

A comprehensive model for the implementation of national public policies and guidelines: Empangeni Education District

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DEDICATION

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DECLARATION

I, Bhekefini Sibusiso Vincent Mthethwa (Student Number 12916676), hereby declare that the thesis entitled:

A comprehensive model on the implementation of national public policies and guidelines: Empangeni education district

submitted in fulfilment of the requirements for the degree, Philosophiae Doctor in Public Policy and Management, at North-West University, Potchefstroom Campus, is my own work and has never been submitted by me to any other university. I also declare that all the sources used have been acknowledged by means of complete referencing.

I understand that the copies of the thesis submitted for examination will remain the property of North-West University.

Signed.....on this day.....of.....Month, 2014.

SUMMARY

A comprehensive model for the implementation of national public policies and guidelines: Empangeni education district.

Key words: Public policy, provincial education department, policy making, public policy implementation, public policy evaluation, Empangeni education district, model.

The phenomenon of the public policy process, which encapsulates the public policy implementation, has been in existence long before the political transformation that took place in South Africa in 1994. However, the ushering in of the new dispensation saw the integration of the existing public policies. In addition, it inevitably heralded the introduction of the new public policies and national guidelines across all sectors of the South African public institutions. Public policy implementation, as an integral stage of the public policy process, emerged as indispensable towards effective and efficient public service. The basic education, as a public institution, could also not be exempted from such inevitability of heightened public policy implementation.

The introduction of the new education related public policies included the developmental appraisal system (DAS), the whole school evaluation (WSE), the integrated quality management systems (IQMS) and the discipline and safety national guidelines (DSNG). This, consequently, bears testament to what became an inevitable transformation process in South African basic education. Using the DAS, the WSE, the IQMS and the DSNG as points of departure and Empangeni education district as a reference area, the focus of this study has been the public policy process, the internal organisational arrangements and structures for public policy implementation, the public policy implementation process together with its inherent challenges and an improved model aimed at alleviating or even eradicating such public policy implementation challenges.

The theoretical models, both descriptive and prescriptive, suggest that the public policy process, which entails namely: public policy agenda, public policy formulation, public policy adoption, public policy implementation and public policy evaluation, is premised on the public policy models. Of all the above-listed public policy process stages, public policy implementation stands out as the pinnacle around which the public policy process revolves. The public policy implementation

stage, therefore, suggests a point where the influence, the impact and the successes or failures of the public policy process unfold. In light of this inextricable link of the public policy implementation stage to the general public policy process that is influenced by models, the effective public policy implementation is, subsequently, embrative of attributes and lessons derived from the public policy models. Some of these attributes and lessons, *inter alia*, include; the mutual participation by all actors involved, rather than dominance by an elite group (derived from the elite/mass model), the identification of institutional structures responsible for the public policy implementation (derived from the institutional model) and the accommodation of the implementation review as well as feedback (all indicative of the systems model).

The literature review and the empirical data analyses show convergent views that suggest that the effective public policy implementation is directly proportional to the extent of internal organisational arrangements and structures as well as to the basic functionality of schools as centres for the implementation process. This implies that where internal institutional arrangements and structures are evident and functional, the implementation of public policies is bound to be effective and efficient, while the contrary also holds.

Given Empangeni education district being the focal point of the study, it has emerged that the use of personnel from other units and the absence of a district unit designated to solely oversee the coordination, the implementation and the evaluation of the education related public policies, inhibit the potential of adequately achieving the intended objectives of the education related public policies implemented. In case of schools as the institutional centres for public policy implementation, empirical data analyses have established an inter-connection between the public policy implementation and the schools' basic functionality. Consequently, it is in functional schools (i.e. schools where the school management teams and school governing bodies are visible, effective and work collaboratively), where public policy implementation thrives and is effective.

The contextualisation of the empirical research analyses to the study focus area, Empangeni Education District (EED), established that its current implementation model faces public policy implementation challenges. The most evident challenges, *inter alia*, include:

- the inadequate advocacy of the education related public policies to be implemented;
- the two or three days, currently accepted as a capacity building period by those expected to implement education related public policies, are not proportional to the volume of work to be covered and it suggests an inadequate time-frame for capacity development in the EED's current model;
- the material and mechanisms used to perform functional work do not accommodate all role-players (also called actors in this study) according to their demographical needs, like language, which renders them inept to perform to their optimum level;
- the primary structure of the current EED's public policy implementation model is a top-down directional structure which underscores the top-down cascading model;
- current communication technology employed, do not take advantage of the 21 century's information computer technology in order to make the work environment more user-friendly, efficient and effective;
- the simultaneous implementation of education related public policies poses a challenge to internal organisational arrangements, such as public policy implementation (PPI) structures and personnel, for effective implementation of such policies; and
- the evident inadequate continuous and deliberate monitoring of implemented education related public policies.

Conclusions and inferences drawn from this study suggest that the EED's current public policy implementation model is inadequate to deal with the identified challenges. Finally, this study proposes a strengthened EED public policy model, which accommodates recommendations to EED's public policy implementation challenges. Inherently, the proposed strengthened public policy implementation model is not limited to dealing with the identified challenges only, but it radically embraces the introduction of systems and internal organisational structures that promote inclusive, collaborative and traceable implementation of education related public policies.

OPSOMMING

'n Omvattende model vir die implementering van nasionale openbare beleid en riglyne: Empangeni-onderwysdistrik

Sleutelwoorde: Openbare beleid, provinsiale onderwysdepartement, beleidmaking, openbarebeleidsimplementering, openbarebeleidsevaluering, Empangeni-onderwysdistrik, model.

Die verskynsel van die openbarebeleidsproses, wat openbarebeleidsimplementering insluit, bestaan reeds van lank voor die politieke transformasie wat in 1994 in Suid-Afrika plaasgevind het. Maar met die inlui van die nuwe bedeling was daar integrasie van die bestaande openbare beleide. Verder het dit onvermydelik die instelling van nuwe openbare beleide en nasionale riglyne oor al die sektore van die Suid-Afrikaanse openbare instellings heen ingelui. Openbarebeleidsimplementering, as 'n geïntegreerde stadium van die openbarebeleidsproses, het as onontbeerlik vir 'n effektiewe en doeltreffende staatsdiens na vore getree. Basiese onderwys, as 'n openbare instelling, kon ook nie die onafwendbaarheid van verhoogde openbarebeleidsimplementering vryspring nie.

Die bekendstelling van die nuwe onderwysverwante openbare beleide het ingesluit: die Ontwikkelingsevalueringstelsel (OES), die Heelskoolevaluering (HSE), die geïntegreerde gehaltebestuurstelsels (GGBS) en die nasionale riglyne oor dissipline en veiligheid (NRDV). Dit getuig gevolglik van dit wat 'n onvermydelike transformasieproses in Suid-Afrikaanse basiese onderwys geword het. Met behulp van die OES, die HSE, die GGBS en die NRDV as uitgangspunte en Empangeni-onderwysdistrik as 'n verwysingsarea was die fokus van hierdie studie die openbarebeleidsproses, die interne organisatoriese reëlins en strukture vir openbarebeleidsimplementering, die proses van openbarebeleidsimplementering saam met die inherente uitdagings daarvan en 'n verbeterde model wat daarop gemik is om die uitdagings van openbarebeleidsimplementering te verlig of selfs heeltemal uit die weg te ruim.

Die bespreking van die teoretiese modelle, beide beskrywend en voorskriftelik, dui daarop dat die openbarebeleidsproses, wat die openbarebeleidsagenda, openbarebeleidsformulering, openbarebeleidsaanvaarding, openbarebeleidsimplementering en openbarebeleidsevaluering behels, op die

openbarebeleidsmodelle geskoei is. Van al die hierbo gelyste stadiums van die openbarebeleidsproses, staan openbarebeleidsimplementering uit as die toppunt van dit waarom die openbarebeleidsproses wentel. Die openbarebeleidsimplementeringstadium dui dus op 'n punt waar die invloed, die impak en die sukses of mislukking van die openbarebeleidsproses ontvou. In die lig van hierdie onlosmaaklike verbintenis van die openbarebeleidsimplementeringstadium met die algemene openbarebeleidsproses wat deur modelle beïnvloed word, omvat effektiewe openbarebeleidsimplementering gevolglik van die eienskappe en lesse wat uit die openbarebeleidsmodelle afgelei is. Sommige van hierdie eienskappe en lesse sluit, onder andere, die wedersydse deelname deur al die betrokke rolspelers in, eerder as oorheersing deur 'n elitegroep (afgelei van die elite/massa-model), die identifisering van institusionele strukture wat verantwoordelik is vir die openbarebeleidsimplementering (afgelei van die institusionele model) en die akkommodering van die implementeringshersiening, asook terugvoer (wat almal aanduidend van die stelselmodel is).

Die literatuuroorsig en die ontledings van die empiriese data toon konvergente standpunte, wat suggereer dat doeltreffende openbarebeleidsimplementering direk eweredig is aan die omvang van interne organisatoriese reëlins en strukture sowel as aan die basiese funksionaliteit van skole as sentrums vir die implementeringsproses. Dit impliseer dat waar interne institusionele reëlins en strukture duidelik teenwoordig en funksioneel is, die implementering van openbare beleid vanselfsprekend effektief en doeltreffend sal wees, terwyl die teendeel ook geld. Gegewe dat Empangeni-onderwysdistrik die fokuspunt van die studie is, het dit aan die lig gekom dat die gebruik van personeel van ander eenhede en die afwesigheid van 'n distrikseenheid wat aangewys is om slegs oor die koördinerings, implementering en evaluering van die onderwysverwante openbare beleid toesig te hou, inhibeer die potensiaal om die beoogde doelstellings van die geïmplementeerde onderwysverwante openbare beleid te bereik. In die geval van skole as die institusionele sentrums vir openbarebeleidsimplementering het ontledings van empiriese data 'n onderlinge verband tussen die openbarebeleidsimplementering en die skole se basiese funksies tot stand gebring. Gevolglik is dit in funksionele skole (dws skole waar die skoolbestuurspanne en skoolbeheerliggame sigbaar en doeltreffend is en saamwerk) dat die openbarebeleidsimplementering floreer en doeltreffend is.

Die kontekstualisering van die empiriese navorsingsontledings teen die studiefokusarea, Empangeni-onderwysdistrik (EOD), het bepaal dat die huidige implementeringsmodel daarvan uitdagings wat betref openbarebeleidsimplementering in die gesig staar. Die mees klaarblyklike uitdagings sluit onder andere die volgende in:

- die ontoereikende voorspraak vir die onderwysverwante openbare beleid wat geïmplementeer moet word;
- die twee of drie dae, wat tans as 'n kapasiteitsboutydperk aanvaar word deur diegene van wie daar verwag word om onderwysverwante openbare beleid te implementeer, is nie proporsioneel tot die volume werk wat gedek moet word en dit suggereer 'n onvoldoende tydperk vir kapasiteitsontwikkeling in die EOD se huidige model;
- die materiaal en meganismes wat gebruik word om funksionele werk te verrig akkommodeer nie alle rolspelers (ook bekend as akteurs in hierdie studie) volgens hul demografiese behoeftes soos taal nie, wat hulle dus onbevoeg maak om op optimale vlak te presteer;
- die primêre struktuur van die huidige EOD se openbarebeleidsimplementering-model is 'n eenrigtingstruktuur wat die afwaarts kaskaderende model beklemtoon;
- kommunikasietegnologie, wat tans gebruik word, benut nie die voordeel van die 21e eeu se rekenaarinligtingstegnologie ten einde die werksomgewing meer gebruikersvriendelik, doeltreffend en doelmatig te maak;
- die gelyktydige implementering van onderwysverwante openbare beleid stel 'n uitdaging aan interne organisatoriese reëlins, soos OBI-strukture en personeel, vir die doeltreffende implementering van sodanige beleid;
- die duidelik ontoereikende deurlopende en doelbewuste monitering van geïmplementeerde onderwysverwante openbare beleid.

Gevolgtrekkings en afleidings wat uit hierdie studie gemaak word, dui daarop dat die EOD se huidige openbarebeleidsimplementering-model onvoldoende is om te die geïdentifiseerde uitdagings die hoof te bied. Ten slotte stel hierdie studie 'n sterker EOD-openbarebeleidsmodel voor, wat aanbevelings oor die EOD se uitdagings betreffende openbarebeleidsimplementering akkommodeer. Die

ontwerp van die voorgestelde sterker openbarebeleidsimplementering-model is inherent nie slegs tot die hantering van die geïdentifiseerde uitdagings beperk nie, maar omarm ook radikaal die instelling van stelsels en interne organisatoriese strukture wat inklusiewe, samewerkende en naspeurbare implementering van onderwysverwante openbare beleid bevorder.

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**AN INVESTIGATION INTO THE NATURE AND EXTENT OF THE
EDUCATION-RELATED PUBLICITY POLICY IMPLEMENTATION
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LIST OF ABBREVIATIONS AND ACRONYMS

ACF - Advocacy for Coalition Framework
CBOs - Occupational Based Organisations
CCI - consultation, collaboration and inclusiveness
CPF - Community Policing Forum
DAS - Developmental Appraisal System
DIP - District Improvement Plan
DoHET - Department of Higher Education and Training
DSNG - Discipline and Safety National Guidelines
DSNG - Discipline and Security National Guidelines
DSSC - Discipline Safety and Security Committee
DWs - District Wards
ECC - Evaluators' code of conduct
EED - Empangeni Education District
ELRC - Education Labour Relations Council
EOD - Empangeni-onderwysdistrik
GCM - Garbage-Can Model
GEAR - Growth, Employment and Redistribution
GGBS - Geïntegreerde gehalte bestuur stelsels
HSE - Heelskoolevaluering
INSET - In-service Education and Training
IQMS - Integrated Quality Management System
KZN - KwaZulu-Natal
KZNBED - KwaZulu-Natal Basic Education Department
LST - Learner Support Team
NGMPDA - National guidelines for the management and prevention of drug abuse
NGO - Non-governmental organisation
NRDV - Nasionale riglyne oor dissipline en veiligheid
OES - Ontwikkelingsevalueringstelsel
PGPs - Personal Growth Plans
PM - Performance Measurement
PPIMM - Public Policy Implementation Maturity Model
PPITs - Public Policy Implementation Trainees
PPMI - Public Policy Making Instrument
RCL - Representative Council of Learners

RDP - Reconstruction Development Programme
SANBED - South African National Basic Education Department
SAPS - South African Police Services
SASA - South African Schools Act
SASSL - South African Standard for School Leadership
SBM - School Based Management
SDT - Staff Development Team
SGB - School Governing Body
SIP - School Improvement Plan
SMT - School management team
SSC - School Safety Committee
SSE - School Self Evaluation
SSP - Safe School Project
WSE - Whole School Evaluation