (after the withdrawal of ELMS) as evidence that there would have been positive outcomes. These providers were, however, keen to stress their view that the initial financial support via ELMS had played a pivotal role in getting them involved in leadership and management training in the first instance.

‘A lot of businesses are coming back even without the funding and paying for the training...I think without funding though they would not have attempted the training in first place and this has allowed them to see the return on investment’. (ELMS training provider)

7.83 Providers argued that for the discretionary fund, the utilisation of skills from this strand had been positively high. While qualification outcomes had not been a major consideration, discretionary fund training had, according to providers, enabled trainees to improve team building and team operation as well as improving the way managers thought about business strategy. One provider also said that they had seen very positive examples of discretionary funded trainees ‘passing on’ their skills to others within the organisation.

7.84 The general view from stakeholders was that the coaching and mentoring strand, which was viewed internally by Welsh Government officials as a pilot, had probably been 'too small scale' in nature to permit any meaningful judgements about its overall impact. However, many were unsighted as to the extent of the potential positive impacts and felt unable to comment.

7.85 One of the coaching and mentoring training providers felt confident that the training would have led to positive impacts for individual participants in terms of their own coaching and mentoring abilities, but were less convinced as to whether these skills would then have percolated through to other managers via the cascading concept. In practice, this provider felt that there needed to be a significant commitment to a 'coaching and mentoring culture' within an organisation to enable the cascading effect to take hold but that in many instances, companies simply did not have the time, resources or the level of buy-in at senior levels to ensure the on-going support required for the transfer of coaching and mentoring skills to gather momentum in any formalised way.

## **8 Conclusions and Recommendations**

- 8.1 When ELMS was conceived and subsequently launched in 2009, improving leadership and management skills amongst businesses in Wales was a key policy priority for the Welsh Government. To help achieve this goal, ELMS was an ambitious programme which originally set out to train more than 43,000 participants and to support over 16,000 companies across Wales with a combined budget of more than £65 million.
- 8.2 In practice, ELMS never quite managed to deliver on this scale. In the end, it trained over 20,500 people and supported over 4,000 companies in Wales with leadership and management having spent some £20 million in the process.
- 8.3 Taken in isolation, this is clearly a significant achievement in terms of stimulating participation in leadership and management training in Wales. However, set against the scale of its targets, ELMS has under-spent and under-delivered in both the Convergence and RCE areas. Ultimately therefore, while the logic for ELMS was sound, its scale was overly-ambitious in the context of demand.
- 8.4 A number of issues have contributed to the programme's under-performance against its stated targets but three key reasons stand out as being particularly significant.
- 8.5 Firstly, up-take of ELMS discretionary fund training via the Workforce Development Programme was much lower than envisaged, due in part to a lack of visibility (packaged as it was within the Workforce Development programme) but also in part to there being other ESF and Welsh Government funded programmes that provided companies with

alternative (and sometimes more generously subsidised) options to access the same or similar training.

- 8.6 The bespoke and flexible nature of the discretionary fund was clearly very well received by employers and it is, in our view, a missed opportunity that Welsh companies were not encouraged to make more use of it. In this context, it is particularly disappointing that the discretionary fund did not support a larger number of companies and individuals than it did.
- 8.7 Secondly, there were delays in commissioning the coaching and mentoring strand which ultimately performed well but started late in the day. This had the effect of restricting the scale of what could be delivered within a condensed timeframe.
- 8.8 Thirdly, there were significant issues with the development and implementation of the Sector Leadership Fund (SLF) strand to the extent that it has not been possible to fully evaluate the contribution of the individual sub-projects to the ELMS programme.
- 8.9 Our conclusion in relation to the SLF (based on the limited, stakeholder evidence available) is that leadership and management training with a sector specific slant could have been commissioned more efficiently via either the ELMS workshop or discretionary fund strands and did not require the added complexity or costs associated with a suite of discrete sub-projects.
- 8.10 There were also some early, operational challenges in relation to the open-access workshop strand with an initial lack of clarity as to what type of training was desirable and should be eligible under this strand of the programme. In this context, senior Welsh Government managers could have provided a clearer policy steer and better operational support to DfES officials involved in managing programme delivery. The knowledge and expertise available at the time to Welsh Government via

the Leadership and Management Wales Centre for Excellence (LMW) could also have been drawn upon more extensively during those early stages to help shape the programme's delivery. The fact that it was not was a real missed opportunity.

- 8.11 This issue of defining the type of training to be funded was largely resolved as delivery progressed and as those overseeing it on a day to day basis (within Welsh Government) became more experienced in dealing with providers. However the fact that there was a lack of continuity in the role of ELMS project manager had a negative effect in terms of the overall delivery strategy and created uncertainty for staff and external contractors.
- 8.12 Most of the companies that participated in ELMS had specific reasons for doing so and had fairly clear expectations about what they wanted the training to achieve – most notably an improvement in the skills of their senior managers. The fact that ELMS provision was either free of charge or subsidised (by how much depended on the programme strand and company size) was also a very attractive feature to companies, with the open-access workshops in particular fulfilling their intended purpose as an introduction for many, particularly smaller businesses, into leadership and management training.
- 8.13 The vast majority of companies got to know about ELMS training and were encouraged to participate by the provider that eventually delivered it to them. Feedback about the quality and relevance of the training (across the workshop, discretionary fund and coaching and mentoring strands) from participating companies has been consistently good and in the vast majority of cases (93 percent) has met the expectations of participating companies which is a very positive achievement.
- 8.14 Workforce Development Advisers (WDAs) also played a role in promoting awareness and advising some companies about accessing ELMS (particularly the discretionary funding strand) and, where this has

been the case, feedback on the added value of the WDA role was positive.

- 8.15 Gaining a qualification was never a core motivation for participation in ELMS. The actual skills gained were seen as being far more important and valuable. To some extent, this is reflected in the under-performance (in both Convergence and RCE) against the qualifications targets. However, there is a clear discrepancy between the monitoring information and findings from our survey which show that a far higher proportion of companies said that their participating employees had gained qualifications.
- 8.16 The overall conclusion in relation to the cross-cutting themes is also one of under-performance by ELMS. While in proportionate terms (though not in terms of outright learner numbers) some targets relating to learner backgrounds were met (e.g. for the proportion of older and BME learners gaining qualifications in the RCE area), a key target relating to the overall proportion of male and female participants was missed in both the Convergence and RCE areas. The emphasis on the cross cutting themes within the actual delivery of ELMS has also been limited and more about compliance (with ESF monitoring requirements) than it has on incorporating or mainstreaming equalities or sustainable development into the everyday practices of Welsh businesses and the leaders and managers that were trained.
- 8.17 In terms of the effects and impacts felt by companies and individuals ELMS delivered some positive outcomes, particularly for SMEs. Skills utilisation has been high with the vast majority of companies that participated in ELMS workshops or discretionary fund training saying that trainees were able to put their newly acquired skills into practice.
- 8.18 As would be expected, the effects of the more intensive discretionary funded training have been more positive (in terms of participant

behaviour and ability outcomes) than the lighter touch open access workshops.

8.19 Our conclusion is that these two intervention types have had a greater impact in terms of overall behaviours and inter-personal skills than in terms of the acquisition or improvement of more specific skills.

8.20 In terms of the coaching and mentoring strand, it was very much the intention that skills should be 'cascaded' throughout participating businesses. The survey data showed that this concept had worked well and feedback on the quality of the training delivered was excellent. However, the qualitative evidence challenges the extent to which these skills have percolated through and shows that cascading activity has been more limited and far more informal than originally envisaged. Some stakeholders concluded that this concept was flawed and that it was unrealistic to expect this model to create a step change in moving towards a more proactive culture of coaching and mentoring within Welsh businesses. This may be true, but despite the delay and issues around commissioning this strand of the programme, we conclude that it was, overall, a worthwhile exercise and the learning from it should be proactively disseminated by Welsh Government to help inform the design of any future interventions of this nature.

8.21 In terms of the effects and impacts of ELMS on participants, the evidence shows that training has led to a range of positive outcomes for instance in relation to increased confidence, improved staff morale and team working, with the discretionary fund having been particularly effective in this respect. There is also evidence to suggest that the programme has led to positive outcomes for some trained staff in terms of promotion and being given greater levels of responsibility. The programme seems to have been somewhat less effective however in relation to influencing levels of pay for training participants.

- 8.22 At an organisational level, the evidence shows that ELMS has led to positive effects in relation to productivity and efficiency with the discretionary fund training having been the most effective of the three intervention types in this respect. The evidence in relation to effects on profit levels is somewhat less compelling although the longitudinal survey data suggests an increasing tendency to attribute positive changes to profitability over the longer term.
- 8.23 Also encouraging was that most ELMS supported businesses reported that they would take part in further leadership and management training with a high proportion of those saying that ELMS had made it more likely they would do so.
- 8.24 In terms of the effects of ELMS training over time, the longitudinal evidence more generally is not consistent, although there is some evidence of an increased propensity to perceive benefits in terms of organisational performance over time. In reality, however, the sample for the third wave is too small to draw any firm conclusions, while the fact that the vast majority of participating companies benefited from the lighter touch open access strand may well account for the more limited evidence of longer term cultural change in businesses than might have been expected at the start of the evaluation.
- 8.25 Overall then, despite the various performance and operational challenges and ultimately the early withdrawal from delivery, ELMS has succeeded in generating a range of genuinely positive effects. While broader evidence from the Wales Employer Skills Survey shows that its wider population impact cannot be described as transformational, ELMS training has been of good quality, has been well received and utilised and has benefitted the companies and individuals that it supported in Wales.
- 8.26 A series of recommendations are made in relation to the design and implementation of future programmes.

### **Recommendation 1**

8.27 The Welsh Government should incorporate the key learning points from ELMS into the design of future training programmes. In terms of design, a key learning point is that the scale of future programmes should be informed by and should be commensurate with evidence of demand and projected levels of up-take to reduce the need for re-profiling. The Welsh Government should also be definitive and specific about what kind of training courses are included (and eligible) within the scope of a programme from the outset so that providers and companies are clear about what is available and what is not. In this context, a clear logic chain linking courses and course content to the identified need (or market failure) and the desired outcomes should be incorporated as part of future programme design.

### **Recommendation 2**

8.28 The Welsh Government should learn from the experience of the Sector Leadership Fund and carefully consider whether introducing a discrete and additional tier of sub-projects is the most effective way of delivering targeted or sector specific training provision. Before introducing a tier of sub-projects to the design of a programme such as ELMS, the Welsh Government should in future explore whether provision can be incorporated more efficiently within the 'core' programme offer while being tailored or modified to meet any specific requirements.

### **Recommendation 3**

8.29 The Welsh Government should look to build on good practice from ELMS and in particular the discretionary fund where there have clearly been benefits to companies from identifying and selecting the training they need with the assistance of impartial Workforce Development Advisers. However, the Welsh Government should make sure that any future programmes are designed in a way that companies are fully aware of and understand the full extent of the offer available to them. In the case of ELMS, the availability of leadership and management

training via the Workforce Development Programme was not particularly visible and this affected the level of up-take.

#### **Recommendation 4**

8.30 The Welsh Government should learn from the experience of ELMS in relation to the cross cutting themes. Specifically, the cross cutting themes need to be a far more prominent feature in the design and implementation of future ESF funded programmes of this nature. This should include setting out more clearly (for example via procurement and diagnostic processes) what the expectations of contracted providers (e.g. training providers and Workforce Development Advisers) are in relation to the cross-cutting themes. The Welsh Government should also review and strengthen its monitoring systems and practices in relation to cross cutting theme targets to ensure that sufficient evidence exists to support outputs and results.

#### **Recommendation 5**

8.31 The Welsh Government should learn from the experience of the Coaching and Mentoring strand of ELMS by ensuring that the procurement of training delivery providers allows a sufficient delivery window to enable new approaches to be thoroughly tested and evaluated. The Welsh Government should also take account of the mixed evidence from the cascading effects of the coaching and mentoring strand and should limit its expectations in relation to the extent to which trained individuals will themselves be able to go on and train others within their organisations without some form of on-going further support.

#### **Recommendation 6**

8.32 The Welsh Government should take account of the impact of high levels of staff turnover in key project management roles in implementing large programmes such as ELMS. As far as is possible, the Welsh Government should promote and facilitate continuity in project and

programme management staff to ensure clear strategic and operational direction throughout.

8.33 In addition to programme specific recommendations, we also offer recommendations relating to the evaluation of programmes such as ELMS.

### **Recommendation 7**

8.34 In terms of evaluating future programmes, the long-term approach taken to evaluating ELMS which combined formative and summative elements has been effective and has enabled a thorough analysis of both process and impact aspects and the Welsh Government should continue to adopt this approach for major policies and programmes in the future. Combining quantitative and longitudinal surveys with robust qualitative evidence has enabled findings to be tested, refined and shared with management and delivery staff during implementation though in the case of ELMS the lack of continuity in programme management staff limited the benefits of this somewhat.

### **Recommendation 8**

8.35 The scoping phase of the evaluation concluded at the time that there were no easy or proven solutions in terms of developing robust approaches to estimating the counterfactual of a programme such as ELMS. While this is clearly a complex methodological consideration, the Welsh Government should continue to explore quasi-experimental ways of undertaking counterfactual impact analysis including the use of synthetic or virtual control groups as new literature and data sources become available.

## **Annex 1**

### **Case Study Evidence – Summary Overviews**

## Part 1: 2014 Case Studies

### Intervention Type: Discretionary Fund

Company	Area	Utilisation	Additionality
14B	Conv	Moderate	Weak
<p>A Housing Association, 14B participated in a wide variety of DF funded training. All together, they accessed 10 different courses run by four training providers covering leadership and management skills, equality and diversity and procurement and supply. Overall, 14B were happy with the quality and the relevance of the training, and the main outcome was that there was a cultural shift with managers taking on more responsibility than previously. The training would probably have been done without ELMS funding, as the need for it had been identified in the corporate improvement plan.</p>			
14H	RCE	Moderate	Moderate
<p>Company 14H sent 40 members of staff on non-statutory Health and Safety courses relevant to their roles as site managers and supervisors. Generally, 14H had been very happy with the quality of the training, with a few minor complaints about paperwork. The main outcome of the training was improved awareness of Health and Safety by staff, and improved integration of it into daily work. It also enabled the company to double their on-site supervisory staff. The qualifications gained were felt to be attractive to potential clients and had helped the company win work. There was some evidence of deadweight, as the training would have been paid for at full market rate if the ELMS funding had not been available. However, it is likely that the numbers of staff participating in the training would have been much lower, and thus the effects much less.</p>			
14I	Conv	Moderate	Moderate
<p>Company 14I participated in sales management and general management training and workshops through discretionary funding. One member of staff also completed a Level 7 coaching and mentoring course. It was generally felt the different strands of training had complimented each other well and had been of a good quality, although some of the training had been a bit too 'academic'. It is unlikely staff would have been able to access the same variety of training without ELMS funding, as it was felt that training for management level was not a priority – this has now changed as a result of involvement with ELMS. Since completing the training, the company has experienced one of its best years in recent history. While no direct links can be made between the two, it is suspected that the positive changes are partly attributable to the increased confidence and productivity in sales managers bought about as a result of the support. It is it highly unlikely that the same amount of training would have taken place without ELMS funding.</p>			

Source: Qualitative fieldwork interviews with participating businesses

## Intervention Type: Coaching and Mentoring

Company	Area	Utilisation	Additionality
14A	Conv	High	Weak
<p>The director of the 14A, a third sector organisation, decided to participate in C&amp;M training to help them in their role of developing external stakeholder relationships and managing change. They rated the quality of the training very highly and would have been fully prepared to pay for it if needed. The participant has used their new skills extensively, but there has been no cascading or formal transfer of skills to others – however, this was never the plan. Overall, the training has had no direct impact on any performance related indicators, but has to some extent helped the organisation become more sustainable by helping the participant develop external stakeholder relations.</p>			
14C	RCE	High	Moderate
<p>The participant from company 14C gained Level 3 and 5 coaching and mentoring qualifications as a result of their training. Their new skills were then used to improve the company's existing appraisal process, which led to a marked improvement in both staff morale and retention of existing staff. The C&amp;M skills have been cascaded through to all managing directors of the company and several other supervisors, with some going on to coach other staff, with mixed results. The organisational culture was also thought to have changed significantly since the ELMS training with training in general being given higher value. However, no tangible economic impacts as a result of the training were identified, and it was felt the company would have looked for similar funded training if ELMS funding had not been available (though not necessarily coaching and mentoring training).</p>			
14D	RCE	Moderate	Weak
<p>One participant from 14D, a third sector organisation, went on the coaching and mentoring training at their own request. While the quality and relevance of the training was rated highly, ultimately the participant did not achieve their Level 7 qualification due to administrative issues as a result of them being previously educated elsewhere in Europe. The participant felt that they had been able to put their new skills into practice to a certain extent, but with clients as opposed to staff. Outcomes include improved relationships with volunteers. The participant was already a qualified personal and corporate coach, who undertook the training on their initiative. They would have found a similar course and paid for it themselves if ELMS funding had not been available.</p>			
14E	RCE	Low	Weak
<p>One of the members of staff of 14E participated in coaching and mentoring training. They had become aware of a course being run in the local area via an email from a training provider they had been in previous contact with, and was attracted by the fact it was funded and being run in the local area – these were very important factors in allowing them to take up the training. Company 14E was happy with the training received, but the participant had yet to cascade any of the skills learnt or put them into practise themselves due to lack of time. Thus there had been very little impact on the organisation itself.</p>			
14F	RCE	Low	Strong
<p>14F, a not-for-profit community organisation, sent a representative on ELMS coaching and mentoring training. There were several reasons for participation; including wanting to manage volunteers in a more 'informal' style and a coaching culture being a requirement for certain funding the organisation was applying for. The training</p>			

<b>Company</b>	<b>Area</b>	<b>Utilisation</b>	<b>Additionality</b>
			<p>would definitely not have taken place had it not been for ELMS funding. The participant gained a qualification at Level 3, but the funding ran out after their Level 5 assignment had been referred. The training took place in late autumn, and the majority of the organisation's activities occur in the summer months so the participant has yet to utilise their skills with volunteers. It was felt that the training had helped the participant with regards to paid employment and getting a new, albeit temporary, job.</p>
14G	RCE	Moderate	Strong
			<p>The manager from social enterprise 14G participated in ELMS coaching and mentoring training and achieved a CMI Level 3 award. Feedback on the course was very positive, especially with regards to the delivery style. The main outcome had been an improved staff supervision process. The participant had also used some of the coaching and mentoring skills with other members of the community organisation that oversees the social enterprise, with limited success. No evidence of specific productivity or profitability improvements. Without ELMS funding, 14G would not have been able to undertake such training, and it is highly unlikely they would have been able to undertake anything similar, even though the need had been identified. The deputy manager of 14G also completed several ELMS workshops that formed part of a longer course with the same provider, but was unable to complete the course as the funding finished.</p>
14J	RCE	High	Strong
			<p>One manager from 14J participated in ELMS coaching and mentoring training as a result of an identified need for senior level coaching. Feedback was very positive about the course and the trainers. There have been several positive impacts as a result of the training, including the implementation of a company coaching programme and a general coaching culture – the latter has been recognised by external accreditation bodies. The skills have also been cascaded via team leaders with positive results. It was felt staff productivity had increased, but this was unable to be quantified. Given the need for such training had been identified, 14J would likely have paid for similar training.</p>
14K	Conv	Low	Weak
			<p>One of social enterprise 14K's directors is currently undertaking ELMS funded coaching and mentoring training. The training is delivered in the workplace. The director rated the quality of the course and the delivery tutors highly, but as the support is still ongoing it is too early to fully assess the full impact of it. It is unlikely that the participant would have enrolled on the training if funding had not been available.</p>
14L	Conv	Moderate	Strong
			<p>The owner of Company 14L participated in ELMS funded coaching and mentoring training (Levels 3 and 5). The course was delivered in blocks of one or two days over several months. The owner became interested in the course after receiving an email about it from the training provider. The training provider was key to the participant enrolling on the course - the owner had previously completed other training with them and had had a very positive experience. Without this relationship, the owner would not have considered this type of training at all. The participant rated the quality of delivery highly, especially the practical and interactive style of delivery. While there is no evidence of impact on the profitability of the company, the owner felt the staff were generally more productive. There also appears to have been several softer impacts on the workforce, including staff working together more cohesively and supporting each other as mentors, even though there has been no formal cascading of the new skills. As a result, the owner is in a better position to take a step back from the business and allow others to take care of the day to day running.</p>

<b>Company</b>	<b>Area</b>	<b>Utilisation</b>	<b>Additionality</b>
14M	Conv	High	Weak
<p>Organisation 14M is a not-for-profit organisation. Two members of staff completed Level 5 coaching and mentoring training. The direction for involvement came from above - one of the organisation's directors had recently completed a Level 7 coaching and mentoring qualification and was keen for others to do something similar. As a result, the company would have been prepared to pay for similar training if needed. Feedback on the course was generally very positive, with the only weakness identified was that there were a mix of learners working towards different levels of accreditation in the same group. The main outcome is that coaching is now an integral part of the organisation's management development programme with the aim being to cascade the new skills via this method.</p>			
14N	Conv	Moderate	Weak
<p>Organisation 14N is a third sector organisation. Two members of staff with management responsibilities attended three different ELMS funded coaching and mentoring courses between them. The motivation for involvement was the organisation was looking for different ways to better engage with their beneficiaries. Feedback on the courses was very positive. The main outcomes to date have been a change in the way they communicate and help both beneficiaries and fellow staff, and improved partnership working. No evidence of cascading, due to lack of time. Had the ELMS option not been available, they would have continued to consider other methods of improving engagement, though not necessarily training.</p>			

## Part 2: 2013 Case Studies

### Intervention Type: Workshops

Company	Area	Utilisation	Additionality
13G	Conv	Moderate	Strong
<p>Company 13G participated in a series of NEBOSH and Prince 2 workshops via ELMS. They rated the quality and relevance of the workshops very highly. Company 13G do not regularly participate in training and is it highly unlikely that the training would have taken place without ELMS funding. Outcomes have included improved confidence for the participants and this has led to more effective delegation. Other changes visible to staff have included improved health and safety procedures to meet legislative requirements and improved relationships between an in-house health and safety team and managers who now have a better understanding of each other's roles.</p> <p>During a follow-up visit in 2014, the importance and impact of the health and safety qualification gained as a result of the training had been recognised, with the participant acknowledging increased confidence and ability as a result of the training.</p>			
13K	RCE	Low	Moderate
<p>Company 13K is a sole trader which is a training business itself. The owner of 13K was already very training aware and had attended around eight different ELMS workshop sessions. The owner of 13K felt that overall, the training had been good, though the approach to some workshops had been quite academic. The content of the workshops were highly relevant to the business context and 13K felt that the workshops offered good value for money citing that they would not have been able to justify paying the full market value. No evidence of hard outcomes as yet, though 13K was confident that the training will help advance the business in the future, broadening the range of what can be offered to clients.</p> <p>No follow up visit was able to be undertaken with Company 13K in 2014.</p>			
13M	RCE	Moderate	Moderate
<p>Three managers from Company 13M participated in ELMS workshops on coaching and motivation. Company 13M has an in-house training programme but has recently started to trial the use of coaching. It would have been unlikely that 13M would have undertaken the training without ELMS support. They rated the quality of the course and the provider highly and participants felt that the course had helped them change and improve their way of thinking. There was also some evidence of benefits in terms of improved staff communication (i.e. between teams and departments). Evidence that participants have taken on some additional responsibilities, though no evidence of promotion or pay increases. Qualifications were not a motivation for involvement, though 13M had recently commissioned further training for senior managers.</p> <p>No follow up visit was able to be undertaken with Company 13M in 2014.</p>			
13P	RCE	Moderate	Strong
<p>13P is a charity based in the RCE area. Two of its managers participated in ELMS workshops. Feedback on the quality and relevance of the workshop training was good and the participants valued the interactive nature</p>			

Company	Area	Utilisation	Additionality
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of the sessions in particular. Outcomes from the training include improvements to the participant's morale and, as a direct result of the training the managers of 13P had decided to make a change in the management structure of the organisation. No evidence of hard outcomes in terms of productivity or efficiency for 13P, but the participants feel that the organisation is functioning more effectively as a result of the ELMS training undertaken. Organisation 13P would not have been able to afford the training without the assistance of ELMS.

During a follow-up visit in 2014, it became clear that further staff had undertaken ELMS-funded training. Also, a participant interviewed in 2013 had been promoted to a new role within the organisation which involved the management of staff. It was not clear if this promotion was a direct result of the training.

13Q	RCE	Low	Weak
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Company 13Q is owned by an American parent company. One of their staff participated in a NEBOSH National Diploma over three years involving six week blocks of intensive activity followed by a dissertation which the participant is yet to complete. The training led on from an initial NEBOSH certificate that the participant undertook. The purpose of the training was to enhance health and safety capability within the company. Outcomes for the learner included increased motivation and improved confidence and additional responsibilities including for example overseeing a BSI audit. These additional responsibilities have not led to a formal promotion or pay rise.

No follow up visit was able to be undertaken with Company 13Q in 2014.

13V	Conv	Low	Strong
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At the time of the ELMS training, Company 13V was a sole trader but has since incorporated and now employs four people though this growth was not attributable to the training undertaken. The owner of Company 13V is also a Welsh Government HRD Advisor. The owner of Company 13V gave good feedback about the ELMS workshops attended citing an appropriate balance of practical and academic content. The networking opportunities offered by the workshops was also valued and overall company 13V felt that they offered good value for money. Company 13V would not have been able to undertake the training had it not been for the subsidised nature of the ELMS workshops. The main outcome had been the increased confidence of the owner of company 13V.

During a follow-up visit in 2014, it was found that two of the company directors had undertaken further ELMS-funded training, and both successfully completed Level 3 and Level 5 coaching and mentoring training accredited by ILM. The motivation for this training was to gain the qualifications which would enable them to tender for certain work. Involvement in the programme has also led to staff seeking out further learning opportunities.

13W	Conv	Moderate	Strong
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In total, 10 managers from Company 13W participated in ELMS Workshops on 'inspiring shared vision and learning through change', 'motivating the team' and 'managing performance'. Prior to the training, Company 13W had been restructuring itself and holds liP status. Feedback on the training workshops was positive overall, though the main contact at 13W said that a follow-up evaluation of how the skills were being utilised might have been of additional benefit. The training was thought to have offered good value for money, though

Company	Area	Utilisation	Additionality
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13W would not be prepared to pay full market value for such training in the future, since they were aware that there was a wide range of free or heavily subsidised training available via the Welsh Government. Outcomes included that participants were more aware of their leadership styles and more focused senior management team meetings. The expectations on more junior managers had also been clarified and their time is used more effectively. As a result of the workshops, senior managers are keen to introduce a culture of coaching and mentoring into company 13W.

Shortly after the initial case study was undertaken, the company was found to be in trouble and was bought out. The company was subsequently 'slimmed-down'. When revisited in 2014, the majority of managers who had participated in the original training had left. The remaining staff were still using the skills and knowledge from their ELMS training, but given the structure and size of the company had changed dramatically the main contact found it difficult to attribute any changes in business performance to the ELMS training.

13Y	Conv	High	Weak
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Company 13Y employs 65 people. Three of its staff participated in an ELMS funded Site Supervisors Safety Training programme. The course was 50% funded by ELMS. The motivation for participation was that some of Company 13Y's clients had been asking for staff to have the qualification in place. Deadweight was a considerable factor in the instance of Company 13Y as they would have had to undertake the training regardless of the ELMS funding available on a compliance basis – which was the main outcome of the training.

During a follow-up visit in 2014, 13Y revealed that they also received approx. £30,000 every year specifically for training via a sector specific training board – the funding and training provided by ELMS was described as 'minimal' compared to this other source and as such attribution to the programme was deemed to be minimal.

#### Intervention Type: Discretionary Fund

Company	Area	Utilisation	Additionality
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13C	Conv	High	Strong
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An engineering company, 13C participated in DF funded NEBOSH training and a Lead Auditor Course. Overall, 13C were happy with the quality and the relevance of both courses though were critical about some aspects of the quality of delivery of the NEBOSH course as a result of administrative issues. Utilisation and added value was good, with the participant qualified as a lead auditor. This might have been done without ELMS funding, though at a much slower pace. Other outcomes include increased confidence for the participant who now feels better equipped to take on the responsibilities of a more senior colleague when they retire.

No follow up visit was able to be undertaken with Company 13C in 2014.

13D	Conv	Moderate	Weak
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Company 13D sent three people on an HR for non HR managers course. No attribution in terms of business

Company	Area	Utilisation	Additionality
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performance in relation to turnover or profitability. However, some evidence of participants having taken on additional responsibilities. Evidence of some operational improvements and efficiencies (relating to HR processes), though also evidence of deadweight for 13D who said that the training would have been done regardless and that they would have paid for it in the absence of ELMS.

No follow up visit was able to be undertaken with Company 13D in 2014.

13H	Conv	High	Moderate
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Company 13H sent one its managers on an ACCA course on financial management. They rated the quality and relevance of the course highly. This came about more as a result of the ambition of the individual, rather than a desire by Company 13H itself, though managers were supportive of the individual participating. The individual would have eventually pursued training regardless of the availability of discretionary funding via ELMS, though this certainly helped to accelerate the process. Utilisation of the new skills has been good and the participant has since been promoted (with a pay increase) within 13H. The participant from 13H estimated that the training had led to efficiency savings in the region of £15k p.a. (i.e. by identifying the potential saving via new skills gained).

No follow up visit was able to be undertaken with Company 13H in 2014.

13J	Conv	Strong	Moderate
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Company 13J sent one if its managers on discretionary funded training (effectively delivered via a one to one mentoring arrangement) which was focused on business development issues. In tandem, the same person from 13J also participated in an L&M programme run by a Welsh University – the latter focused on helping with specific staffing issues. They had become involved via their Welsh Government WDA who had been very helpful. The content of the ELMS training was relevant and highly rated and was immediately applicable. The on-going, reflective nature of the course (and the need to report progress to the training provider as part of the mentoring intervention) meant that 13J's participant felt compelled to apply the learning in work. There were no qualification outcomes for 13J's participant but outcomes included increasing their confidence to deal with difficult personnel issues. Company 13J may have sent their participant on leadership and management training regardless of ELMS, but the programme meant that they had done more and had done it sooner than would otherwise have been the case.

During a follow-up visit in 2014, it became apparent that the services of the trainer had been retained post-intervention (with the company paying for this directly), such was the value put on the training. Increases in turnover and profitability were also apparent, and were thought to be partially attributable to the ELMS training.

13O	RCE	Low	Strong
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The HR Manager from Company 13O took part in a discretionary funded CIPD certificate in HR practice. Feedback on the training was positive and the content was relevant to the HR Manager's role at company 13O. The company would not have undertaken the training without funding via ELMS. Utilisation has been low to date as the HR Manager went on maternity leave shortly after the course. The participant hopes to utilise their skills upon their return to work from the maternity leave period.

Company	Area	Utilisation	Additionality
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By the time of the follow-up visit in 2014, the participant had left to work in the same role for another organisation. It was felt the qualification received as a result of the training had made the participant more employable, and as a result of them moving on many of the benefits had been lost. However, involvement in ELMS had had a positive impact on the training culture within the organisation and the Director would still offer such training if needed.

13R	RCE	High	Strong
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Company 13R took part in a business leadership growth programme which their WDA helped organise. The course involved all staff in the company and focused on re-engineering job roles as well as strategy development and operational advice. Managers were provided with coaching and mentoring support. Feedback on the training was good, in particular the way it was focused around the business itself. Without the ELMS funding, Company 13R would not have undertaken the training. No formal qualifications were gained as a result of the training but outcomes include improved communication throughout the business and (as a result of the re-engineering of job roles) staff are now more suited to their posts and vice versa. Managers in 13R felt that morale had improved across the business and that the business was also now more aware of environmental sustainability issues. Another important outcome from the training has been the ability of managers to develop and convey the vision and strategy for the business to their staff more effectively. Company 13R has grown (turnover and new staff) since completing the training and there was evidence to suggest that this was at least partially attributable to the ELMS funded course. Two new staff have been recruited via Jobs Growth Wales. The business has focused on its profitable areas and this has unlocked the potential for them to expand.

A follow-up visit in 2014 showed that work instigated as part of the business leadership growth programme was continuing and developing. The business had been completely restructured, and most staff are now partners in the business. Due to the fact that staff now have a better understanding of their roles productivity has increased and increases in turnover and profit are also anticipated by managers in the near future.

13T	RCE	Low	Moderate
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Company 13T's HR Manager participated in a CIPD Level 7 course (yet to be completed). The main motivation for getting involved came from the individual who wished to develop in her current role with 13T and gain a formal HR qualification. The HR Manager followed the course on an open-learning basis using a mix of face to face and electronic resources and training methods. Part of the appeal for the manager involved was the opportunity to meet and network with fellow professionals from different sectors. Benefits included the fact that the participant had gained new ideas and new approaches via the course, though there was no evidence of any link between the training and overall company performance. It is unlikely that Company 13T would have participated without ELMS funding as it was not considered to be a key priority for the business – rather the training was driven by the individual trainee.

By the time of the follow-up visit in 2014, the HR Manager had completed their training and qualification. They had also left the company for a new role. It was felt the benefits of the training had been mainly for the participant, and thus had been lost when they left.

Company	Area	Utilisation	Additionality
13X	Conv	Moderate	Strong

All seven of Company 13X's employees were involved in 'people for profit' training funded via the ELMS discretionary fund. The training had been arranged with the assistance of company 13X's HRD Advisor. The owner of 13X was nearing retirement and was hoping to engineer a management buy-out situation and as part of this process was keen to invest in the leadership and management capabilities of his employees. In practice, what Company 13X received was more than training, it was akin to a whole business review, looking at business strategy and growth opportunities. The course was fully tailored to the company and the feedback was very positive. There were no qualification outcomes, though there was an option for this. Without ELMS funding, the training would not have taken place. Other outcomes have included the improvement of business processes, improved attitude and morale of employees and the fact that it was one part of the longer term process to engineer an MBO. There were no attributable effects in terms of turnover or profitability.

During the follow-up visit in 2014, it was found that as part of the business review a new member of staff had been employed as part of the growth strategy. An increase in turnover was also fully anticipated as a result of the support received. It was felt the financial impact had taken longer to be realised due to the 'slow-burn' nature of developing customer relations in their type of business.

13AB	RCE	Moderate	Weak
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Company 13AB sent three of its staff on an ELMS funded negotiation skills course. Company 13AB participates in a wide range of Welsh Government skills programmes and employs around 500 people excluding sub-contractors. The company identified the need for this training as part of the training and development plans of the three individuals concerned. The training was focused on negotiation skills to improve internal relations and for negotiating external sales contracts. The Training Manager of 13AB said that the company would 'probably' have gone ahead with the training regardless of the ELMS funding. One of the participants has been promoted since the training, though this was not directly attributable. The main outcome has been improved negotiation skills and a positive effect on staff morale according to the Training Manager.

The company undertook further training in 2014 as part of ELMS, including coaching and mentoring training. This training has contributed to the promotion of one member of staff to Operations Manager. The organisation has also completed a Return on Investment Analysis on the coaching and mentoring training received.

13AC	RCE	Weak-Moderate	Weak
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Company 13AC is a small family business employing 14 people. One of their staff participated in a NEBOSH Diploma funded via the ELMS discretionary fund intervention. The motivation for involvement was to ensure that the participant was fully up to date on health and safety issues and could support other staff to be compliant in this respect. The participant enjoyed the training and gave positive feedback on quality and relevance. Company 13AC would probably have commissioned the training regardless of ELMS funding, but this would probably have taken considerably longer. Outcomes include health and safety compliance and transfer of knowledge (e.g. on handling asbestos to others in the company). A follow-up visit in 2014 indicated there had been few further outcomes as a result of the training.

## Intervention Type: Coaching and Mentoring

Company	Area	Utilisation	Additionality
13A	Conv	Moderate	Moderate
<p>Company 13A felt that the coaching and mentoring training they had received was very relevant to their requirement which was articulated by an Investors in People Audit. A senior manager participated in C&amp;M training (and gained level 3 and 5 awards) with a view to then training up managers internally to act as coaches and mentors. In the event, the participating manager could not release sufficient time to cascade the skills to others in the company, but company 13A was convinced of the value and decided to pay for four additional managers to take part in the training, (delivered by the original provider) which was made bespoke to the company and delivered on-site. Overall, it is too early to quantify the full benefits, though the participating manager expected that it would contribute to better team working and overall morale.</p> <p>It was found during a follow-up interview in 2014 that further members of staff had participated in ELMS-funded workshops, with the one participant completing a Team Leader Programme achieving an ILM Level 3 qualification. The longer term effects of ELMS support included a change in training culture within the company, including an improved appraisal process and weekly visits by an independent training consultant. The company had also established a leadership development programme. No economic impacts were discerned.</p>			
13B	Conv	High	Strong
<p>The participant from company 13B did not complete the (level 7) course due to time constraints. However, they were impressed with the quality and in particular the relevance of the C&amp;M training. The training has been used to help formulate staff career development paths, to help implement new procedures for behaviour and attitudes at work and taking a more strategic approach to business development, with a more pronounced emphasis on ensuring quality rather than pure growth. The C&amp;M skills have not been cascaded through to other managers with day to day pressures meaning that this was not possible. However, attributable benefits have included improved staff morale and reduced staff turnover as a result of the career pathway put in place (which led from the ELMS training). Directors are also more productive, linking the strategy for the business more clearly to their day-to-day operations. The organisational culture was also thought to have changed significantly since the ELMS training with professionalised practices and procedures now in place. The C&amp;M participant from company 13B felt that the changes made as a result of ELMS training have in part contributed to successful expansion, with over 20 new jobs having been created in the 12 months since participation.</p> <p>Since the initial visit, the company has expanded and added another site to their portfolio. A new level of middle management has been created in order to effectively manage the expansion process, and the participant has used his coaching skills to help fellow directors through this process.</p>			
13E	RCE	Moderate	Moderate
<p>Company 13E sent two senior managers on the coaching and mentoring training. Both rated the quality and relevance highly and the training led to both getting level 5 awards in coaching and mentoring. Company 13E felt that they had been able to put their new skills into practice. As well as cascading the learning through to other staff, team leaders will also participate in ILM level 3 training during 2014 (possibly via ELMS). Company</p>			

Company	Area	Utilisation	Additionality
13E			
<p>13E is very aware of the availability of training schemes and has participated in other programmes. Outcomes (partially attributable to ELMS) include improved morale amongst the workforce and the participants taking on additional responsibility (though not through formal promotion).</p> <p>No follow up visit was able to be undertaken with Company 13E in 2014.</p>			
13F	Conv	High	Strong
<p>One of the directors of 13F participated in the coaching and mentoring training as part of a strategy to expand the business into new markets. 13F had become aware of ELMS via a speculative e-mail sent from a training provider and this coincided with a desire from the company's MD to develop a more coaching culture within the organisation and an increase in the size of the training budget following a change in ownership. Company 13F was very pleased with the quality and relevance of the training received. The main participant from 13F had passed on coaching and mentoring skills to some 20 staff within the business. Essentially, the participant had adapted elements of the ELMS C&amp;M course and delivered this in-house to other managers. While 13F could not point to attributable gains in terms of profitability, they were able to partially attribute an increase in sales to pre-existing customers post training. A recent employee engagement survey (post training) showed an improvement in most areas. They were assessing whether this might be attributed to a more coaching style.</p> <p>No follow up visit was able to be undertaken with Company 13F in 2014.</p>			
13L	RCE	Low	High
<p>Company 13L sent its marketing manager on ELMS coaching and mentoring training. Prior to this, 13L's main focus had been on training to meet statutory requirements e.g. health and safety. The motivation for participation came from the individual rather than company 13L's directors who were focused on sustaining the business in difficult trading conditions. The training would definitely not have taken place had it not been for ELMS funding. Limited evidence of utilisation in the workplace. Some suggestion that the training may have led to additional sales, though unquantified. Some evidence of improved confidence, motivation and a sense of better personal effectiveness for the participant, though no evidence that this has had a wider effect across the organisation. A follow-up visit was made in 2014, but no further impacts were identified.</p>			
13N	RCE	High	Strong
<p>A manager from Company 13N participated in ELMS coaching and mentoring training and achieved a CMI Level 7 award. Feedback on the course was very positive and Company 13N felt that the practical (and non-academic or theoretical) focus of the course was good. The outcome for the participant had been improved communication skills and this had helped in particular in dealing with difficult situations. The participant had transferred some of the coaching and mentoring skills to other staff within company 13N, in particular those with line management responsibility. No evidence of specific productivity or profitability improvements but the participant felt that improvements in communication were probably contributing to overall benefits in terms of productivity and efficiency in particular. Evidence that the coaching and mentoring training has led to a more proactive (rather than reactive) management style. It was thought highly unlikely that 13N would have undertaken such training in the absence of ELMS.</p>			

Company	Area	Utilisation	Additionality
13S	RCE	Low	Weak
<p>During the follow-up visit in 2014, it became apparent that the participant had been motivated by her initial training to enrol on a Masters Course focusing on coaching and mentoring. It was also felt the company had become more receptive to different types of training as a result of their involvement with the ELMS Programme.</p> <p>Two managers from 13S participated in ELMS coaching and mentoring training, one of whom completed the training – the other did not. Company 13S undertakes a considerable amount of training and have accessed numerous Welsh Government programmes in the past including Skills Growth Wales. A focus for the company's HR Manager has been to train managers to ILM levels 3-5. In the medium term, the aim is to put in place an in-house programme. Feedback was positive about the course and the trainers, though one of the participants was somewhat critical about the logistical and administrative aspects of the training provider's work. Company 13S viewed the ELMS training as a 'try before you buy' on the basis that if it worked, they would buy more themselves. Had ELMS not been available, 13S would only have sent one of its managers to participate. No evidence of cascading or significant benefits from utilisation.</p> <p>No follow up visit was able to be undertaken with Company 13S in 2014.</p>			
13U	Conv	High	Strong
<p>One of Company 13U's managers undertook ELMS funded coaching and mentoring Training. The motivation for involvement was to improve and update management skills within the company, improve profitability and address a number of perceived issues with the business that had been in existence for a number of years. The manager had been extremely satisfied with the quality of the course and the delivery tutors. They had also benefitted significantly from the opportunity to network with other managers via the course. Outcomes include that the manager now has a clearer vision for company 13U and to articulate this more clearly to staff members. Staff morale is noticeably higher and incidents of bullying in the workplace have been eradicated. A culture of greater respect is now evident in the business. Company 13U is now operating profitably, whereas previously it was loss making. The participating manager feels that the positive, problem solving environment within the business has contributed considerably to turning this situation around, which in large measure can be attributed to the ELMS training. Although no formal cascading has taken place, the participant feels that the benefits of the coaching and mentoring training have filtered through the organisation. It was considered unlikely that 13U would have undertaken the training had ELMS funding not been available.</p> <p>During a follow-up visit in 2014, it was found that as a result of mentoring given by the manager to their deputy, the deputy had achieved an NVQ Level 5 qualification which had enabled them to move on to a senior position in another organisation. The manager has also now decided to study for the same qualification, partly because she enjoyed the coaching and mentoring training so much. The impacts around high morale and low staff turnover were still very much apparent.</p>			
13Z	RCE	Low	Weak
<p>The Health and Safety Officer for Company 13Z participated in ELMS funded coaching and mentoring training (CMI Level 7 award). The course was delivered through a series of eight one day workshops. The motivation for the participant's involvement was that they would be succeeding their manager (retiring) in the short term</p>			

Company	Area	Utilisation	Additionality
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and they wanted to develop their leadership skills in preparation for this role. There was a strong focus within the training on Neuro-Linguistic Programming (NLP). The participant was critical of the delivery provider's administration and handling of course logistics. The participant had been required to attend a further two days of training after they had been told that the course was complete in error by the provider which meant that the participant had to seek further time away to complete the course and receive the ELMS funding. Beyond this however, the participant rated the quality of the delivery highly. The networking opportunities associated with the course had proven valuable to the participant and they had kept in touch with a number of peers also on the course. In practice Company 13Z were prepared to pay for the training and the participant was not wholly convinced of the value gained to the company itself. The outcome of the training had been personal to the participant and their particular management style rather than having any wider effect on the business or its employees. No evidence of cascading effect.

No follow up visit was able to be undertaken with Company 13Z in 2014.

13AA	Conv	Low	Weak
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Organisation 13AA is a charity. Its training manager attended three ELMS funded coaching and mentoring courses at Level 3, Level 5 and Level 7. The motivation for involvement was very specific in that the training manager for Charity 13AA delivers training to young people and wanted to apply their new skills in this context. Feedback on the courses was very positive. The main outcomes to date have been in refining the way the training manager delivers their training to young people. No evidence of cascading, though this was never the intention or motivation for Charity 13AA. Had the ELMS option not been available, an alternative course offered by the British Psychological Society would have been pursued.

Since the initial visit in 2013, the participant has provided free coaching to other third sector partner organisations. They have also seen a rise in their own productivity, and felt the training has resulted in better team working when submitting tenders, which has in turn resulted in them winning contracts and gaining income – one example given was a contract worth around an estimated £300,000.

13AD	RCE	Moderate	Moderate
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Company 13AD operates in the service sector in the RCE area and is a wholly owned, commercial subsidiary of a large third sector organisation based in Wales. 13AD employs some 130 staff. A senior manager from 13AD participated in level 3 and level 5 coaching and mentoring training having been made aware of the course by the HR Manager in the parent organisation. The participating manager was looking to improve the confidence of operational staff, encourage them to become better decision makers, take on additional responsibilities, show greater empathy with customers and improve overall service quality. The manager saw the coaching and mentoring concept as fitting very well with these aims. The participating manager was impressed with the overall quality of the coaching and mentoring training received and felt that it was highly relevant to their situation. They passed both level 3 and 5, though this was lower than the level 7 qualification the manager already had. The qualification was not a primary motivation for participation. In terms of utilisation, the participating manager from 13AD felt that the course had definitely influenced their way of working and the way they acted as a mentor to some of their staff. Cascading had to some extent occurred informally with two colleagues – though this has not involved any structured training or handover of coaching

Company	Area	Utilisation	Additionality
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and mentoring techniques. The manager felt that as a result of participating in ELMS, key members of staff within his team were now more confident about taking key decisions, took more responsibility and had improved communications and relationships with customers. Although the participating manager could not quantify by how much, they felt that overall, productivity had improved and that this could in-part be attributed to ELMS.

By the time of the follow-up interview in 2014, the participant had cascaded the learning to a further five colleagues. They had also been promoted to a pan-Wales management role, and thought the training had helped them develop in a way which fitted in well with the company's ethos. It was still felt productivity had improved in response to the training undertaken, and furthermore the 20-30% increase in turnover over the last few years were in part attributable to the coaching and mentoring training.

## Part 3: 2012 Case Studies

### Intervention Type: Workshops

Company	Area	Utilisation	Additionality
A	Conv	Low/Medium	Weak
<p>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.</p> <p>Follow-up interviews were undertaken in 2013 and 2014. During that period, an additional member of staff had been on QMS Internal Auditors Training, and clear benefits were seen in terms of confidence and productivity for the individual.</p>			
B	RCE	Low/Medium	Weak
<p>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.</p>			
E	Conv	Medium/High	Moderate/Strong
<p>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 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.</p>			
I	Conv	Low/Medium	Moderate/Weak
<p>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.</p> <p>Follow-up visits were undertaken in 2013 and 2014. It emerged participants from the company completed courses in coaching and mentoring (at Levels 5 and 7 respectively). This strand had been 'seized upon' by the company, and a coaching culture was in the process of being strengthened and embedded. This was still evident in the final visit, but the company made it clear that they would have invested in coaching and mentoring training even without ELMS funding.</p>			
K	RCE	Medium	Strong
<p>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.</p>			

Company	Area	Utilisation	Additionality
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Follow-up visits were undertaken in 2013 and 2014. While there had been some initial benefits in 2012, the owner felt the training had not been of long term value and it had not been worth the time spent on it.

L	RCE	Low	Weak
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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	Low	Weak
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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 training.

Follow-up visits were undertaken in 2013 and 2014, and no additional or longer-term effects were evident.

O	Conv	Medium/Low	Low
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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.

## Intervention Type: Discretionary Fund

Company	Area	Utilisation	Additionality
C	Conv	High	Moderate
<p>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&amp;M training regardless but at a slower pace.</p> <p>Follow-up visits were undertaken in 2013 and 2014, and it emerged the company had been allocated further discretionary funding for a three year period. Also during this period, the company underwent restructuring and a number of redundancies were made. Improvements in communication as a result of the previous training were essential in managing this change, and it was felt ELMS funding had contributed to an overall improvement in training culture.</p>			
D	RCE	Medium/ High	Moderate/Strong
<p>The main outcome is that project managers can be cited as PRINCE II qualified when competing for public sector contracts. It is 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.</p>			
F	Conv	Medium/High	Moderate/Strong
<p>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.</p> <p>A follow-up visit was undertaken in 2013. By this time, a number of staff had started additional leadership and management training and a number had achieved qualifications across Levels 2 to 5.</p>			
G	RCE	Medium	Moderate
<p>Innovative group project based approach to implementation meant very practical and relevant content. Possible that Company G would have commissioned L&amp;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.</p> <p>Follow-up visits were undertaken in 2013 and 2014. Training activity had increased significantly since the first visit, with the company working with four different training providers. By the time of the final visit, there were several examples of where participants had gained promotions as a result of the training. There was now felt to be a culture of progression, which it was argued was having a positive effect on staff retention.</p>			
H	Conv	High	Strong
<p>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.</p>			

Company	Area	Utilisation	Additionality
Company H were considering undertaking training prior to ELMS, but the programme was the catalyst to making the commitment to proceed			
A follow-up visit was undertaken in 2013. By that time, the company had undertaken further discretionary-funded training. Outcomes realised included increased credibility of managers by their staff and peers. As a result of a business review undertaken as part of the initial training, an apprentice had been taken on who had since been confirmed as a full-time employee.			
J	Conv	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.			
N	RCE	Low	Weak
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.			
Follow-up visits were undertaken in 2013 and 2014. The company had slowly developed and grown during this time, but there was no evidence of economic impacts directly attributable to the training undertaken. Company N said that they would have undertaken the training without ELMS funding, but not to the same extent.			

## **Annex 2**

### **Telephone Survey Questionnaires**

Region	Quota Targets				Total
	Workshop	Coaching and Mentoring Programme	Sector Skills Council led activities	Discretionary	
<b>CONVERGENCE DATABASE:</b>					
<b>Valleys</b>					
<b>South West</b>					
<b>Mid</b>					
<b>North</b>					
<b>COMPETITIVENESS DATABASE:</b>					
<b>South East</b>					
<b>Mid</b>					
<b>North</b>					
<b>Total</b>					

FROM SAMPLE TAKE:

Commitment Type  OLD TYPES IN RED  NEW TYPES HIGHLIGHTED IN YELLOW	<ol style="list-style-type: none"> <li>1. Workshops (<u>ONLY TO BE INTERVIEWED IN UNABLE TO ACHIEVE 100 FROM GROUPS 2 AND 4</u>)</li> <li>2. Training in coaching and mentoring skills (known as the Coaching and Mentoring Programme or the Wales Coaching Initiative (WCI))</li> <li>3. Sector Skills Council led activities (<u>NOTE: MAY BE NONE OF THESE</u>)</li> <li>4. Training allowance</li> </ol>
Training provider	
Number of participants	

### REASSURANCES TO USE IF NECESSARY

- This research is being conducted by IFF research 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:
  - a. **MRS: Market Research Society on 0500 396999**
  - b. **IFF: Christabel Downing or Alice Large : 020 7250 3035**
  - c. **Welsh Government: Alison Spence 02920 821636**

## 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	1	GO TO S3
Transferred	2	
Person left the organisation / never heard of person	3	ASK S2
Hard appointment	4	MAKE APPOINTMENT
Soft Appointment	5	
Refusal	6	CLOSE
Nobody at site able to answer questions	7	
Not available in deadline	8	
Engaged	9	
Fax Line	10	
No reply / Answer phone	11	
Residential Number	12	
Dead line	13	

Company closed	14	
Company moved	15	ASK FOR NEW NUMBER
Reassurances required	16	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	1	CONTINUE TO S3
Referred to someone else at establishment NAME_____	2	TRANSFER AND RE-INTRODUCE
JOB TITLE_____		
Hard appointment	3	MAKE APPOINTMENT
Soft appointment	4	
Refusal	5	THANK AND CLOSE
Not available in deadline	6	
Reassurances required	7	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.**

**The Enhancing Leadership and Management Skills Programme, which you might know better as ELMS, [IF commitment type=Discretionary Support: 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], which I understand your organisation was involved with at some stage during the last twelve months. Is this right?**

Yes	1	GO TO S4A
No	2	ASK S4C
Not sure	3	

IF S3 = 1 & COMMITMENT TYPE=1,2,3 (WORKSHOPS, Coaching & Mentoring Programme OR Sector Skills Council led activities)

S4A **Am I right in saying that staff from your organisation participated in [COMMITMENT TYPE] delivered by [Training Provider]?**

Yes	1	ASK S5
No	2	ASK S4B
Not sure	3	

READ OUT IF NO OR NOT SURE 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	1	SHOW THIS LIST IF <commitment type(s)> = 'workshops']
BPI Training	2	
Centre for Business	3	
Coleg Gwent	4	
Consult Capital	5	
EEF	6	
Fix Training	7	
Learning to Inspire	8	
The Group	9	
The Management Centre, Bangor Business School	10	
TSW Training	11	
University of Glamorgan Commercial Services	12	
Learning to Inspire	13	SHOW THIS LIST IF <commitment type(s)> = 'Coaching and Mentoring Programme']
Worth Consulting	14	
Asset Skills	15	SHOW THIS LIST IF <commitment type(s)> = 'Sector Skills Council led Activities']
Semta	16	
The Care Council for Wales	17	

Improve	18	
Other (SPECIFY)	19	CHECK IF ON LIST OF CODES 1-18 AND IF SO BACKCODE  IF SINGLE CODED AND NOT ON LIST 1-18 THANK AND CLOSE
Don't know / not sure	20	THANK AND CLOSE
If any coded 1-18 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	1	ASK S5
No	2	THANK AND CLOSE SAY: <b>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.</b>
Not sure	3	

ASK ALL IN SCOPE

S5 **I'd like to ask you some questions about your experience of [commitment type], 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	1	GO TO A1
Welsh	2	ASK S6

IF S5 = 2 (WELSH)

S6 **I'm not a Welsh speaker myself, but a colleague who is can give you a call. What would be your preferred day and time?**

Hard appointment in Welsh	1	MAKE APPOINTMENT IN WELSH INTERVIEWER QUEUE
Soft appointment in Welsh	2	
Continue in English	3	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.**

## A 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	1
2 to 5 years	2
More than 5 and up to 10 years	3
More than 10 years	4
Don't know	X

ASK ALL

- A3 **Are there other establishments or sites in your organisation?**

PROMPT IF NECESSARY. SINGLE CODE.

Yes	1
No	2
Don't know	X

IF OTHER SITES (A3=1 OR 3)

A4 **Is the Head Office located...READ OUT**

SINGLE CODE.

In Wales	1
Elsewhere in the UK	2
Elsewhere in Europe	3
Outside Europe	4
(DO NOT READ OUT) Don't know	X

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.

No employees – just the respondent	X
Less than 10 employees	1
10 to 49 employees	2
50 to 249 employees	3
250+ employees	4
(DO NOT READ OUT) Don't know	X

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	1
Same	2
Fewer now than 12 months ago	3
(DO NOT READ OUT) Don't know	X

ASK ALL

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

WRITE IN - CODE TO SOC 2010 MAJOR GROUPS.

--

## B Organisation's Training Behaviours

ASK ALL

**Before I talk to you about the involvement you have had with the Enhancing Leadership and Management Skills (or ELMS) 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	1
No	2
Don't know	3

ASK ALL

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

SINGLE CODE.

<b>To grow significantly</b>	1
<b>To grow a little</b>	2
<b>To maintain its current position</b>	3
<b>To survive</b>	4
<b>Other (PLEASE SPECIFY)</b>	0
(DO NOT READ OUT) Don't know	X

ASK ALL

- 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	1
No	2
Don't know	X

IF HAVE BUSINESS PLAN AND TRAINING PLAN (B1=1 AND B3=1)

- B4 **Does this plan link to the objectives set in the organisation's business plan?**

SINGLE CODE.

Yes	1
No	2
Don't know	X

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

<b>Nothing</b>	1
<b>Less than £5,000</b>	2
<b>£5,000 to £10,000</b>	3
<b>£10,001 to £20,000</b>	4
<b>£20,001 to £50,000</b>	5
<b>£50,001 to £100,000</b>	6
<b>More than £100,000</b>	7
DO NOT READ OUT: Don't know / refused	X

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.

<b>Nothing</b>	1
<b>Less than £5,000</b>	2
<b>£5,000 to £10,000</b>	3
<b>£10,001 to £20,000</b>	4
<b>£20,001 to £50,000</b>	5
<b>£50,001 to £100,000</b>	6
<b>More than £100,000</b>	7
DO NOT READ OUT: Don't know / refused	X

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

# C Route into ELMS

ASK ALL

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

IF COMMITMENT TYPE=4 (DISCRETIONARY SUPPORT)

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

<b>University or Higher Education Institution</b>	1
<b>College or Further Education Institution</b>	2
<b>Generalist training provider</b>	3
<b>Specialist training provider</b>	4
<b>Other (PLEASE SPECIFY)</b>	0
DO NOT READ OUT: Don't know / Can't remember	X

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 6 <sup>TH</sup> CODE)	
<b>Via an HRDA or WDA (READ OUT IF NECESSARY: you might know them better as a human resource development or HRD advisor or, possibly, a workforce development advisor or WD advisor)</b>	1
<b>Via Business.Wales.gov.uk website</b>	2
<b>Via the Leadership and Management Wales (LMW) website (possibly followed up with a phone call)</b>	3
<b>Via the Leadership and Management Wales / Cardiff University taster sessions or networking events</b>	4
<b>Via the organisation delivering the training or workshops</b>	5
<b>Via another learning provider</b>	6
<b>Via a Sector Skills Council</b>	7
<b>Other (PLEASE SPECIFY)</b>	8
(DO NOT READ OUT) Don't know / Can't remember	X

C3 DELETED

IF C2=1 (HRDA OR WDA)

C4 **How helpful was the Human Resource Development Advisor or Workforce Development advisor in helping you secure [IF COMMITMENT TYPE=DISCRETIONARY SUPPORT: Discretionary support through the Workforce Development Programme][OTHER COMMITMENT TYPES: ELMS support]. Were they...READ OUT**

SINGLE CODE

Very helpful	1
Fairly helpful	2
Neither helpful nor unhelpful	3
Fairly unhelpful	4
Very unhelpful	5
(DO NOT READ OUT) Don't know / Can't remember	6

IF C2=1 (HRDA OR WDA) & COMMITMENT TYPE=4 (DISCRETIONARY SUPPORT)

C5 **Did the Human Resource Development Advisor or Workforce Development advisor help you source and select training providers?**

SINGLE CODE.

Yes	1	ASK C6
No	2	ASK D1
Don't know	X	

IF C5=1

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

SINGLE CODE.

Very helpful	1	ASK D1
Fairly helpful	2	
Neither helpful nor unhelpful	3	
Fairly unhelpful	4	
Very unhelpful	5	
(DO NOT READ OUT) Don't know / Can't remember	X	

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	1	ASK D1
Fairly helpful	2	
Neither helpful nor unhelpful	3	
Fairly unhelpful	4	
Very unhelpful	5	
(DO NOT READ OUT) Don't know / Can't remember	X	

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	1	ASK D1
Fairly helpful	2	
Neither helpful nor unhelpful	3	
Fairly unhelpful	4	
Very unhelpful	5	
(DO NOT READ OUT) Don't know / Can't remember	X	

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

C9A **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	1	ASK D1
Fairly helpful	2	
Neither helpful nor unhelpful	3	
Fairly unhelpful	4	
Very unhelpful	5	
(DO NOT READ OUT) Don't know / Can't remember	X	

IF C2=5 OR 6 (LEARNING PROVIDER)

C9B **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	1
Fairly helpful	2
Neither helpful nor unhelpful	3
Fairly unhelpful	4
Very unhelpful	5
(DO NOT READ OUT) Don't know / Can't remember	X

IF C2 = 7 (VIA SECTOR SKILLS COUNCIL)

C9C **How helpful was the Sector Skills Council in enabling you to find the kind of training and support you needed...READ OUT?**

SINGLE CODE.

Very helpful	1
Fairly helpful	2
Neither helpful nor unhelpful	3
Fairly unhelpful	4
Very unhelpful	5
(DO NOT READ OUT) Don't know / Can't remember	6

## D Motivation

IF COMMITMENT TYPE=1 (WORKSHOPS)

- 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
<b>Looking to address specific leadership and management problems that you'd identified within the business?</b>	1	2	3
<b>Were you attracted by the relevance of the specific event to your business?</b>	1	2	3
<b>Were you attracted by the fact the event was free or relatively low cost?</b>	1	2	3

IF COMMITMENT TYPE=2 (COACHING & MENTORING PROGRAMME)

- D2 **What made you or the organisation decide to participate in the Coaching and Mentoring Programme? Were you...:** READ OUT  
GRID. SINGLE CODE ONE PER ROW

	Yes	No	Don't know
<b>Looking to address specific leadership and management problems that you'd identified within the business?</b>	1	2	3
<b>Looking to address wider skills gaps that you'd identified within the business?</b>	1	2	3
<b>Looking to build the capacity to deliver training in-house rather than being reliant upon external learning providers</b>	1	2	3
<b>Attracted by the fact that the training was free or fully funded?</b>	1	2	3

IF COMMITMENT TYPE=3 (SECTOR SKILLS COUNCIL LED ACTIVITIES)

- D3 **What made you or the organisation decide to participate in Sector Skills Council led activities? Were you:** READ OUT  
GRID. SINGLE CODE ONE PER ROW

	Yes	No	Don't know
<b>Looking to address specific leadership and management problems that you'd identified within the business?</b>	1	2	3
<b>Looking for training designed to address leadership and management problems that are typical within your sector?</b>	1	2	3
<b>Looking to address wider skills gaps that you'd identified within the business?</b>	1	2	3
<b>Looking for training that would lead to specific, sector-relevant qualifications?</b>	1	2	3
<b>Attracted by the fact that the training was relatively cheap/heavily subsidised?</b>	1	2	3

IF COMMITMENT TYPE= 4 (DISCRETIONARY SUPPORT)

D4 **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	1
No – the training was done just to improve management skills in general	2
DO NOT READ OUT: Don't know	X

ASK ALL

D5 **When you decided to participate in the [COMMITMENT TYPE], were you hoping it would...**READ OUT

SINGLE CODE PER ITEM.

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

ASK ALL

D5N **What other benefits to the business did you hope to gain [IF COMMITMENT TYPE=DISCRETIONARY SUPPORT: as a result of Discretionary Support?][IF OTHER COMMITMENT TYPES: from participation?]**

WRITE IN
None....v
Don't know....x

ASK ALL

D6 **Was it clear beforehand how the leadership and management skills developed by the training would be applied within your organisation?**

Yes	1
No	2
DO NOT READ OUT: Don't know	X

# E Participation

ASK ALL

E1 **Can I confirm that around [PARTICIPANT COUNT] people from your organisation participated in [COMMITMENT TYPE]?**

SINGLE CODE.

Yes	1	ASK E3
No – more people participated	2	ASK E2
No – fewer people participated	3	
DO NOT READ OUT: Don't know	X	ASK E3

IF E1= 2 OR 3 (MORE OR FEWER PEOPLE PARTICIPATED)

E2 **How many people did participate in [COMMITMENT TYPE] then?**

ENTER NUMBER OR CODE.

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

ASK ALL

E3 **Were any of those that participated in [COMMITMENT TYPE]...READ OUT**

MULTICODE.

Owners	1
Directors / Senior Management	2
Middle management	3
Junior management / supervisory	4
Technicians	5
Shop-floor / clerical workers	6
Other (PLEASE SPECIFY)	0
DO NOT READ OUT: Don't know / can't remember	X

ASK ALL

E4 **Did you personally take part in [COMMITMENT TYPE]?**

SINGLE CODE.

Yes	1
No	2
DO NOT READ OUT: Don't know	X

IF COMMITMENT TYPE= 4 (DISCRETIONARY SUPPORT)

E5 **Was the training undertaken as a result of Discretionary Support through the Workforce Development Programme 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	1
Partly	2
No	3
Don't know	X

IF [COMMITMENT TYPE =3 (SECTOR SKILLS COUNCIL LED ACTIVITIES)

E6 **Was the Sector Skills Council led training undertaken put together as a package specifically for your organisation (rather than staff slotting into courses designed for employers in your sector more generally)?**

SINGLE CODE.

Yes	1
Partly	2
No	3
Don't know	4

ASK ALL

E7 **Where was the training undertaken?** PROMPT IF NECESSARY

MULTICODE OK

At the providers premises	1
At a venue selected by the provider	2
At your organisation's premises	3
In a number of different places, including your organisation's premises	4
Other (PLEASE SPECIFY)	5
DO NOT READ OUT: Don't know	6

ASK ALL

E8 **Which of the following kinds of activities did staff undertake or participate in as part of the [COMMITMENT TYPE]?**

READ OUT. MULTICODE

Long courses (over a period of several months)	1
A development programme comprising a series of linked training sessions, with independent work between sessions	2
Multiple stand-alone training sessions/courses	3
A single stand-alone training session/ course	4
Other types of training activities (PLEASE SPECIFY)	5
DO NOT READ OUT: Don't know	6

## F Reaction

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

ASK ALL

F1 Overall, how would you describe the reaction of the staff who participated in [COMMITMENT TYPE]? Was it...READ OUT

SINGLE CODE.

Very positive	1
Fairly positive	2
Neutral/Mixed	3
Fairly negative	4
Very negative	5
DO NOT READ OUT: Don't know / can't remember	X

IF PERSONALLY TOOK PART (E4=1)

F2 Thinking about the training or activity you undertook most recently, 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 all				Very	Don't know / NA
1. How well organised was the training or activity?	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 COMMITMENT TYPE=2 (COACHING AND MENTORING) AND PERSONALLY TOOK PART (E4=1)

F2A And on the same scale...READ OUT. SINGLE CODE EACH ROW

1. How appropriate were any materials given to participants to use in cascading the training?	1	2	3	4	5	6
---	---	---	---	---	---	---

IF COMMITMENT TYPE=3 (SECTOR SKILLS COUNCIL LED ACTIVITIES)] AND PERSONALLY TOOK PART (E4=1)

F2B **And on the same scale...READ OUT. SINGLE CODE EACH ROW**

<b>1. How relevant was the training to your sector?</b>	1	2	3	4	5	6
---	---	---	---	---	---	---

IF PERSONALLY TOOK PART (E4=1)

F3 **Was the content of the training pitched at the right level for the individuals attending?**  
SINGLE CODE.

Yes	1
No	2
Difficult to say – the individuals had different levels of experience and knowledge	3
DO NOT READ OUT: Don't know	4

IF PERSONALLY TOOK PART (E4=1)

F3A **How would you rate the overall quality of the training...READ OUT?**  
SINGLE CODE.

Very good	1
Good	2
Mixed	3
Poor	4
Very poor	5
DO NOT READ OUT: Don't know	X

IF PERSONALLY TOOK PART (E4=1)

F4 **How relevant was the content of the training to your job?**

READ OUT. SINGLE CODE.

Very relevant	1
Fairly relevant	2
Mixed	3
Fairly irrelevant	4
Totally irrelevant	5
DO NOT READ OUT: Don't know	6

IF PERSONALLY TOOK PART (E4=1)

F5 **How closely did the training meet your expectations? Did it...READ OUT**

SINGLE CODE.

Far exceed expectations	1
Exceed expectations	2
Met 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 (E4=1)

F6 **Which of the following best describes how effectively the training achieved its specified learning outcomes...READ OUT?**

SINGLE CODE.

Fully achieved outcomes	1
Largely achieved outcomes	2
Achieved some of the outcomes	3
Largely failed to achieve outcomes	4
Totally failed to achieve outcomes	5
DO NOT READ OUT: Don't know	6

## G Learning

READ OUT FOR ALL

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

IF COMMITMENT TYPE=1,3 or 4 (WORKSHOPS, SECTOR SKILLS COUNCIL LED ACTIVITIES, DISCRETIONARY SUPPORT)

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

MULTICODE OK.

Business planning and budgeting	1
Change management	2
Coaching and mentoring skills	3
Environmental management	4
Equal opportunities	5
Financial management	6
Higher level health and safety	7
Higher level technical skills	8
Higher level job specific skills	9
Managing people/teams	10
Other (SPECIFY)	11
(DO NOT READ OUT) None of the above	12
(DO NOT READ OUT) Don't know	13

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)

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

Marketing	1
Process management/ improvement e.g. lean, six sigma	2
Procurement/supply chain management	3
Project management	4
Quality management	5
Sales/service/account management	6
Strategic planning	7
Supervisory skills	8
Training skills	9
(DO NOT READ OUT) None of the above	V
(DO NOT READ OUT) Don't know / can't remember	X

IF COMMITMENT TYPE=2 (TRAINING IN COACHING AND MENTORING)

G1B **Did the individual(s) who participated complete the Coaching and Mentoring Programme?**

SINGLE CODE.

Yes	1	ASK G2
No	2	ASK G1C
Don't know	3	ASK G2

IF G1B=2 (NO)

G1C **What prevented them from completing the Coaching and Mentoring Programme?** PROMPT IF NECESSARY

MULTICODE OK

The training is still on-going – participants have yet to complete but are expected to do so	1
Unforeseen work commitments prevented participant(s) from being released to undertake the training	2
The timing of the training did not fit in with business' needs	3
The location of the training made attendance difficult	4
The content of the training was unsuitable	5
The quality of the training was low	6
Participant(s)' personal commitments got in the way	7
Participant(s) turned out not to be the right person/ people for this kind of training	8
Participant(s) didn't enjoy the training	9
Participant(s) became sick	10
Participant(s) left the company	11
Don't know / can't remember	X

ASK ALL

G2 **Did you, or any of those who participated in [COMMITMENT TYPE], achieve any sort of leadership or management related qualification(s) or part qualifications as a result of participation?**

SINGLE CODE.

Yes	1	ASK G3
No	2	ASK G7
Don't know	3	

IF G2=1 (YES: QUALIFICATIONS ATTAINED)

G3 **What level were these qualifications at?**

READ OUT. MULTI CODE.

Level 2	1
Level 3	2
Level 4	3
Level 5	4
Level 6	5
Level 7	6
DO NOT READ OUT: Don't know	X
Other (PLEASE SPECIFY)	0

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	1
The same	2
Lower	3
DO NOT READ OUT: Don't know / varied too much to say	X

IF G2=1 (YES: QUALIFICATIONS ATTAINED)

- G5 **How important was it to the organisation that the individual(s) who undertook the training achieved qualifications. Was it...READ OUT. SINGLE CODE.**

Very important	1
Fairly important	2
Neither important nor unimportant	3
Fairly unimportant	4
Very unimportant	5
DO NOT READ OUT: Don't know	X

IF G2=1 (YES: QUALIFICATIONS ATTAINED)

- G6 **How important was achieving qualifications to the individual(s) who undertook the training...READ OUT. SINGLE CODE.**

Very important	1
Fairly important	2
Neither important nor unimportant	3
Fairly unimportant	4
Very unimportant	5
DO NOT READ OUT: Don't know	X

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	1
Test taken at the end of the activity	2
Portfolio produced at the end of the activity	3
Presentation given at the end of the activity	4
Trainer/assessor observed new skills being applied	5
Other (PLEASE SPECIFY)	6
DO NOT READ OUT: Don't know	X

ASK ALL

- G8 **Other than the formal training received, how important a component of the [COMMITMENT TYPE] was the opportunity to learn from others?**  
READ OUT. SINGLE CODE.

Very important	1
Fairly important	2
Neither important nor unimportant	3
Fairly unimportant	4
Very unimportant	5
DO NOT READ OUT: Don't know	X

IF E4 =1 (PERSONALLY TOOK PART IN ACTIVITIES)

- 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 [COMMITMENT TYPE] before participating?**  
READ OUT. SINGLE CODE.

Very low			Very high		
1	2	3	4	5	
Don't know / Not applicable					6

IF E4 =1 (PERSONALLY TOOK PART IN ACTIVITIES)

- 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 participating in the [COMMITMENT TYPE]? READ OUT. SINGLE CODE.**

Very low			Very high		
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	1
No	2
Don't know	3

ASK ALL

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

Yes	1
No	2
Don't know	3

# H Behaviour

READ OUT FOR ALL

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

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)

H1 **To what extent have those who participated in [COMMITMENT TYPE] been able to put into practice what they learnt...READ OUT**  
SINGLE CODE.

To a very great extent	1	ASK H2
To a great extent	2	
To some extent	3	
Hardly at all	4	
Not at all	5	
DO NOT READ OUT: Don't know	6	

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)

H2 **What, if anything, has made it difficult to put the learning into practice?**

WRITE IN	
Nothing has made this difficult	1

H3 DELETED

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)

H4 **On a scale of 1 to 5, where 1 is not at all and 5 is a great deal, how much did [COMMITMENT TYPE] improve the ability of those taking part to...READ OUT.** SINGLE CODE EACH ROW

	Not at all				A great deal	Don't know / NA
<b>Recognise business opportunities and threats</b>	1	2	3	4	5	6
<b>Challenge the status quo</b>	1	2	3	4	5	6
<b>Build and create buy-in to a vision for the organisation</b>	1	2	3	4	5	6
<b>Influence your organisation's culture</b>	1	2	3	4	5	6

H5 DELETED

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)

H6 **On a scale of 1 to 5, where 1 is not at all and 5 is a great deal, how much did [COMMITMENT TYPE] improve the ability of those taking part in regard to:**

READ OUT. SINGLE CODE

	Not at all				A great deal	Don't know / NA
1. <b>Business planning</b>	1	2	3	4	5	6
2. <b>Organising staff</b>	1	2	3	4	5	6
3. <b>Time management</b>	1	2	3	4	5	6
4. <b>Controlling financial resources</b>	1	2	3	4	5	6
5. <b>Working with suppliers</b>	1	2	3	4	5	6
6. <b>Improving systems</b>	1	2	3	4	5	6
7. <b>Marketing the organisation's products</b>	1	2	3	4	5	6
8. <b>Working with customers</b>	1	2	3	4	5	6

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)

H6NA **Did participation in [COMMITMENT TYPE] improve the management abilities of the staff who attended in any areas not already mentioned?**

WRITE IN
No.....2
Don't know.....x

IF TEXT RESPONSE AT H6NA

H6NB **On the same scale of 1 to 5 as before (IF NECESSARY: where 1 is not at all 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 COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)

H6NC **Did participation in [COMMITMENT TYPE] have any negative effects within the business?**

WRITE IN
No....2
Don't know....X

H7 DELETED

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT) AND E4=1 (PERSONALLY TOOK 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 [COMMITMENT TYPE] has had upon you personally in terms of:...**

READ OUT. SINGLE CODE

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

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT) AND E4=1 (PERSONALLY TOOK PART)

H8NA **Did the [COMMITMENT TYPE] have any other significantly positive effects on you personally at work?**

WRITE IN
No....2
Don't know....X

IF COMMITMENT TYPE=1 (WORKSHOP) OR 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT) AND E4=1 (PERSONALLY TOOK PART)  
**H8NB Did participation in [COMMITMENT TYPE] have any negative effects on you personally at work?**

WRITE IN
No....2
Don't know....X

IF COMMITMENT TYPE=2 (COACHING AND MENTORING Programme)  
**H8P To what extent has the individual (or individuals) who participated in the Coaching and Mentoring Programme been able to pass on their coaching and mentoring skills to others within the organisation ... READ OUT**

SINGLE CODE.

To a very great extent	1	ASK H8R
To a great extent	2	
To some extent	3	
Hardly at all	4	ASK H8Q
Not at all	5	
DO NOT READ OUT: Don't know	6	ASK H14

ASK IF SKILLS HAVE NOT BEEN PASSED ON (H8P=4 OR 5)

H8Q **Why has it been difficult for the individual(s) who participated in the Coaching and Mentoring Programme to pass on their coaching and mentoring skills to other staff?** PROMPT IF NECESSARY

MULTICODE OK

<i>Issues to do with member of staff who participated in the external training</i>	
The member of staff who participated in the Coaching and Mentoring Programme has not yet finished their training	1
It's too soon after the training for the member of staff who participated in the Coaching and Mentoring Programme to have trained others	2
The member of staff who participated in the Coaching and Mentoring Programme didn't develop the skills needed to train others effectively	3
The member of staff who participated in the Coaching and Mentoring Programme faced unforeseen work commitments	4
The member of staff who participated in the Coaching and Mentoring Programme hasn't had time to train others	5
The member of staff who participated in the Coaching and Mentoring Programme had personal commitments which prevented them from cascading what they had learnt	6
The person who participated in the Coaching and Mentoring Programme was taken ill	7
The member of staff who participated in the Coaching and Mentoring Programme left the company	8
<i>Issues to do with other staff to whom training to be cascaded</i>	
Work commitments prevented staff from being released to be trained/coached by the individual who participated in the Coaching and Mentoring Programme	9
Other staff have been reluctant to undertake coaching and mentoring skills training	10
There is no need to train other staff in coaching and mentoring skills at present	11
Other – please specify	12
Don't know / can't remember	13

ASK IF SKILLS HAVE BEEN PASSED ON (H8P= 1, 2 OR 3)

H8R **How many other members of staff have been trained up as coaches and mentors by the individual who participated in the Coaching and Mentoring Programme?**

WRITE IN
Don't know

ASK IF SKILLS HAVE BEEN PASSED ON (H8P= 1, 2 OR 3)

H8S **How would you rate the overall quality of the training on coaching and mentoring skills delivered by the individual who participated in the Coaching and Mentoring Programme...READ OUT?**  
SINGLE CODE.

Very good	1
Good	2
Mixed	3
Poor	4
Very poor	5
DO NOT READ OUT: Don't know	6

ASK IF SKILLS HAVE BEEN PASSED ON (H8P= 1, 2 OR 3)

H8T **Have any of those who've subsequently been trained as coaches and mentors (i.e. those that were trained by the individual who participated in the Coaching and Mentoring Programme) achieved any sort of coaching and mentoring related qualifications or part qualifications as a result of the training undertaken?**

SINGLE CODE.

Yes	1	ASK H8U
No	2	ASK H8W
Don't know	3	

IF H8T=1 (YES: QUALIFICATIONS ATTAINED)

H8U **What level were the qualifications achieved by these second tier coaches and mentors at?**  
READ OUT. MULTI CODE.

Level 2	1
Level 3	2
Level 4	3
Level 5	4
Level 6	5
Level 7	6
DO NOT READ OUT: Don't know	7
Other (PLEASE SPECIFY)	8

IF H8T= 1 (YES: QUALIFICATIONS ATTAINED)

H8V **In general, were these qualifications at a higher, lower or the same level as the most advanced qualifications that second tier coaches and mentors already held?**

SINGLE CODE.

Higher	1
The same	2
Lower	3
DO NOT READ OUT: Don't know / varied too much to say	4

ASK IF SKILLS HAVE BEEN PASSED ON (H8P= 1, 2 OR 3)

H8W **To what extent have staff who've subsequently been trained as coaches and mentors (i.e. second tier coaches and mentors who were trained by the individual who participated in the Coaching and Mentoring Programme) been able to put their new skills into practice ...READ OUT (SINGLE CODE)**

To a very great extent	1	ASK H8Y
To a great extent	2	
To some extent	3	ASK H8X
Hardly at all	4	
Not at all	5	
DO NOT READ OUT: Don't know	6	ASK H14

ASK IF SKILLS HAVE NOT BEEN PUT INTO PRACTICE (H8W=4 OR 5)

H8X **Why has it been difficult for this second tier of coaches and mentors to apply their learning?**  
PROMPT IF NECESSARY

MULTICODE OK

Work commitments means that they've had no time to coach or mentor others	1
Work commitments have prevented other staff from being released to be coached or mentored	2
Too soon for any coaching or mentoring to have taken place	3
The individuals trained (i.e. the second tier coaches/mentors) didn't develop the skills needed to coach or mentor others effectively	4
Personal commitments prevented them from coaching or mentoring others	5
Staff sickness	6
Second tier coaches/mentors left the company	7
Other – please specify	8
Don't know / can't remember	9

ASK IF SKILLS HAVE BEEN PUT INTO PRACTICE (H8W= 1, 2 OR 3)

H8Y **Overall, how many members of staff have received training from this second tier of coaches and mentors?**

WRITE IN
Don't know....X

ASK IF SKILLS HAVE BEEN PUT INTO PRACTICE (H8W= 1, 2 OR 3)

H8Z **How would you rate the overall quality of the coaching and mentoring done by this second tier of coaches and mentors...READ OUT?**

SINGLE CODE.

Very good	1
Good	2
Mixed	3
Poor	4
Very poor	5
DO NOT READ OUT: Don't know	6

IF ACTIVITY WAS LINKED TO BUSINESS OBJECTIVES (D4= 1)

H11 **Turning to what you originally envisaged the organisation would get out of the training, have the business objectives which the training was designed to support been achieved?**

SINGLE CODE

Yes	1
No	2
DO NOT READ OUT: Don't know	3

IF OBJECTIVES HAVE BEEN ACHIEVED (H11=1)

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	1
To a great extent	2
To some extent	3
Hardly at all	4
Not at all	5
DO NOT READ OUT: Don't know	6

H13 DELETED

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	1
Fairly likely	2
Neither likely nor unlikely	3
Fairly unlikely	4
Very unlikely	5
DO NOT READ OUT: Don't know	6

IF H14=1 OR 2 (VERY OR FAIRLY LIKELY)

H15 **Has participating in [COMMITMENT TYPE] made it any more likely that the organisation will undertake further leadership and management training than it would otherwise have been?**  
SINGLE CODE

Yes	1
No	2
DO NOT READ OUT: Don't know	3

# I 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

IF SOLE TRADER (A5=1) GO TO I7

ASK ALL EXCEPT SOLE TRADERS

- I1 **On a scale of 1 to 5 where 1 is not at all and 5 is a great deal how much would you say the training has impacted upon staff who participated in terms of:**

READ OUT. SINGLE CODE EACH ROW

	Not at all				A great deal	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 dealing with threats	1	2	3	4	5	6
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
6. The extent to which staff ask for training	1	2	3	4	5	6
7. Staff's willingness to participate in training	1	2	3	4	5	6

- I2 DELETED

ASK ALL (EXCEPT SOLE TRADERS)

- I3 **Using the scale '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, disciplinarys)	1	2	3	4	5	6
3. Staff retention	1	2	3	4	5	6

- I4 DELETED

ASK ALL (EXCEPT SOLE TRADERS)

- 15 **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
<b>1. Promotion and being given more responsibility</b>	1	2	3	4	5	6
<b>2. Pay</b>	1	2	3	4	5	6

- 16 DELETED

ASK ALL

- 17 [IF NOT SOLE TRADER: **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:**][IF SOLE TRADER: **Using the scale '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 your:**]  
 READ OUT. SINGLE CODE

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

- 18 DELETED

ASK ALL

- 19 **And using the same options** [IF NOT SOLE TRADER: **for the final time,**][IF SOLE TRADER: **again,**]  
 [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
<b>1. Profit levels / reducing losses</b>	1	2	3	4	5	6
<b>2. Your organisation's prospects going forward</b>	1	2	3	4	5	6

IF PROFITS HAVE IMPROVED (I9\_1=1,2)

- 110 **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%	1
Between 5 and 10%	2
Between 10 and 20%	3
More than 20%	4
DO NOT READ OUT: Don't know	5

ASK ALL

- 111 **What do you feel are the key business challenges your company has faced over the last 2 years?** DO NOT READ OUT. PROBE: What else?

Difficult to make enough sales/increased competition/insufficient demand	1
Falling profit margins	2
Economic downturn / recession generally	3
Have more work than can handle	4
Finding staff or workers / suitably skilled staff or workers	5
Retaining staff (or workers)	6
Getting finance to expand (banks not lending)	7
Clients slow to pay / late payment	8
Increased regulations / legislation / red tape (inc planning regulations)	9
Rising prices / materials costs (inc fuel costs)	10
Other (WRITE IN)	0
None / no particular challenges	V

## J Future Studies

IN HALF OF CASES ASK 'J1 FIRST THEN J2/J3', IN HALF 'J2/J3 THEN J1'

ASK ALL

- J1 **Finally, this study may 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 at some point in the future?**

SINGLE CODE.

Yes	1
No	2
Don't know	3

ASK ALL:

- J2 **We are also hoping to hold some more in depth discussions with a handful of companies that have been involved in the <COMMITMENT TYPE> programme in order to better understand how the programme has affected them and how, potentially, things might be done differently.**

**Our discussion just now suggests that your organisation might well provide some useful insight in that respect and I wonder whether you would be prepared for a colleague of mine to contact you with a view to paying your company a visit in the next few weeks. We would, of course, try to ensure that any such visit causes the minimum of disruption and will fit in with a timetable to suit you.**

Yes	1
No	2
Don't know	3

IF J2 = 1 (YES):

- J3 **Could I just take your e-mail address so that my colleague can drop you a line to arrange a visit.**

@
---

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

Second and Third Phase Re-Interviews

(re-interviews)

Comtype (commitment type for text subs)

1	workshops
2	training in coaching and mentoring skills
3	sector skills council led activities
4	discretionary support through the workforce development programme

**Sole (Sole Trader)**

1	Yes
2	No

**Trainprov (text variable)**

**Particip (text variable)**

**XA= re-interviews of second cohort respondents (i.e. this their 2<sup>nd</sup> interview)**

**XB = re-interviews of first cohort respondents (ie this their 3<sup>rd</sup> interview)**

**REASSURANCES TO USE IF NECESSARY**

- This research is being conducted by IFF research 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 20 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: Christabel Downing or Alice Large 020 7250 3035**

**Welsh Government: Alison Spence 02920 821636**

# 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	1	GO TO S3
Transferred	2	
Person left the organisation / never heard of person	3	ASK S2
Hard appointment	4	MAKE APPOINTMENT
Soft Appointment	5	
Refusal	6	CLOSE
Nobody at site able to answer questions	7	
Not available in deadline	8	
Engaged	9	
Fax Line	10	
No reply / Answer phone	11	
Residential Number	12	
Dead line	13	
Company closed	14	
Company moved	15	
Reassurances required	V	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 spoke to <NAMED RESPONDENT> as the contact for this a year ago or so. 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	1	CONTINUE TO S3
Referred to someone else at establishment NAME _____ JOB TITLE _____	2	TRANSFER AND RE-INTRODUCE
Hard appointment	3	MAKE APPOINTMENT
Soft appointment	4	
Refusal	5	THANK AND CLOSE
Not available in deadline	6	
Reassurances required	V	DISPLAY REASSURANCES

ASK ALL  
 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.**

SAY TO ALL EXCEPT IF S1=3:] **You might recall that we spoke last year and at that time, you said that you would be prepared to speak to us again about your organisation's involvement with the <comtype> which forms part of the Enhancing Leadership and Management Skills, or ELMS, Programme.**

ALL: **Can I just check that your organisation was involved with <comtype> between June 2009 and [IF XB: '2012'] [IF XA 'this time last year']?**

Yes	1	GO TO S4A
No		ASK S4C
Not sure		

**S4a and S4b deleted**

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	1	ASK S5
No	2	THANK AND CLOSE SAY: <b>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.</b>
Not sure	3	

ASK ALL

**S5 I'd like to ask you some questions about the difference that participating in <'commitment type(s)'\> 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	1	GO TO A1
Welsh	2	ASK S6

IF S5 =2

**S6 I'm not a Welsh speaker myself, but a colleague who is can give you a call. What would be your preferred day and time?**

Hard appointment in Welsh	1	MAKE APPOINTMENT IN WELSH INTERVIEWER QUEUE
Soft appointment in Welsh	2	
Continue in English	3	CONTINUE

READ OUT FOR ALL

**Please note, this call may be recorded for quality or training purposes. It takes around 15 minutes to complete.**

# A Participation

ASK ALL

- A1 **Can I confirm that around** <PARTICIPANT COUNT FROM SAMPLE DATABASE> **people from your organisation participated in** <'commitment type(s)' FROM THE SAMPLE DATABASE> **between June 2009 and [IF XB: '2012'] [IF XA 'this time last year']?** [E1]  
SINGLE CODE.

Yes – figure right	1	ASK A3
No – more people participated	2	ASK A2
No – fewer people participated	3	
DO NOT READ OUT: Don't know	4	ASK A3

IF A1 = 2 (NO – MORE PEOPLE PARTICIPATED) OR = 3 (NO – FEWER PEOPLE PARTICIPATED)

- A2 **How many people did participate in** <'commitment type(s)' FROM THE SAMPLE DATABASE> **then?** [E2]

ENTER NUMBER OR CODE.

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

ASK ALL

- A3 **Did you personally take part in** <'commitment type(s)' FROM THE SAMPLE DATABASE>? [E4]  
SINGLE CODE.

Yes	1
No	2
DO NOT READ OUT: Don't know	3

- ASK ALL
- A4 **Can I just check whether any staff from your organisation have participated in <'commitment type(s)' FROM THE SAMPLE DATABASE> or any other elements of the ELMS Programme in the last 12 months (i.e. since your original involvement in <'commitment type(s)'>)?**

SINGLE CODE.

Yes	1	ASK A5
No	2	SECTION B
DO NOT READ OUT: Don't know	3	

- [IF A4 = YES]
- A5 **Which element of the Programme have staff participated in since the organisation's original involvement in <'commitment type(s)'>? PROMPT IF NECESSARY**

ALLOW MULTI CODE.

Workshops	1
Coaching and Mentoring Programme	2
Sector Skills Council led activities	3
Discretionary support through the Workforce Development Programme	4
DO NOT READ OUT: Don't know	5

## B Learning

READ OUT FOR ALL

**Thinking now about your staff's involvement in <'commitment type(s)'\>, I'd like to turn to what participants actually learnt as a result of the training they undertook.**

- B1 **Did you, or any of those who participated in <'commitment type(s)'\>, achieve any sort of leadership or management related qualification(s) or part qualifications as a result of doing so? [G2]**

SINGLE CODE.

Yes	1	ASK B2
No	2	ASK B4
Don't know	3	

IF B1 = 1 (YES: QUALIFICATIONS ATTAINED)

- B2 **What level were these qualifications at? [G3]**

READ OUT. MULTI CODE.

Level 2	1
Level 3	2
Level 4	3
Level 5	4
Level 6	5
Level 7	6
DO NOT READ OUT: Don't know	7
Other (PLEASE SPECIFY)	0

IF B1 = 1 (YES: QUALIFICATIONS ATTAINED)

- B3 **In general, were these qualifications at a higher, lower or the same level as the most advanced qualifications that participants already held? [G4]**

SINGLE CODE.

Higher	1
The same	2
Lower	3
DO NOT READ OUT: Don't know / varied too much to say	x

IF A3 =1 *personally took part in activities* ASK

- B4 **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 <'commitment type(s)'  
FROM THE SAMPLE DATABASE>before participating?**

READ OUT. SINGLE CODE. [\[G9\]](#)

Very low			Very high		
1	2	3	4	5	
Don't know / Not applicable					6

IF A3 =1 *personally took part in activities* ASK

- B5 **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?**

READ OUT. SINGLE CODE. [\[G10\]](#)

Very low			Very high		
1	2	3	4	5	
Don't know / Not applicable					6

## C Behaviour

READ OUT FOR ALL

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

[IF <'COMMITMENT TYPE(S)' FROM THE SAMPLE DATABASE = 1 (WORKSHOPS), 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)]

- C1 **To what extent have those who participated in <'commitment type(s)'\> been able to put into practice what they learnt...READ OUT [H1]**

SINGLE CODE.

To a very great extent	1	ASK C2
To a great extent	2	
To some extent	3	
Hardly at all	4	
Not at all	5	
DO NOT READ OUT: Don't know	X	

- C2 **What, if anything, has made it difficult to put the learning into practice? [H2]**

Nothing has made this difficult	1

[IF <'COMMITMENT TYPE(S)' FROM THE SAMPLE DATABASE = 1 (WORKSHOPS), 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)]

- C3 **On a scale of 1 to 5, where 1 is not at all and 5 is a great deal, how much did <'commitment type(s)'\> improve the ability of those taking part to...READ OUT. SINGLE CODE EACH ROW [H4]**

	Not at all				A great deal	Don't know / NA
<b>Recognise business opportunities and threats</b>	1	2	3	4	5	6
<b>Challenge the status quo</b>	1	2	3	4	5	6
<b>Build and create buy-in to a vision for the organisation</b>	1	2	3	4	5	6

<b>Influence your organisation's culture</b>	1	2	3	4	5	6
--	---	---	---	---	---	---

[IF <'COMMITMENT TYPE(S)' FROM THE SAMPLE DATABASE = 1 (WORKSHOPS), 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)]

- C4 **On a scale of 1 to 5, where 1 is not at all and 5 is a great deal, how much did <'commitment type(s)'\> improve the ability of those taking part in regard to: [H6]**

READ OUT. SINGLE CODE

	Not at all				A great deal	Don't know / NA
<b>1. Business planning</b>	1	2	3	4	5	6
<b>2. Organising staff</b>	1	2	3	4	5	6
<b>3. Time management</b>	1	2	3	4	5	6
<b>4. Controlling financial resources</b>	1	2	3	4	5	6
<b>5. Working with suppliers</b>	1	2	3	4	5	6
<b>6. Improving systems</b>	1	2	3	4	5	6
<b>7. Marketing the organisation's products</b>	1	2	3	4	5	6
<b>8. Working with customers</b>	1	2	3	4	5	6

[IF <'COMMITMENT TYPE(S)' FROM THE SAMPLE DATABASE = 1 (WORKSHOPS), 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)]

- C5 **Did <'commitment type(s)'\> improve the management abilities of the staff who attended in any areas not already mentioned? [H6NA]**

Yes - WRITE IN / SPECIFY	ASK C6
No....2	CHECK C6a
Don't know....X	

IF TEXT RESPONSE AT C5

- C6 **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? [H6NB]**

READ OUT. SINGLE CODE.

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

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 1 (WORKSHOPS), 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)]

- C6A **Did participation in <'commitment type(s)'\> FROM THE SAMPLE DATABASE> have any negative effects within the business? [H6NC] WRITE IN.**

WRITE IN
----------

No...2
Don't know.....X

[IF <'COMMITMENT TYPE(S)' FROM THE SAMPLE DATABASE = 1 (WORKSHOPS), 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)] and [IF A3=1 (*personally take part*)]

C7 **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 [H8]

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

[IF <'COMMITMENT TYPE(S)' FROM THE SAMPLE DATABASE = 1 (WORKSHOPS), 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)] and [IF A3=1 (*personally take part*)]

C8 **Did <'commitment type(s)'\> have any other significantly positive effects on you personally at work? [H8NA]**

YES - WRITE IN
No.....2
Don't know.....X

[IF <'COMMITMENT TYPE(S)' FROM THE SAMPLE DATABASE = 1 (WORKSHOPS), 3 (SECTOR SKILLS COUNCIL LED ACTIVITIES) OR 4 (DISCRETIONARY SUPPORT)] and [IF A3=1 (*personally take part*)]

C8A **Did participation in <'commitment type(s)' FROM THE SAMPLE DATABASE> have any negative effects on you personally at work? [H8NB]**

YES - WRITE IN
No.....2

Don't know.....X

[IF <'commitment type(s)' FROM THE SAMPLE DATABASE = 2 (COACHING AND MENTORING PROGRAMME)]

- C9 **To what extent has the individual who participated in the Coaching and Mentoring Programme been able to pass on their coaching and mentoring skills to others within the organisation ...READ OUT**

SINGLE CODE.

<b>To a very great extent</b>	1	ASK C11
<b>To a great extent</b>	2	
<b>To some extent</b>	3	
<b>Hardly at all</b>	4	ASK C10
<b>Not at all</b>	5	
DO NOT READ OUT: Don't know	6	ASK c20

ASK ONLY IF C9 = 4 (HARDLY AT ALL) OR = 5 (NOT AT ALL)

- C10 **Why has it been difficult for the individual who participated in the Coaching and Mentoring Programme to pass on their coaching and mentoring skills to other staff? PROMPT IF NECESSARY/ MULTICODE OK**

<b>Issues to do with member of staff who participated in the external training</b>	
	1
It's too soon after the training for the member of staff who participated in the Coaching and Mentoring Programme to have trained others	2
The member of staff who participated in the Coaching and Mentoring Programme didn't develop the skills needed to train others effectively	3
The member of staff who participated in the Coaching and Mentoring Programme faced unforeseen work commitments	4
The member of staff who participated in the Coaching and Mentoring Programme hasn't had time to train others	5
The member of staff who participated in the Coaching and Mentoring Programme had personal commitments which prevented them from cascading what they had learnt	6
The person who participated in the Coaching and Mentoring Programme was taken ill	7
The member of staff who participated in the Coaching and Mentoring Programme left the company	8
<b>Issues to do with other staff to whom training to be cascaded</b>	
Work commitments prevented staff from being released to be trained/coached by the individual who participated in the Coaching and Mentoring Programme	9
Other staff have been reluctant to undertake coaching and mentoring skills training	10

There is no need to train other staff in coaching and mentoring skills at present	11
Other – please specify	12
Don't know / can't remember	13

ASK ONLY IF C9 ANSWERED 1, 2 OR 3 (TO A VERY GREAT, GREAT OR SOME EXTENT)

- C11 **How many other members of staff have been trained up as coaches and mentors by the individual who participated in the Coaching and Mentoring Programme?**

WRITE IN
Don't know...X

ASK ONLY IF C9 ANSWERED 1, 2 OR 3 (TO A VERY GREAT, GREAT OR SOME EXTENT)

- C12 **How would you rate the overall quality of the training on coaching and mentoring skills delivered by the individual who participated in the Coaching and Mentoring Programme...READ OUT?**

SINGLE CODE.

<b>Very good</b>	1
<b>Good</b>	2
<b>Mixed</b>	3
<b>Poor</b>	4
<b>Very poor</b>	5
DO NOT READ OUT: Don't know	x

ASK ONLY IF C9 ANSWERED 1, 2 OR 3 (TO A VERY GREAT, GREAT OR SOME EXTENT)

- C13 **Have any of those who've subsequently been trained as coaches and mentors (i.e. those that were trained by the individual who participated in the Coaching and Mentoring Programme) achieved any sort of coaching and mentoring related qualifications or part qualifications as a result of the training undertaken?**

SINGLE CODE.

Yes		ASK C14
No		ASK C16
Don't know		

IF C13 = 1 (YES: QUALIFICATIONS ATTAINED)

- C14 **What level were these qualifications at? READ OUT. MULTI CODE OK.**

<b>Level 2</b>	1
----------------	---

<b>Level 3</b>	2
<b>Level 4</b>	3
<b>Level 5</b>	4
<b>Level 6</b>	5
<b>Level 7</b>	6
DO NOT READ OUT: Don't know	X
Other (PLEASE SPECIFY)	0

IF C13 = 1 (YES: QUALIFICATIONS ATTAINED)

- C15 **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	1
The same	2
Lower	3
DO NOT READ OUT: Don't know / varied too much to say	x

ASK ONLY IF C9 ANSWERED 1, 2 OR 3 (TO A VERY GREAT, GREAT OR SOME EXTENT)

- C16 **To what extent have staff who've subsequently been trained as coaches and mentors (i.e. those that were trained by the individual who participated in the Coaching and Mentoring Programme) been able to put their new skills into practice ...READ OUT**

SINGLE CODE.

<b>To a very great extent</b>	1	ASK C18
<b>To a great extent</b>	2	
<b>To some extent</b>	3	ASK C17
<b>Hardly at all</b>	4	
<b>Not at all</b>	5	
DO NOT READ OUT: Don't know	6	ASK C20

ASK ONLY IF C16 = 4 (HARDLY AT ALL) OR = 5 (NOT AT ALL)

- C17 **Why has it been difficult for this second tier of coaches and mentors to apply their learning? PROMPT IF NECESSARY (MULTICODE OK)**

Work commitments means that they've had no time to coach or mentor others	1
---	---

Work commitments have prevented staff from being released to be coached or mentored	2
Too soon for any coaching or mentoring to have taken place	3
The individuals trained (i.e. the second tier coaches/mentors) didn't develop the skills needed to coach or mentor others effectively	4
Personal commitments prevented them from coaching or mentoring others	5
Staff sickness	6
Second tier coaches/mentors left the company	7
Other – please specify	8
Don't know / can't remember	x

ASK ONLY IF C16 ANSWERED 1, 2 OR 3 (TO A VERY GREAT, GREAT OR SOME EXTENT)

C18 **Overall, how many members of staff have received training from this second tier of coaches and mentors?**

WRITE IN
Don't know...X

ASK ONLY IF C16 ANSWERED 1, 2 OR 3 (TO A VERY GREAT, GREAT OR SOME EXTENT)

C19 **How would you rate the overall quality of the coaching and mentoring done by this second tier of coaches and mentors...READ OUT?**

SINGLE CODE.

<b>Very good</b>	1
<b>Good</b>	2
<b>Mixed</b>	3
<b>Poor</b>	4
<b>Very poor</b>	5
DO NOT READ OUT: Don't know	x

ASK ALL

C20 **Thinking back to when the organisation initially got involved in <'commitment type(s)'\>, was the training intended to support particular business objectives?**

**[D2]**

SINGLE CODE

Yes		ASK C21
No		ASK C23

DO NOT READ OUT: Don't know		
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IF C20 = 1 (YES)

- C21 **Have the business objectives which the training was designed to support been achieved?** [H11]  
SINGLE CODE

Yes	1
No	2
DO NOT READ OUT: Don't know	3

IF C21 = 1 (YES)

- C22 **To what extent did the skills developed as a result of taking part in <'commitment type(s)'\> help in enabling those objectives to be achieved...** [H12]  
READ OUT. SINGLE CODE.

<b>To a very great extent</b>	1
<b>To a great extent</b>	2
<b>To some extent</b>	3
<b>Hardly at all</b>	4
<b>Not at all</b>	5
DO NOT READ OUT: Don't know	x

ASK ALL

- C23 **Has your organisation undertaken leadership and management training in the last 12 months, other than any you've been involved with under the <'commitment type(s)'\>** SINGLE CODE.

Yes	1	ASK C24
No	2	ASK C25
DO NOT READ OUT: Don't know	3	

IF C23 = 1 (Yes):

- C24 **Did participating in <'commitment type(s)'\> influence the organisation's decision to undertake this further leadership and management training?**  
SINGLE CODE

Yes	1
-----	---

No	2
DO NOT READ OUT: Don't know	3

ASK ALL

- C25 **How likely is your organisation to undertake further leadership and management training in the coming 12 months....**READ OUT [H14]  
SINGLE CODE.

<b>Very likely</b>	1	ASK C26
<b>Fairly likely</b>	2	
<b>Neither likely nor unlikely</b>	3	ASK C27
<b>Fairly unlikely</b>	4	
<b>Very unlikely</b>	5	
DO NOT READ OUT: Don't know	X	

IF C25 = 1 or 2 (Very likely OR Fairly likely):

- C26 **Has participating in <commitment type(s)> made it any more likely that the organisation will undertake further leadership and management training than it would otherwise have been?** [H15]  
SINGLE CODE

Yes	1
No	2
DO NOT READ OUT: Don't know	3

ASK ALL

- C27 **Roughly how much did your organisation spend with outside companies on developing staff's leadership and management skills in the last year? Was it ...** READ OUT. [B5]

SINGLE CODE.

<b>Nothing</b>	1	SECTION D
<b>Less than £5,000</b>	2	ASK C28
<b>£5,000 to £10,000</b>	3	
<b>£10,001 to £20,000</b>	4	

<b>£20,001 to £50,000</b>	5	
<b>£50,001 to £100,000</b>	6	
<b>More than £100,000</b>	7	
DO NOT READ OUT: Don't know / refused	x	SECTION D

IF C27 = 2 - 7 (SPEND SOMETHING):

**C28** Roughly what proportion of the organisation's overall spend with external training providers did this represent? Was it... READ OUT.

SINGLE CODE.

<b>&lt;10%</b>	1
<b>11% - 25%</b>	2
<b>26% - 50%</b>	3
<b>51% - 75%</b>	4
<b>&gt;75%</b>	5
DO NOT READ OUT: Don't know / refused	X

## D Impact

READ OUT FOR ALL

Finally, I'd like to ask you some questions about the impact which staff's participation in <'commitment type(s)'\> has had upon various aspects of business performance

IF SOLE TRADER (A5=X) GO TO D4

ASK ALL (EXCEPT SOLE TRADERS)

- D1 On a scale of 1 to 5 where 1 is not at all and 5 is a great deal how much would you say <'commitment type(s)'\> has impacted upon staff who participated in terms of: [11]

READ OUT. SINGLE CODE EACH ROW

	Not at all				A great deal	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 dealing with threats	1	2	3	4	5	6
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
6. The extent to which staff ask for training	1	2	3	4	5	6
7. Staff's willingness to participate in training	1	2	3	4	5	6

ASK ALL (EXCEPT SOLE TRADERS)

- D2 Using the scale 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially', how would you say <'commitment type(s)'\> has impacted upon staff who participated in terms of: [13]

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

ASK ALL (EXCEPT SOLE TRADERS)

- D3 **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 <'commitment type(s)'\> has impacted upon staff who participated in terms of: [I5]**  
 READ OUT. SINGLE CODE

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

ASK ALL

- D4 [IF NOT SOLE TRADER: **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 <'commitment type(s)'\> has impacted upon staff who participated in terms of:][IF SOLE TRADERS A5=X: Using the scale 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially', how would you say <'commitment type(s)'\> has impacted upon your:] [I7]**  
 READ OUT. SINGLE CODE

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

D5 **And using the same options** [IF NOT SOLE TRADER: **for the final time,**][IF SOLE TRADER: **again,**] [READ OUT AGAIN IF NECESSARY: 'improved substantially', 'improved a little', 'made no change', 'deteriorated a little' and 'deteriorated substantially'], **how would you say <'commitment type(s)'** has impacted upon:...

[I9]

READ OUT. SINGLE CODE

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

IF ANY D5 1<sup>st</sup> statement is 1-2 = 'improved substantially' or 'improved a little' ASK

D6 **Are you able to say roughly how much of a percentage increase there has been in profit because of staff participation in <'commitment type(s)'**? [I10]

PROMPT IF NECESSARY. SINGLE CODE

Less than 5%	1
Between 5 and 10%	2
Between 10 and 20%	3
More than 20%	4
DO NOT READ OUT: Don't know	x

ASK ALL

D7 **What do you feel are the key business challenges your company has faced over the last 2 years?** DO NOT READ OUT. PROBE: What else? [I11]

Difficult to make enough sales/increased competition/insufficient demand	1
Falling profit margins	2
Economic downturn / recession generally	3
Have more work than can handle	4
Finding staff or workers / suitably skilled staff or workers	5
Retaining staff (or workers)	6
Getting finance to expand (banks not lending)	7
Clients slow to pay / late payment	8
Increased regulations / legislation / red tape (inc planning regulations)	9
Rising prices / materials costs (inc fuel costs)	10
Other (WRITE IN)	0
None / no particular challenges	V

## E Future Studies

ASK ALL

- E1 **Finally, this study may 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 at some point in the future?**

SINGLE CODE. [\[J1\]](#)

Yes	1
No	2
Don't know	3

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 3**

### **Revised ELMS Performance Indicators**

## Revised ELMS Performance Indicators

	Revised	<i>Change</i>	Revised	Numbers
	Convergence	<i>against</i>	RCE	<i>Change</i>
	indicator	<i>original</i>	indicator	<i>against</i>
		<i>(percentage)</i>		<i>(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