

CHAPTER ONE

INTRODUCTION TO THE STUDY

1.1 ORIENTATION

The South African political dispensation ushered in needs, demands and raised expectations on public policy implementation (PPI). The transition from the old order to the new political and public service delivery dispensation saw integration of existing public policies and the development of new public policies. Inevitably, effective implementation of integrated and newly developed public policies and guidelines became an indispensable factor for the public sector executive institutions, in their quest to more effectively and efficiently provide public services.

Paudel (2009:36) suggests that the PPI may be viewed as a process of interaction between the setting of goals and actions geared to achieve them. According to Cloete *et al.* (2006:183), the PPI entails combining physical and financial resources into concrete public service delivery outputs aimed at achieving policy objectives. For this study, the PPI is viewed as a process that entails the use of human, physical and financial resources to translate set objectives into actionable and achievable plans. This suggests that for the PPI to be effective, efficient, economical and sustainable, planning and forecasting should be the core of policy formulation. Therefore, public institutions should measure the effectiveness of their policy implementation against the extent at which they meet policy objectives. Moya (2002:35) maintains that the PPI in the South African public sector should occur within a development planning framework, thus suggesting effective and an effective PPI process that is linked to pre-set public policy objectives. Mokhaba (2005:ii) views the effectiveness of the PPI as its impact on the implementers and beneficiaries. It is, therefore, such impact that has to be viewed against the intended public policy objectives.

Effective PPI requires well thought strategies. Mhlongo (2008:26) argues that public policies need management strategies that will inspire and motivate subordinates to implement them (public policies) effectively. According to Kanyane (2008:36), a strategy is a long term extensively premeditated and

rehearsed plan of action, designed to achieve a particular goal. In this study a strategy is viewed as principles, rules and processes that condition and shape the PPI. It is through well thought strategies that all actors in the PPI processes are motivated to accomplish the intended policy outcomes. Roux (2005:77) agrees that strategies should be developed as part of the PPI plan that provides reasonable time frames and allocation of responsibilities.

The PPI requires capacity and appropriate knowledge. It, therefore, requires people with skills and abilities to understand and drive all stages of public policy implementation. Different government spheres of the PPI require full cooperation between all relevant actors and coordination of all strategies. Lundin (2007:629) notes that cooperation improves the ability to put public policy into practice. The provincial Education department of the KwaZulu-Natal (KZN) Province is a vast public service component which operates on a wide radius and under different conditions, for example, rural and urban public schools. Differing conditions require comprehensive strategies to ensure an effective PPI in all the district schools. For each differing condition, the PPI strategies should incorporate the role of all actors, human and financial resource capacity (which differs from urban to rural schools), sustainable support and monitoring systems and evaluation mechanisms. Consequently, the PPI becomes a challenge if the same set of PPI objectives is to be achieved equally in areas regardless of the differing conditions.

Empangeni Education District (EED), abiding by the differing environments and contexts, has to ensure that the PPI yields pre-set public policy objectives. Consequently, the PPI that promotes efficient and effective overhaul provisioning in the EED's area of responsibility requires co-operation and co-ordination from all relevant role players and stakeholders (hereafter referred to as actors). These actors may be intra-departmental (i.e. within the EED) or extra-departmental (i.e. outside the EED), including non-governmental organisations (NGOs), community based organisations (CBOs) and other relevant actors. The actors may also manifest in the form of inter-governmental relations between the Education department and various departments on the same district level, regarding the implementation of discipline and safety national guidelines (DSNG), the development appraisal system (DAS), the whole school evaluation (WSE) and the integrated quality management system (IQMS) policies in Empangeni Education District (EED).

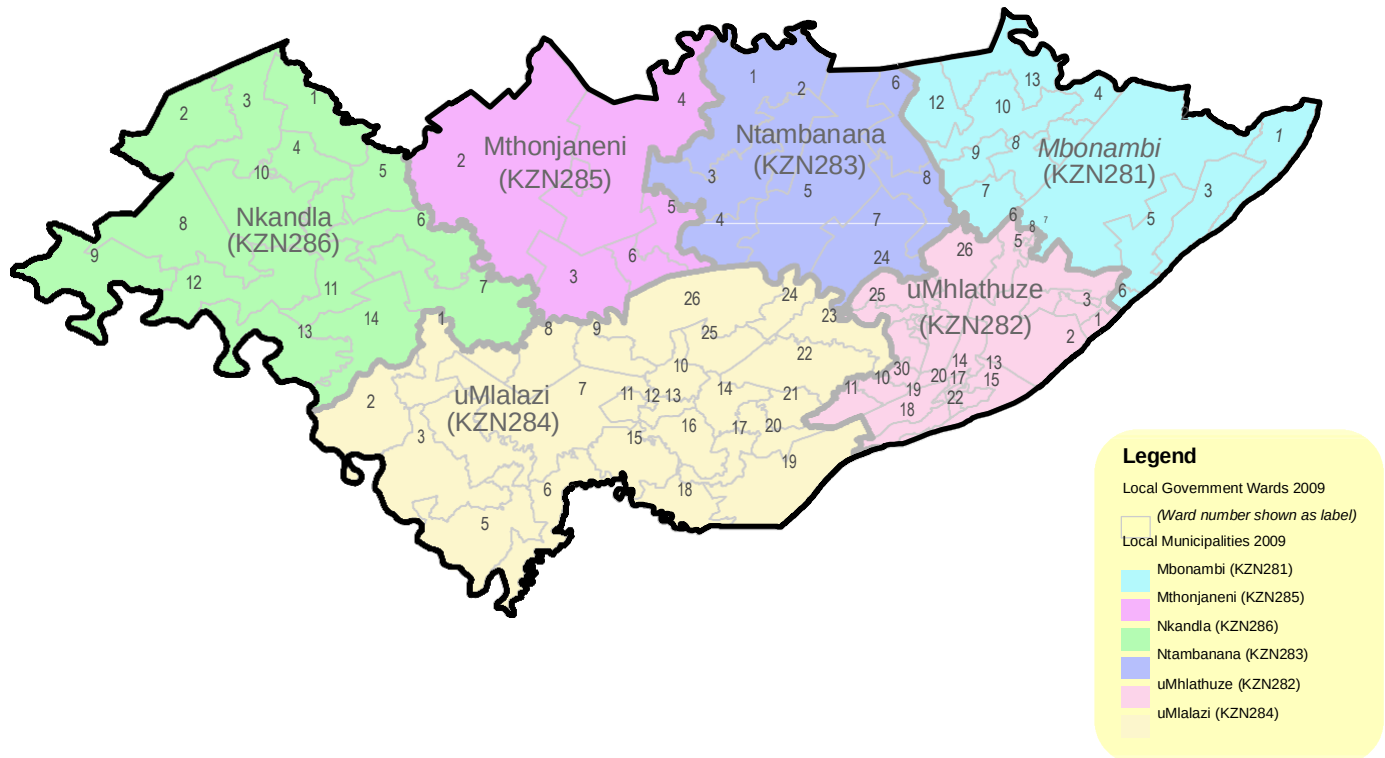
1.2 BACKGROUND

The KZN Province's Education department, as a public sector institution in education, has to implement public policies. The EED, as part of this sector, has the same obligation of implementing national guidelines and education related public policies. Situated on the North-Eastern coast of KwaZulu-Natal (KZN) Province, it has four big circuits, namely: Lower Umfolozi, Nkandla, Eshowe and Mthunzini. It boasts 661 public schools (mostly found in rural areas) with a total enrolment of 196 954 learners and an employment of 9 160 educators. (Figure 1.1 showing the demarcations of the EED area is attached on page 4 of this chapter). Figure 1.1 (see page 4 below) are two maps, one showing the EED as per the boundaries of uThungulu District Municipality, while the second map shows the EED as per the demarcated boundaries of KZN basic Education department (KZNBED). Notable about both maps is that, while the naming is different, the net map area of the local government demarcation is convergent with that of KZNBED's demarcation of the EED's area.

Consequently, this obligation is embodied in the public policy and national guidelines implementation of, *inter alia*, the developmental appraisal system (DAS), the Integrated Quality Management Systems (IQMS)(2004), the Whole School Evaluation (WSE)(2001) and the Discipline and Safety National Guidelines (DSNG)(2001). The purpose of these policies is as follows:

- DAS deals with the general performance of educators in unpacking the curriculum and in implementing the education related public policies;
- the WSE has to do with monitoring the effectiveness of public policy implementation by the public institutions like schools in their quest to provide effective, efficient and quality education. It also monitors how various actors support the PPI in order to render schools to function according to public policy objectives;
- the IQMS, which carries some elements of both DAS and WSE, has to do with identifying needs of educators, schools and district officials in order to bring about accountability, growth and effective public service in the

EED naming as per municipal demarcation



EED (Circuits and Wards) naming as per KZNBED

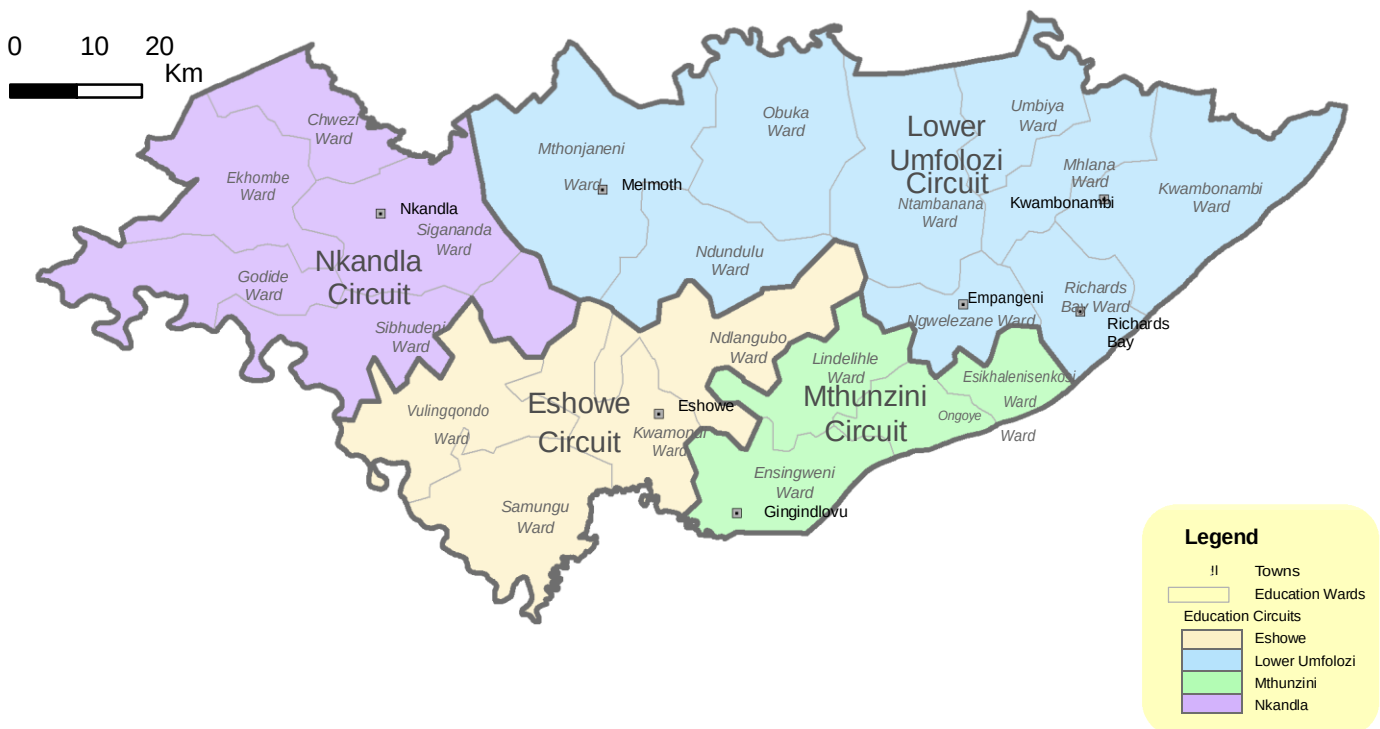


Figure 1.1: EED map area

Source: EduAction.co.za (2009:04)

education sector through a programme of co-ordinated monitoring and evaluation; and

- the DSNG focuses on discipline, safety and security in all public institutions and aspires to bring about schools free from drugs, crime, violence and abuse in order for effective implementation of education related public policies.

The challenges currently envisaged on the EED's ability to implement the public policies and the national guidelines were also discussed (see page 5 below).

1.3 PROBLEM STATEMENT

The Empangeni Education District (EED) is faced with the challenges which include the following:

- Lack of skills and capacity by those expected to implement [e.g. School Management Teams (SMTs), School Governing Bodies (SGBs) and educators] results in implementation of public policies that produce no change (Faleni, 2005:20). This suggests that public policies and guidelines like DAS, WSE, IQMS and DSNG will remain less effective if those expected to implement them lack skills and capacity.
- Lack of getting the right support, such as district monitoring and support to ensure an effective PPI unfolding according to the pre-set PPI objectives. According to Ludeman (2002:04), teachers have received limited and inadequate professional development and support.
- Compromised basic functionality where public institutions like schools, do not follow set public policies (Jansen, 2009:07).
- Lack of effective communication between different actors expected to drive the public policy process (Mhlongo, 2008:ii).
- Displaced SMT members, as a result of internal conflict in public institutions like schools, forcing the schools to operate without proper management staff to effect the PPI.
- Lack of discipline and safety in public schools (e.g. Dondotha area) (Bissetty, 2001:02).

These challenges formed the core of the research objectives, identified and discussed later in this chapter.

The researcher, being involved in the implementation of these national guidelines and policies as an employee in this Education District, can attest to problems of school violence (which should be addressed by the DSNG), but compromise the implementation of DAS and IQMS (to cite an example). The WSE implementation can also be cited as facing challenges since, if it is effectively implemented, problems that deter public school functionality, like school violence, should be timeously identified and proper support given by various actors to render these public institutions effective and efficient. In light of these challenges, the study will seek to produce a comprehensive model for improved implementation of public policies and national guidelines in the EED.

1.4 RESEARCH QUESTIONS

Given the above discussion, the main research question relevant to this study is:

To what extent is the Empangeni Education District able to implement national public policies and guidelines such as the DAS (1999), WSE (2001), IQMS (2004) and DSNG (2001) effectively?

With this in mind, the following research questions were asked:

- What does public policy entail and which (and how) Models/Theories influence public policy processes?
- What DAS, WSE, IQMS and DSNG, the nature and extent of internal organisational arrangements for effective implementation of these public policies and guidelines entail?
- What are the challenges faced by the EED in the implementation of the guidelines and public policies? (viz. DAS, WSE, IQMS and DSNG).
- What comprehensive model can be applied in the implementation of public policies and guidelines in EED's jurisdictional area?

1.5 RESEARCH OBJECTIVES

The objectives of the study were the following:

- To determine what public policy entails and which (and how) Models/Theories influence public policy.
- To determine what the developmental appraisal system (DAS), the whole school evaluation (WSE), the integrated quality management systems (IQMS), the discipline safety and national guidelines (DSNG), the nature and extent of internal organisational arrangements for effective implementation of the DAS, WSE, IQMS and DSNG entail.
- To identify the major challenges faced by the Empangeni Education District in implementing the DAS, WSE, IQMS and the DSNG public policies and national guidelines, respectively.
- To compile an improved EED's comprehensive PPI model (i.e. a guidelines and flow chart).

The EED's strengthened PPI model formed the pinnacle around which the remainder of the study objectives could be achieved.

1.6 CENTRAL THEORETICAL STATEMENTS

The PPI entails the setting in motion of policy directives as authorised by the decision makers and according to their prescriptions (Roux, 2005:73). The model for practical implementation on the other hand entails taking new initiatives regarding operational processes like operational planning, resource allocation, ensuring effective communication and control (Cloete *et al.*, 2006:204). Therefore, a model grounded on planning, considers internal and external contexts, organisational structure and organisational culture. It is in that light that this study sought to establish how DAS, WSE, IQMS and DSNG implementation is infused to strategies for practical PPI by the EED in its responsible area.

The following preliminary statements were made:

- i) Discipline and safety in EED's public schools pose challenges to the public policy implementation in the Education sector. Vandalism and wanton destruction of property still occur (Williamson, 2008:01). The Department of Higher Education and Training (DoHET) (2003:09) agrees that violence, ill-discipline and high insecurity are still evident in schools. Therefore, this is a challenge faced by all relevant actors in the Empangeni Education District (EED) regarding the implementation of discipline and safety guidelines in public schools.
- ii) The basic functionality of schools as public sector institutions is vital to public policy implementation in the Education sector. According to Chirwa (2008:04), there are schools in the EED with unresolved challenges among School Governing Body (SGB) members, teachers and learners, leading to what he calls "chaos in schools".
- iii) Lack of an effective management cycle and internal organisational structures to implement existing education policies in Empangeni District schools still remain a challenge (Waterworth, 2009:19).
- iv) According to Williamson (2009:10), some public schools in the EED also face a lack of sustained monitoring and support to ensure an uncompromised implementation of education policies that promote quality teaching and learning.

1.7 METHOD OF INVESTIGATION

In conducting research work for the purpose of this study, a thorough literature review, semi-structured interviews questions and a 5-point Likert scale questionnaire was compiled. .

1.7.1 Literature review

Books, government reports, newspaper reports and a variety of documents were consulted. A preliminary computer search on the availability of literature was also undertaken at Ferdinand Postma Library, North-West University (Potchefstroom Campus). The preliminary findings suggested that sufficient material is available to undertake this study.

The following databases were consulted in ascertaining the availability of the material for the purpose of this research:

- a) Catalogue of books: Ferdinand Postma Library (Potchefstroom Campus) of North-West University to ascertain books and articles relevant to this research;
- b) Catalogue of books: Zululand University Library to verify availability of books, newspaper articles and journals relevant to this research;
- c) Catalogue of theses and dissertations of South African Universities to establish how far research has been undertaken on the field of public policy implementation (PPI) in order to come up with a more refined and improved strategy at the end of this study;
- d) South African Press Association and KwaZulu-Natal (KZN) Newspapers to find articles on the PPI;
- e) National Department of Education to determine policies which will be used for this research;
- f) KZN Department of Education to determine strategies employed in PPI, problems encountered and strategies used to solve them; and
- g) Nexus to verify if the topic chosen is being researched by another researcher.

The preliminary findings for the aforesaid revealed that sufficient literature is available to undertake the research and no explicit reasons existed for the research to be discontinued.

1.7.2 Empirical research methods

For data gathering, semi-structured interviews were conducted. Semi-structured interviews ask more open-ended questions, thus inviting more comments from the respondents. Consequently, semi-structured interviews can catch the authenticity, richness, depth of response and condor, which are hallmarks of qualitative data collection (Cohen *et al.*, 2000:255).

The 5-point Likert scale questionnaire sought to establish how respondents view and rate the EED's current PPI model through using the scale rating, on, for example,

monitoring, evaluation, reporting and feedback. The 5-point Likert scale enabled the semi-structured responses to be evaluated and triangulated against the responses from the semi-structured responses and the research objectives, in order to establish an informed view to create a suitable structured PPI model in the Empangeni Education District (EED).

1.7.3 Research design

According to Coetzee (2004:90), sampling is vital in establishing the trend of the study with regard to its research problem. In this study the mixed methodology research design was used. Mamburu (2004:301) argues that mixed methodology research design combines the properties of both the qualitative and quantitative research methodologies. The mixed methodology research design promotes triangulation, which is the cross validation among data resources entailing the use of more than one source of data to substantiate a researcher's conclusion (White, 2003:18). Mamburu (2004:304) maintains that the mixed methodology research design also allows for the combination of both probability sampling and non-probability sampling techniques. The mixed methodology research design was used to accommodate responses from both the semi-structured interviews and the 5-point Likert scale questionnaire.

The semi-structured interviews were conducted with the following randomly selected respondents from the EED:

- a) Seven Senior managers in the EED management to establish what challenges they have experienced in public policy implementation;
- b) Ten Schools' Senior Management Teams (SMTs) and School Governing Bodies (SGBs) to establish challenges facing public policy implementation at the lowest level where results of its implementation ought to be evident; and
- c) Any five relevant actors in the implementation of the DAS, WSE, IQMS and DSNG in order to identify challenges to improve public policy implementation in the EED.

A sample size of at least 22 respondents was selected for semi-structured interviews. In addition to the respondents for semi-structured interviews, a

broadened sample of 70 respondents was issued with a 5-point Likert scale questionnaire, as another data collecting instrument. The sample comprised of 40 school-based respondents, 15 office-based respondents and 15 other actors.

Both samples of 22 respondents (semi-structured interviews) and 70 respondents' (5-point Likert scale) were selected from amongst the actors. The actors included education officials, principals, community based organisations (CBOs), non-governmental organisations (NGOs) and relevant actors including inter-departmental agencies such as the local police services and social workers, who are involved in public policy implementation. The total population entrusted with implementation of national guidelines and public policies in Empangeni Education District is 9 500.

In order to present a systematic analysis, the data obtained from the semi-structured interviews was analysed and interpreted for the purpose of identifying relevant information and methods for changing and improving the existing EED public policy implementation model. An empirical analysis and evaluation of the relevant information was undertaken for scientific presentation. The data analysis was linked to the challenges facing the PPI to establish and develop a comprehensive model for the implementation of national public policies and guidelines in EED.

1.8 CONTRIBUTION TO THE PUBLIC MANAGEMENT BODY OF KNOWLEDGE

The researcher's involvement with the PPI for 20 years in the education environment contributed towards a hands-on experience during the study. The researcher used it as a basis to understand the PPI challenges facing the EED's current model in order to design a transformed and an improved public policy implementation (PPI) model within the educational environment of the Empangeni Education District (EED).

1.9 PROPOSED DIVISION OF CHAPTERS

To meet the set study objectives, the thesis was divided into the following seven chapters:

CHAPTER 1: INTRODUCTION TO THE STUDY

This chapter focused on the orientation and problem statement and layout of the study.

CHAPTER 2: THEORETICAL FOUNDATION OF PUBLIC POLICY

This chapter attempted to look at what public policy entails, that is, all facets of the public policy process which, *inter alia*, are initiation, design, analysis, formulation, advocacy, implementation and evaluation are discussed. Focus was also placed on the Models/Theories that influence public policy.

CHAPTER 3: ORGANISATIONAL ARRANGEMENTS AND STRUCTURES FOR PUBLIC POLICY IMPLEMENTATION IN THE KZN PROVINCE'S DEPARTMENT OF BASIC EDUCATION

This chapter discussed what DAS, WSE, IQMS and DSNG entails and focused on internal organisational arrangements and structures for the implementation of policies and guidelines in the education sector (with special reference to the EED).

CHAPTER 4: AN INVESTIGATION INTO THE NATURE AND EXTENT OF THE EDUCATION-RELATED PUBLIC POLICY IMPLEMENTATION PROCESS: A CASE OF EMPANGENI EDUCATION DISTRICT.

In this chapter, the empirical research was conducted on public policy implementation in EED, in order to identify challenges faced by the Empangeni Education District in the implementation of the public policies and the national guidelines. The analyses of challenges established from the empirical research are then discussed.

CHAPTER 5: CURRENT PUBLIC POLICY IMPLEMENTATION MODEL IN EMPANGENI EDUCATION DISTRICT

In this chapter the empirical research analyses were used to describe and present the EED's current model. In the process, the areas where improvement can be made were noted as a basis for an improved model.

CHAPTER 6: IMPROVED MODEL ON PUBLIC POLICY IMPLEMENTATION WITHIN THE EMPANGENI EDUCATION DISTRICT IN THE KZN PROVINCE

This chapter presents an improved public policy implementation model for the EED. The EED's improved model seeks to draw contrasts and distinction from the current EED's model. The EED's strengthened model also indicated how it can deal with PPI challenges affecting the EED's jurisdictional area.

CHAPTER 7: CONCLUSION AND RECOMMENDATIONS

This chapter presents a summary of each chapter. Based on both the improved model and the current model, it also proposes recommendations for the PPI in EED's area of responsibility.