

**“ Social Dialogue through the Rationalisation and
Redeployment Policy Process in Education post 1994 :
An Analysis of Perceptions and Experiences of Key Policy
Actors within the Gauteng Province.”**

By

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DECLARATION

I, the undersigned, hereby declare that the work contained in this assignment is my own original work and that I have not previously in its entirety or in part submitted it at any university for a degree.

Colette Bronwen Clark

ABSTRACT

Since 1995, despite the consultative processes with regards to Rationalisation and Redeployment, many stakeholders did not accept, nor understand the rationale behind the government's drive to redistribute human resources. It is widely known that there existed immense tensions and conflicts between educators and bureaucrats on the issue, which played itself out in the Grove Primary School case, as well as the withdrawal of regulations because of a 'threatened strike', due to government's disregard for participatory democracy.

Using a case study, within the Gauteng province, this research investigated the experiences and perceptions of key policy actors on the policy planning and implementation processes by tracking the development of social dialogue during this process.

The conceptual framework for this study was provided in the work of Cheng and Cheung (1995), who provided a generic empirical education policy analysis model, which tracks the policy processes within linear phases. Fifty indicators were identified, which were used to measure the efficacy of the policy-making process, as well as the evolution of social dialogue in the policy discourse. This study argues that in an endeavour to implement redress and equity, the policy employed had its inherent weaknesses. The researcher used a structured questionnaire to measure key policy actors (formulators and implementers), experiences and perceptions of the process employed.

The qualitative methodology, which was supported by the quantitative data analysis approach, exposed that bureaucratic attitude towards socio-political participation, a technocratic approach to educational imperatives, strong union organisation, empowered parents, and the lack of capacity at certain levels of administration to deal with resistance directly and indirectly, contributed to the ambiguous success of this policy intervention.

The purpose of this research was to assist in improving the efficacy of the policy pathways, by proposing a modified strategy, which includes dialogue with all relevant role players.

In focusing primarily on the analysis of the Rationalisation and Redeployment Policy process, the findings of this empirical research have therefore shown how opinions and perceptions about the efficacy of a policy process are directly linked to the experiences of policy actors with regards to social dialogue during the process. As any interventionist policy is a negotiated responsibility of all educational role players, in order to promote an enabling educative environment, the consultative, as well as the policy processes proposed in this study, are based on principles grounded in research which makes optimal use of existing structures.

OPSOMMING

Sedert 1995, ten spyte van die konsultatiewe proses rakende rasionalisasie en her-ontplooiing, het min van die rolspelers die proses aanvaar, of die rasionaal agter die regering se poging om menslike hulpbronne te her-versprei verstaan. Dit is alombekend dat daar reuse spanning en konflik tussen opvoeders en burokrate, gesentreer rondom die Grove Primêre Skool saak, bestaan het. Dit het saamgegaan met die onttrekking van regulasies -as gevolg van 'n beoogde staking weens die regering se miskenning van deelnemende demokrasie.

Hierdie studie maak gebruik van 'n gevalle studie in die Gauteng provinsie. Hiervolgens is daar 'n ondersoek na die ervarings en persepsies van sleutel beleidsrolspeleers ten opsigte van beleidsbeplanning en implementeringsprosesse. Die hoofidee is om die ontwikkeling van die sosiale dialoog binne die provinsiale onderwys na te spoor.

Die konsepsuele raamwerk word verskaf deur Cheng and Cheung (1995), wie se werk 'n generiese empiriese onderwysbeleidsontleding model voortbring het. Hierdie model volg die beleidsproses binne liniêre fases. Vyftig aanwysers word geïdentifiseer, wat gebruik word om die effektiwiteit van die beleidsformuleringsproses sowel as die evolusie van sosiale dialoog te meet. Hierdie studie voer aan dat in die poging om herverspreiding en gelykberegtiging te implementeer, die rasionalisasie en her-ontplooiing proses opsigself inherente swakhede gehad het. 'n Gestruktureerde vraelys, om sleutel rolspelers se ervarings en persepsies van die beleidsproses te meet, is gebruik.

Hierdie navorsing bring na vore die feit dat burokratiese houdings jeens sosio-politiese deelname, 'n tegnokratiese benadering tot opvoedkundige imperatiewe, sterk vakbondorganisasie, bemagtigde ouers, en bestuursvlak se onvermoë om weerstand te hanteer, bygedra het tot die dubbelsinnige sukses van hierdie beleidsintervensie.

Die doel van die navorsing is om die effektiwiteit van die beleidsweë te verbeter. Dit word gedoen deur die voorstel van 'n gewysigde strategie, wat die dialoog van alle relevante rolsplers insluit.

Deur primêr te fokus op die rasionalisasie en her-ontplooiing proses, wys die navorsing dat opinies en persepsies rondom die effektiwiteit van 'n beleidsproses direk gekoppel is aan die ervarings van beleidsrolspelers met betrekking tot sosiale dialoog. Die konsultatiewe sowel as die beleidsprosesse wat voorgestel word in hierdie studie is gebaseer op beginsels wat opsigself gefundeer is in navorsing wat van die bestaande strukture optimaal gebruik maak.

	Page No.
Acknowledgements	viii
Table of Contents	ix
List of Abbreviations	xiii
Lists of Tables	xv
Lists of Graphs	xvi
Lists of Figures	xvii

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CONTENT**Page
No.****Chapter 1****HISTORICAL CONTEXT OF RATIONALISATION OF
EDUCATION HUMAN RESOURCES PROVISIONING**

1.1.	Introduction	1
1.2.	Background and Overview	4
1.3.	Education Provisioning in South Africa post 1994-1995	7
1.4.	The Redistribution and Transformation phase 1996-1998: “Sharing of the Cake “	10
1.4.1.	Socio-Political Events	14
1.5.	“The Market Phase”- Period 1999 onwards	16
1.6.	Objectives to Rationalisation and Redeployment in Education	17
1.7.	International Experiences	19
1.8.	Social Dialogue and Policy Choices	21
1.9.	An Analytical Policy Process Model	25
1.10.	Problem Statement and Research Questions	28
1.11.	Purpose and Value of this Research	32
1.12.	Limitations of this Research	33
1.13.	Methodology	35
1.13.1.	Research Design	35
1.13.2.	Literature Review	38
1.14.	Chronological Order of the Chapters	39
1.15.	Summary	40

Chapter 2**EVOLUTION OF POLICY DIALOGUE IN EDUCATION
RESOURCING POLICY-MAKING**

2.1.	Introduction	42
2.2.	The Role of Civil Society in the Policy System	42
2.3.	Socio-Political Perspective of Participation	44
2.3.1.	Group Theory of Participation	46
2.3.2.	Elite Theory of Participation	46
2.3.3.	Public Policy Perspectives	47
2.4.	Political Efficacy within Public Management of the Policy Processes	48
2.5.	Institutional Arrangements and Consultative Structures	50
2.5.1.	General Co-ordinating and Advisory Bodies	50
2.5.2.	National Education and Training Council	52
2.6.	Summary	52

	Page No.
Chapter 3	
METHODOLOGY AND ANALYSIS	
3.1. Introduction	54
3.2. Research Group Selection	55
3.3. Research Design and Strategy	57
3.4. Research Instrument Design and Data Management Protocol	58
3.5. Quality Assurance	61
3.6. Data Analysis Strategy and Interpretation of Results	62
3.6.1. Descriptive Analysis of Sample	63
3.7. Principle Component Analysis	65
3.8. Data Analysis	67
3.8.1. Analysis of Responses to Instrument Items	67
3.8.2. Evaluation of Policy Success of Failure	84
3.8.3. Qualitative Thematic Coding Analysis	85
3.9. Discussion and Summation of Research Findings	87
3.10. Schematic Representation of Research Findings	90
3.11. Summary	93

Chapter 4

**RECOMMENDATIONS FOR THE PROMOTION OF
SOCIAL DIALOGUE IN EDUCATION POLICY
PROCESSES**

4.1.	Introduction	95
4.2.	Summary of Research Findings	95
4.3.	Recommendations for a Strategy to Promote Social Dialogue	98
4.3.1.	Conditions that facilitate the Promotion and Development of a Social Contract for Policy Making within Education	98
4.3.2.	Policy Community and Policy Networking	99
4.3.3.	A Model for Informed Social Dialogue	101
4.4.	Gaps for Further Research	101
4.5.	Concluding Observations and Reflections	102

LIST OF ABBREVIATIONS

ANC	African National Congress
CEM	Council for Education Ministers
CSAEMP	Canada-South African Management Programme
DET	Department of Education and Training
DG	Director-General
DOE	National Department of Education
E of EA	Employment of Educators Act, 1994
ELRC	Education Labour Relations Council
GDE	Gauteng Department of Education
GDP	Gross Domestic Product
GEAR	Growth, Employment and Redistribution
HEDCOM	Heads of Department Committee
HOA	House of Assembly
HOD	House of Delegates
HOR	House of Representatives
IIEP	International Institute for Educational Planning
ILO	International Labour Organisation
LRA	Labour Relations Act, 1995
MEC	Member of the Executive Council
NAPTOSA	National Association of Professional Teachers of South Africa
NEDLAC	National Economic Development and Labour Council
NETC	National Education and Training Council
NEPA	National Policy Act, 1996
PAM	Personnel Administrative Measures
PED	Provincial Education Department
PSCBC	Public Service Co-ordinating Bargaining Council
RDP	Reconstruction and Development Programme
R & R Policy	Rationalisation and Redeployment
SAOU	Suid Afrikaanse Onderwys Unie
SADTU	South African Democratic Teachers' Union

SGB	School Governing Body
TED	Transvaal Education Department
UNESCO	United Nations Education Science
VSP	Voluntary Severance Package

LISTS OF TABLES

No.	Description
<i>Table 1</i>	Pre-1994 Ex-Department Provisioning per Learner
<i>Table 2</i>	Average Annual Cost per Educator – 1996-1999(R'000's)
<i>Table 3</i>	Number of Educators per Province – 1996-1999
<i>Table 4</i>	Policy Hierarchy
<i>Table 5</i>	Determination of Precision Controls
<i>Table 6</i>	Composition of Targeted Purposive Sample
<i>Table 7</i>	Descriptive Demographic Profile of Survey Sample Profile of respondents by areas of Specialisation
<i>Table 8</i>	Policy Formulators vs. Policy Implementers
<i>Table 9</i>	Orthogonal Factor Loading Matrix for Social Dialogue
<i>Table 10</i>	Comparison on Problem Identification
<i>Table 11</i>	Comparison on Principles underlying Policy Agenda Setting
<i>Table 12</i>	Comparison on Characteristics of Educational Policy- Making body
<i>Table 13</i>	Comparison on Policy Dialogue
<i>Table 14</i>	Comparison on Policy Perspective Employed
<i>Table 15</i>	Comparison on Preparation for Policy Implementation
<i>Table 16</i>	Comparison on Readiness of Resources
<i>Table 17</i>	Comparison on Legal Preparations
<i>Table 18</i>	Comparison on Levels of Planned Change by Policy Intervention
<i>Table 19</i>	Comparison on Policy Outcomes and Quality of Resulting Policy
<i>Table 20</i>	Satisfaction with the Rationalisation and Redeployment Policy and Process as an Intervention
<i>Table 21</i>	Analysis of the Policy Implementation of Rationalisation and Redeployment using a Differential Sliding Scale
<i>Table 22</i>	Summary of Findings on the Efficacy of the Policy Process using a Discrimination Index

LIST OF GRAPHS

<i>Graph 1</i>	Problem Identification
<i>Graph 2</i>	Principles underlying Policy Agenda Setting
<i>Graph 3</i>	Characteristics of Educational Policy-Making body
<i>Graph 4</i>	Policy Dialogue
<i>Graph 5</i>	Policy Perspective Employed
<i>Graph 6</i>	Preparation for Policy Implementation
<i>Graph 7</i>	Readiness of Resources
<i>Graph 8</i>	Legal Preparations
<i>Graph 9</i>	Levels of Planned Change by Policy Intervention
<i>Graph 10</i>	Policy Outcomes and Quality of Resulting Policy
<i>Graph 11</i>	Opinion on Re-distributive Policies

LIST OF FIGURES

- Fig.1* An Education Policy Analysis Framework
- Fig.2* The Policy System
- Fig.3* An Explanatory Model for the Development of Formal and Actual Participation in Policy Processes
- Fig.4* Path Diagram for the Development of Social Dialogue
- Fig.5* Schematic Representation of the Development of Participation
- Fig. 6* An Explanatory Model for the Democratisation of the Policy Processes through Participation
- Fig.7* An Explanatory Model for the Development of Social Dialogue according to the Stairway Theory

CHAPTER 1

HISTORICAL CONTEXT TO RATIONALISATION OF EDUCATION HUMAN RESOURCES PROVISIONING

“The challenge for policy-makers is to handle pressing short-term concerns while avoiding irreversible or expensively reversible damage to the system, in our case, the educational system.”

J. Simmons

1. 1. INTRODUCTION

This research examines the key aspects of the process for the development of state policy and the administration thereof in an area of Human Services, namely Education, within the Gauteng Province, South Africa. It is suggested that a specific historical and theoretical analysis is required, as state policy according to Ginsburg (1979:1), is directly formed by the exigencies of continual crises of economic development and its political consequences.

The African National Congress (ANC), the ruling party in Government post 1994 elections, emphasised democratizing the state and civil society¹ by arguing the need for strong participatory policy formulation in all areas of government. The following political philosophy, which was the governing principle of people driven processes, is prefaced by an extract from the Reconstruction and Development Programme (RDP) of the ANC:

“Trade unions and other mass organizations must be actively involved in democratic policy-making. Development is not about the delivery of goods and services to a passive citizenry, it is about active involvement and growing empowerment” (ANC:RDP:1994, p5 ,131).

This intended participatory democracy, was therefore expected to be reflected in key areas of development, which included education policy formulation processes. Civil society expected the ANC to operationalise its commitment to

¹ **Civil society** as defined by B.Nzimade (1993:6), as all those sectors of society that are not part of government.

participation in the shaping and monitoring of development policies of government, as ownership through *participation*² are necessary conditions for successful policy implementation.³

Sayed and Carrim (1997:91) debate that the central notion to educational democracy in South Africa, is greater participation. However, they argue that the policy texts do not necessarily enhance the policy development process because of the deep chasm between privilege and redress necessitated by South Africa's own history. It will be shown in this study, that in South Africa, this particular model of participatory democracy, when realized in the context of a newly formed democracy, has succeeded in developing the collective strength of civil society to become a force of political significance, which evolves into different forms and levels of participation as the democracy matures (Yun,1989: 301).

This research critically examines an educational policy process of *Rationalisation and Redeployment* of educators in South Africa in respect of the key policy texts, which were issued by the then Minister Professor Bhengu on the 2 May 1996⁴, in order to debate the merits and demerits of institutionalized democracy from a political and economic perspective. The post election euphoria, however, seemed to have given supplementary policymakers a blank cheque in their quest for redress and equity, which was challenged by two major crises during the period 1996 to 2001. This was an indication of insufficient meaningful and adequate interest-group participation and consultation⁵ in the policy process.

² **Participation** includes the involvement of stakeholders' leaders of legitimate organizations in communities, which represent different interests and segments in that community, who report back regularly, to legitimize their actions and decisions. The process by which broad-based involvement by communities and stakeholders is affirmed, but places limits or regulates the nature of the interaction (Meyer and Cloete ,2000:104).

³ **Development of African Education (DAE)** : Formulating Education Policy: Lessons and Experience from sub-Saharan Africa Conference, October 1995

⁴ Department of Education issued a press release on **2 May 1996** about the policy intentions of rationalization and redeployment. The Rationalisation and Redeployment policy was promulgated through resolution 3 of 1996 to effect equity and redress through equitable post distribution of teachers/educators. The term educators and teachers is used interchangeably.

⁵ **Consultation** - Using an audience as a sounding board to elicit opinions, suggestions, advice or

Holsten *et al* (1998: 98) reason that social interests would include the protection of private interests, which include the interest of the individual's say and participation in the proper functioning of society. Therefore, it is the contention of the author that participatory democracy, can be explained literally as, *social equality in a democratic system*, which will be measured along two dimensions in this study, namely:

- 1) The Socio-Political dialogue ,and
- 2) The Efficacy of the Policy Process

The literal dictionary meaning of **social dialogue**⁶ would be 'a *shared, common, collective public exchange of ideas in discourse and conversation around issues of common public good.*' However, the International Labour Organisation (ILO) has incorporated the role of social dialogue as an integral fundamental principle of its conventions, as they argue that, without societal input, human development is not realized.⁷

As a backdrop to this study, Cresswell (1997:22) suggests that the related literature should be presented as an integrative review. Firstly in this introductory chapter, which will assist in framing the theoretical and methodological review related to the research problem, then in the next chapter to expand on the theoretical review in order to understand the constructs. The purpose of the literature study, will be according to Cresswell (1997:20), to:

- a) share the results of other studies closely related to the policy-making process in this study

recommendations about an issue before or after a decision is taken unilaterally. An opportunity exists to influence decisions through persuasion, bargaining and /or threat of exercising some degree of force (Meyer and Cloete, 2000:105).

⁶**Social Dialogue** - Reimers and Mc Ginn (1997:120) define policy dialogue as a strategy to change individuals by permitting exchange of information, developing skills and influencing cognitions and attitudes and in so doing makes it possible to reach agreement on what changes are wanted and the rationale for those changes and choices, through disciplined participation in an exploration of strengths and weaknesses of a collective project/policy

⁷*Source:* ILO input paper on Role of Social Dialogue in Labour Issues in Export Processing Zones in South Asia , Oberai; Sivananthiavan and Ratnam (2001:3)

- b) relate this study to the larger ongoing dialogue in literature around policy-making processes in respect of rationalization within the public sector internationally by filling in gaps and extending prior studies
- c) provide a framework for establishing the importance of this study, as well as providing a benchmark for comparing the results of this study with other findings.

As the contexts of provinces are significantly different, it is the contention of the author that by describing the rationale for, and evaluating the developments around the implementation of the Rationalisation and Redeployment policy, within the institutional context of the Gauteng province, a meaningful review of the practical efficacy of this policy intervention can be provided by tracking the development of social dialogue between and amongst key role players.

1.2. Background and Overview

South Africa, post 1994⁸, is seen to have successfully and swiftly transformed into a major sub-continental hub for growth and development and implementation of structural adjustment programmes in line with the objectives of the GEAR⁹ economic policy (Luiz,1995:9).The development of representative government and political structures assumed a solid base for social infrastructural improvements, through distributive and re-distributive policies¹⁰. The decade of the 1990's policies were characterised by shifting demographics, changing enrolment patterns, changing program demands and fiscal constraints. A very diverse workforce was inherited which was distributed in a very disparate manner. Given these conditions, identifying, analysing and evaluating educational policy options at district and provincial levels took on an increased importance¹¹(MTEF Education Sectoral Report:1997:1).

⁸ 1994 – The year of the first democratic elections in South Africa

⁹ GEAR – Growth , Employment and Redistribution

¹⁰ Re-distributive Policy – deliberate efforts to shift allocation of resources to a particular class/segment of the population, usually to have-nots (Anderson:1994:14)

¹¹ MTEF - Medium Term Economic Framework details 3 year rolling expenditure and revenue plans for State Departments which matches the overall resource envelope estimated through macro-economic and fiscal policy processes, with the estimation of current and medium term costs of existing departmental plans and expenditure programs (University of Cape Town, Public

Fleisch (2002:42) contends that the broad principle of educational equality of the ANC, became a narrow formula for distribution of posts. He argues that equity was to be regulated using policy mechanisms for post distribution between and within provinces. However, the Constitutional arrangement and legislative authority locates substantive policy decisions nationally. As the moral force in charge of equity, justice and fundamental values, the public sector, had a challenge to develop a series of re-distributive education policies, after the establishment of the Education Labour Relations Council in March, 1994 (ELRC)¹².

Using a policy-making problem faced by the **Gauteng**¹³ Department of Education (GDE), the author illustrates how sequential policy impact analysis techniques can be used to identify gaps and develop improved processes and strategies for future policies to attain desirable outcomes for education on a provincial-wide basis. The purpose of this research then, is to review the policy-making process of Rationalisation and Redeployment, using a comprehensive analytical framework, as designed by Cheng and Cheung from the University of Hong Kong (1995)¹⁴ and provide a contextualised strategy for use at a national level for future education policy and planning processes, within South Africa. The role of social dialogue is paramount and is usually ignored during the policy phases and therefore the selected model would be appropriate to track the development of dialogue in this policy process within South Africa.

In the absence of appropriate local tools for education policy process impact analysis, the author contends that numerous international policy frameworks are more appropriate to explore a variety of education futures research techniques, which may be developed and used to assess the efficacy of specific educational policy-making processes. Cheng and Cheung (1995:10)

Finance Management Course, 2002).

¹² **ELRC** - is a statutory collective bargaining council for the education sector. The Minister negotiates issues of mutual interest with unions in this chamber. The Labour Relations Act, 1995, gave legislative effect to the resolutions concluded here.

¹³ **Gauteng** is an ANC governed province which contributes +- 8% to the GDP and is economically, the most successful province. (Gauteng Legislature Annual Report:2001)

¹⁴ An Empirical Generic Policy Analysis Model designed by **Cheng and Cheung** for evaluating

postulate that even though there may be many general frameworks for policy analysis, very few have been developed specifically for the analysis of educational policies, which includes tracking participation of key *policy actors*¹⁵.

Teddlie, Hackett and Morrison (1982:25), support that a well defined policy-making process model allows the education community a maximum say in defining its place within the evolving social environment. Such a model according to them, should be developed for systematic use in the policy process and should consider current forecasting and long range-planning techniques within the social dialogue schema.

The post-1994, watershed period, was a revolutionary break with the past, although the provisioning policies still had their roots in policies formulated by earlier discredited administrations. This study traces the development of new education Human Resources provisioning policies since 1994 and explores the policy development phases¹⁶ which can be broken down into three distinct periods from post 1994 elections to 2001. The first covering the period 1994 to 1995, followed by the 1996 to 1998 period and the third 1999 up to 2001.

The national process of reviewing and restructuring education resourcing according to Greenstein and Mabogoane (1994:136), began earnestly after the 1994 elections. A period of 5 years, from 1 April 1995¹⁷ to 1 April 2000, had been envisaged to effect the rationalization of education resourcing, but planning and budget reviews already began in 1994 and the resolution on Rationalisation and Redeployment was terminated in 2001. It was therefore

policy efficacy in Hong Kong policy cases (1995:10).

¹⁵ **Policy Actors** - Dunn (1994:70), defines policy actors / stakeholders as those individuals or groups, who have a stake in policies, because they affect and are affected by governmental decisions.

Reimers and McGinn (1997:60) define stakeholders, as persons or groups with a common interest in a particular action, its consequences and those who are affected by it. They argue that in education, parents, learners, unions and others have an interest in setting the education agenda and shaping the organizations, which are established to participate in the decision-making process. They are also defined as a subset of stakeholders, bodies or individuals, named by law to exercise authority or voice at different levels of the system.

¹⁶ **Development phases**- the names of the phases were inspired by the works of Bell (1999:200)

¹⁷ **1 April 1995** - The date that post-apartheid administrations took over as the new bureaucracy. Resolution 5 of 1995 of the ELRC was signed in July 1995 to effect the rationalization of these

by default and not by intentional design, that the implementation framework for this policy, translated into a three-phased transformation period and strategy.

1.3. Education Human Resource Provisioning Policy Developments in South Africa post-1994 to 1995

The period post 1994 elections to 1995, was a resource-constrained period, where the outgoing apartheid administrations had to apply alternative funding strategies, due to the post democracy demands and the Constitutionally guaranteed basic right to education. The organisational, legislative and governance frameworks of the education system had been radically changed since May 1994 with the introduction of an inclusive government in South Africa. This placed tremendous pressures on government as it now had an obligation to make education progressively accessible and available to all. The Bill of Rights in the Constitution of South Africa, stipulates in Section 29, that *“everyone has the right to a basic education, including adult basic education and to further education”*. The balancing act for government was to consider quality, redress and equity, within the confines of the available resources.¹⁸

Given the gross inequalities in education provisioning inherited from the past, as depicted by Hofmeyer and Buckland (1992:22), as well as by Dekker and Lemmer (1993:72) in table 1, it was incumbent on the democratic government to ensure that rights could be exercised by all persons as rapidly as was reasonably possible. This meant that the National Minister was charged with putting a policy intervention in place within a limited budget available to provinces, but still had to oversee education service provisioning that took full account of redress and equity. Therefore, there was a need for hard political, administrative and professional decisions and policies to be made, which were needed in order to plot a way forward. (Tikly and Motala:1994:112)

previous administrations.(Department of Education:1995)
¹⁸ *Source* :Information on State Budget for Education: Medium Term Expenditure Framework Education Sectoral Team Report: (October 1997:1, RSA: Department of Education: Pretoria).

In 1994, the Council of Education Ministers (CEM)¹⁹ decided that the inequities in funding among provinces should be phased out over a period of 5 years starting from 1 April 1995. In 95/96 the education budgets, of the higher than average, provincial departments, which included the Gauteng Department of Education, were top-sliced by 15% and in 96/97 by 20% in order to shift money to the, lower than average, funded provinces.²⁰

As personnel costs were identified as the greatest culprit of overspending, a projection was made of affordable levels of staffing for educational institutions. Chisholm and Vally (1996:270), propose that one of the key indices for unequal per capita expenditure between and within provinces is *learner: educator ratios*²¹. On the basis of the often unreliable data available, assumed policy positions and economic growth projections, based on World Bank²² reasoning as suggested by Chisholm, it was estimated that educator: learner ratios of 1:40 for primary schools and 1:35 for secondary schools would be affordable in the long-run. The procedures for staff provisioning in institutions was to be achieved by the determination of a learner: educator ratio, which was to have been applied over a maximum period of 5 years.²³

The aim of this calculation was to effect equity in educator staff provisioning, which meant the conclusion of a collective agreement on how to right-size institutions and redeploy excess educators to where the need was the greatest. Related to the issue of efficient educator deployment, was the question of effective utilisation, supply and context - related development.

¹⁹ CEM - is the creature of *NEPA* (s 9) which comprised of the Minister of Education, as chairperson, the Deputy Minister, who serves as the Minister in the latter's absence, and the education Members of the Executive Councils (MEC) of all 9 provinces (s 9(1)).

²⁰ Source: MTEF- Medium Term Economic Framework : Education Sectoral Report :October 1997:12)

²¹ **learner: educator ratios** - mean, for a specific category of institution, the total number of pupils or students at all these institutions within a provincial education department, divided by the total number of full time equivalent educators employed in educator posts at these institutions.

²² **World Bank** – indicated that it is reasonable to consider providing classroom space in all primary schools on the basis of 1:40 and in all secondary school classrooms on a basis of 1:35.

²³ Source: **Resolution 5/95** of the ELRC - Rationalisation of Education Departments which effected the amalgamation of ex - department provisioning norms for schools.

Given the above-mentioned constraints, *policy makers*²⁴, as well as policy analysts, had to carefully deconstruct the policy pathways in place before 1994 and ensure that the policy processes post 1994, would embrace educational reform within a new constitutional framework. Although substantial progress had been made in democratising decision-making and improving education management systems, both nationally and provincially, the education system at a provincial level remained in a crisis during this phase, despite its national importance and the large annual expenditure from public funds. (Buckland and Fielden quoted in Greenstein and Mabogoane:1994:137)

Skinner (1997:14) states that one of the most difficult tasks facing the government post –1994, was addressing the disparities. The learner: educator ratios, as well as the per capita expenditure per child as depicted in the historical table below, differed vastly per ex-department and hence the restructuring and transformation of education provisioning was necessary.

Table: 1: Pre-1994 Ex-Department Provisioning per Learner

	HOA	HOD	HOR	DET
Teacher-Pupil Ratio	17:1	20:1	23:1	38:1
Per Capita Expenditure	R3082,00	R2227,01	R1367,78	R764,73

Source : Hofmeyer and Buckland (1992:22)

In April 1995, the Gauteng Department of Education was formed by the amalgamation of the ex-Transvaal Education Department (TED); Representatives, Delegates and Department of Education and Training Departments, each with its own policy making pathways, budgets, norms, standards and needs for educator provisioning (MTEF Report: October

²⁴ Anderson defines **politymakers**, (1984:54), as those who have the legal authority to engage in the formation of public policy. Supplementary politymakers, such as national administrative agencies, however, must gain their authority to act from others (primary politymakers), hence are at least

1997:12), using Resolution 5 of 1995 of the Education Labour Relations Council (ELRC), which resulted in the rationalisation of the four ex-departments' educator posts. The objectives of this process were as follows:

- The absorption of staff from ex-education departments
- The rationalisation of staff provisioning in institutions
- The equitable distribution of resources to all institutions
- The reform of provincial education spending

This period also saw the formation of the Education Labour Relations Council where all education specific resolutions/collective agreements would be concluded and educators would formally be accorded a *voice*²⁵.

1.4. The Redistribution and Transformation Phase 1996-1998 - 'Sharing of the Cake'

This post 1995 period became the implementation phase of the re-organisation and redistribution of apartheid resources, both human and physical.

In terms of the National Education Policy Act, (NEPA), 1996, the obligation for strategic policy-making, resided with the Minister of Education. Hence it is important to note the role played by bureaucrats in this policy process period, as the National Minister for Education was responsible for the initiation and ratification of any policy initiatives from his new ministry. We are reminded by Richardson and Gordon (1979:30), that in the competition for resources we have to understand the divided nature of the center and the manner in which policy decisions are handled by pressure groups associated with a Minister.

controllable by them.

²⁵ **Voice** means the right, conferred by law, to participate in the decision-making process, through statutory structures.(Canadian South African Education Management Development Program: 2001:53)

Technically speaking, the national department is the central policymaker and the provincial departments are the policy implementers. According to Johnston and Joselyn (1995:15), policy-making groups take the wording of policies to be important with respect to eventual implementation. Implementers (contrary to policy makers' assumptions) are more likely to be unable to implement authoritative policy than unwilling to do so. Policy implementers do not discriminate between policy language variations unless they are in an environment, which places high value on other variables like resources at the locus of implementation (Johnston *et al* , 1995:11).

The following key role players as identified in NEPA, (RSA, Act 27 of 1996: s(5)), have representation in various statutory education consultative structures :

- Council of Education Ministers (CEM)
- Heads of Departments (HEDCOM)
- teacher organizations/trade unions (ELRC)
- parent organizations representing school governing bodies
- student organizations
- any other stakeholder bodies including business and labour; training sector providers and tertiary education service providers

It is appropriate at this juncture to pose the question, based on the guidelines provided by Evans, *et al* (1995: 3), as to what parts of government and society need to participate in the policy consultative process?

There are many policy actors who are crucial to successful education policy processes, viz:

- legislators, local government, finance and planning
- officials in the education bureaucracy, both provincially and nationally
- civil society such as parents, relevant unions, political organizations, community based organizations, chambers of commerce representing business interests

Depending on the local context, Evans *et al* (1995:3), is of the opinion, that not all groups have to participate equally at all stages of the policy process

and should therefore be guided by the following questions to determine the degree of consultation needed:

- What group benefits from the current distribution of educational services in society?
- Who would lose and who would gain if specific policy changes were made?

Hence, in 1996²⁶, through the policy arm of the ELRC, the conjugate for subordinate legislation under the initiation of the Minister, which served as a consultative vehicle for administrators and unions, a collective agreement, Resolution 3 of 1996²⁷, on the broad Rationalisation process, was conceived.

Motala (1996:308), makes a case that the rightsizing in education took the form of two complementary strategies, firstly, the Redeployment of educators and secondly, the offer of Voluntary Severance Packages (VSP). These were agreed upon by the government and major teacher organisations in the ELRC as 'give and take' mechanisms to effect equity in education within the context of financial constraints. She further suggests that conflict over the process arose out of a lack of consistency, confusion, controversy and the inability of departments to provide capable leadership in the unfolding scenario. Mokalané *et al* (1996; 256), reasoned that teacher redeployment had been viewed as synonymous with teacher retrenchment by some role players.

In the *Annual School and College Register of Needs Survey*, 1997, commissioned by the national department of education, some important observations were made, amongst other things, that there was a rapid migration of the population to urban areas, a severe shortage and poor conditions of facilities and also a lack of informed planning in educational provisioning, inherited since 1994. This lack of capacity in provincial education departments, hampered the efficient management of resources and delivery

²⁶ In 1996, parent representatives were still consulted in the ELRC, as a co- employer party, until 17/5/97.

²⁷ **Resolution 3/96** –the agreement offered attractive voluntary severance packages for educators who were declared in excess and who wanted to exit the system. 15 241 VSP were approved a cost of R1 billion to the State (Chisholm, Motala and Vally, 1997:354).

of services. Quantitative delivery of educational opportunities, especially for the poorest families and qualitative advances in education effectiveness were hampered by budget mismanagement or shortfalls. (RSA: Department of Education:1997)

As a participant administrator, Personnel Provisioning and Funding was identified as the greatest albatross around provincial departments' necks. Chisholm and Vally (1996: 270), cautioned that during this period all provinces had overspent by R2 billion, regardless of their ability to absorb increased funds, they still found their budgets inadequate. Personnel policies, salaries and conditions of service were collectively negotiated in accordance with national mandates, which did not take provincial budgets into consideration. Table 2 is an illustration of the increasing unit costs for educators, which had to be planned for from 1996 onwards. Provincial departments lacked the capacity to ensure adequate control over recruitment and personnel management decisions and lacked the tools to manage the costs of their personnel establishments. This meant that inadequate resources were available for effective education to be delivered.

Table 2. Average annual cost per educator 1996-1999 (R'000's)

	1995/96	1996/97	1997/98	1998/99	1999/2000
Eastern Cape			74 000	73 000	74 000
Free State	72 000	80 000	80 000	84 000	80 000
Gauteng	-	92 000	97 000	99 000	102 000
KwaZulu Natal	64 000	70 000	76 000	76 000	74 000
Mpumalanga			80 000	80 000	78 000
Northern Cape		86 000	91 000	89 000	87 000
Northern Province			80 000	80 000	75 000
Northwest	69 000	69 000	77 000	77 000	74 000
Western Cape	57 000	101 000	107 000	101 000	106 000
Average	65 000	83 000	85 000	83 000	83 000

Source: DPSA, Department of Finance 1999 Intergovernmental Fiscal Review

The above average trend in unit costs for the two richest provinces, Gauteng and the Western Cape, was due to the higher qualified educator cohort in

these provinces. According to Chisholm (1995:177), the budget cutbacks for these two provinces meant that no new teaching posts could be created. The broad-banding salary grading system, which was introduced in Resolution 3/1996 was part of a buy-in strategy to provide an increase of 15,7% to teachers, whilst linking the increase to the 'bitter pill' of the rationalization process. (Govender *et al*, 1997:356)

The policy to redeploy excess educators comprised of right-sizing committees, which included education officials, principals of schools, staff member representatives and union officials were included as observers. School governance structures, were excluded from the process of declaration of educators to be in excess, but were included as recipients of the compulsory transferred excess educators (ELRC: Resolution 3 of 1996).

However, this period saw two major challenges to the government's policy of rationalization and redeployment, viz, The Grove Primary Judgment and the "Threatened Strike" of SADTU. These incidents of note, are explained below in more detail.

1.4.1. Socio-Political Events

Botes *et al* (1996:309), caution that civil society form pressure groups, interest groups and mass demonstrations to participate when they have strong convictions on a matter and would like to make this known to the government of the day.

Grove Primary Judgement²⁸

In June 1997, the High Court ruled in favour of *Grove Primary School and others* which brought action by a grouping of School Governing Bodies (SGB's), that effectively declared certain parts of the collective agreement on Rationalisation and Redeployment Policy null and void. The gist of the

²⁸ **Grove Primary case** – Case No. 2757/97 .Jutastat Citation no.1997(4)SA982(C)

arguments were that government acted *ultra vires* in passing relevant parts of Resolution 3/96 which were not binding on school governing bodies, in as much as it did not lie within the powers of the department of education or the ELRC, to make such decisions of undermining the powers of school governing bodies. (Jutastat; 1997(4): p102)

The “Threatened Strike’ by the teacher Unions lead by the South African Democratic Teachers’ Union (SADTU)²⁹

Followed by a ‘near strike’ situation between 8-12 June 1998, when the then Minister of Education attempted to legislate post creation as a provincial competency according to budgetary constraints and was forced to withdraw same even after legislating it, due to unions ‘voting with their feet’. SADTU had lodged a grievance with NEDLAC³⁰, whereby they accused government of improper governance. (Business Day,5/8/98)

The net effect of the above actions by stakeholder groups was a new agreement by the end of 1998, Resolution 6/98, which plotted the way forward to bring government’s policy back on track. Motala (1998:510), explains that the agreement covered the following issues:

- An educator post provisioning distribution model for educational institutions
- Procedures for rationalization and redeployment of educators in the provisioning of posts
- Duties, responsibilities and transfer of educators
- Workload of educators

This agreement paved the way for the second phase of the rationalization process, which the author has termed the ‘Market Phase’, due to the inclusion of unions in the MTEF processes and the assertion that the education budget

²⁹ SADTU is the largest educator public sector union in South Africa formed in October 1990.

³⁰ NEDLAC –National Economic and Development Council which comprises of government, unions and business.

was increasingly being driven by fiscal policy rather than sound educational needs (Vally,1998:483).

1.5. The 'Market Phase' - 1999 onwards

Vally (1998:483), cautions that the unions had won a space to impact on the budgetary process prior to it having being finalized and accepted both in provinces and nationally. Unions had to also understand their consultative role was not a determining one after their "threatened strike" victory even though they argued that they needed to actively oppose budgetary provisions, which were detrimental to their members cause of transformation and the delivery of a quality public education. (Vally 1998 :484)

According to Information on the State Budget for Education: 1997/98, R40,2 billion was budgeted for education. This comprised 20,35% of the consolidated national and provincial budgets and 6,02% of the projected Gross Domestic Product (GDP)³¹. Since 1994, the budget expenditure vote on education departments showed a downward trend, viz , the total of the allocations were declining, as a percentage of the GDP, in real terms per learner (MTEF Education Report,1997:1). However, actual provincial expenditure rose from R29,3 billion in 95/96 to R36,6 billion in 97/98 which represented a 31,7% increase over a three year period, with an increase of 37% in personnel costs for this period. Whilst the consumer price index was 17% during this period, provincial expenditure amounted to 6,3% of the GDP by the end of the 97/98 period (MTEF Education Report,1998:13-16).

By the beginning of 1999, approximately 600 educators in excess in Gauteng still needed to be redeployed. A total number of 2885 educators were declared in excess in Gauteng, with 4360 voluntary severance packages finally being awarded and about 4800 vacancies were identified for advertising. No new posts were created, but instead a scaling down of the total number of posts occurred, from 52301 to 46917, which agitated the unions (GDE Report: 1997).

³¹ **GDP:** a measure of the total flow of goods and services produced within the borders of a country in a specific time period. S.A. current GDP is around 6,02 %.

Table 3. Teacher Redeployment Statistics: April 1997

	<i>No. of teachers in excess</i>	<i>No of voluntary severance applications</i>	<i>No of voluntary severances approved</i>	<i>Cost of voluntary severance packages granted (Rm)</i>	<i>No of redeployment opportunities gazetted</i>
Eastern Cape	-	1 397	1 176	78.0	4 416
Free State	1 548	922	879	58.3	400
Gauteng	3 000	4 360	3 375	223.8	4 866
KwaZulu Natal	-	3 200	3 100	205.6	7 000
Mpumalanga	-	1 032	8	0.5	N/A
Northern Cape	2 800	1 050	1 007	66.7	3 000
Northern Province	1 400	552	513	34.0	298
Northwest	-	630	170	11.2	2 149
Western Cape	5 932	6 195	5 613	372.3	4 157
Total	14 680	19 308	15 841	1 050.4	24 286

Source: Department of Public Service and Administration (DPSA)

Govender et al (1997:355) posits that after the redeployment of excess educators and the granting of about 3375 VSP's within the GDE, unions expressed concerns that the mathematical solution to the political problem of the redistribution of posts, was too simplistic in that it did not consider the many variables required for successful teaching and learning.

Hence, the government's provisioning policies had to be designed to redress the inheritance of race-based inequality, to build a new unified national system based on equity, redress, progressive increase in quality and ensure relevant development beyond the year 2000.

1.6. Objectives to Rationalisation and Redeployment in Education

In many countries, facing structural adjustment policies and cuts in their education budget, planners and decision-makers are becoming more and more interested in preserving the investment in teaching staff, particularly in optimizing the deployment and utilisation of the teaching force available.³²

³² Source : International Institute for Education: IIEP Paris: Management of Teachers Research and

Konadu (1994:1) motivates that decision-makers, planners and administrators have to address the following crucial questions :

- Are educators equally distributed amongst the different areas and schools in the country?
- What kind of measures can help to overcome such imbalances ?
- How can overstuffed institutions have their educators redeployed?

Education economist to the national ministry, Crouch,(1997:3) hypothesizes that the resource inequalities in the public schooling system have necessitated a strategy of poverty targeting, whereby, economists internationally believe that enough resources have been allocated to education provisioning and the strategies are to curb personnel expenditure, which absorbs more than 80% of the education budget in most countries. He further postulates, that teacher organizations need to realize that there is a trade off between high salaries and high learner: educator ratios, as educator costs are a deeply structural one in South Africa.

Ginsburg (1979:12), challenges that even where social policy development operates at a theoretically sophisticated level, this is usually based upon consensual and pluralist theories of the state and society, which he further argues are not equipped enough to handle the phenomenon of increased class conflict, as well as, the relationship between community problems and international capital. As a key activity in South Africa's economic and social development, education ensures the creation of conditions for sustainable growth in a competitive international environment, as well as a highly skilled, well educated workforce, although, Hartshorne (1985:255), makes a case that education is necessary, but not a sufficient condition for economic progress.

Education planning, as described by Prakash (1989:82), is a meaningful exercise only when the decision-makers in a society have spelt out its quantitative, qualitative, spatial and temporal objectives and also enunciated

the manner in which the demands for equity and excellence would be met and the priority that these would be accorded, within the tight constraint of resources.

1.7. International Experiences

An IIEP *Report* (1990:24), highlighted a drastic increase in human resources provisioning through an increased share in the allocation of public resources, in general since the 1960's, which gradually impacted on other public services, by crippling them and dislocating whole economies.

Foreign debt servicing, as postulated by Hallak (1990:135), had become an immense consumer of public revenues in most developing countries. He indicates that between 1972 and 1985, the cost of servicing debt rose from 1,5 % to 4,3% of the Gross National Product (GNP) of these countries, yet the share of education in the allocations of public resources remained reasonably high, up to 30% of the national budgets.

Since the mid-1980's, the World Bank³³ moved from supporting macro-economic adjustments, to supporting detailed policy reforms in specific sectors, which included education, as put forward by Gibbon (1993:207). Such reforms he reminds us, post 1990, included sector-level policies to re-allocate government spending and interventions around investments with the highest economic and social return. The education sector policies reform for Sub-Saharan Africa was spelt out by the World Bank, after it's critique of existing policies, in the following terms (1988: 11):

- The adjustment of education provisioning, which included unit cost containment by increasing the level of teacher utilization
- Revitalisation, which involved a strengthening of the education sector's capacity to plan and implement policies and programmes and the mobilization and effective utilization of resources

³³ Source: World Bank Policy paper in June 1988 on Education in Sub-Saharan Africa.

A monograph for teacher deployment, was designed by Thompson (1995:4) from the IIEP, in Paris, which drew on the experiences of twenty developing countries, on this policy issue. He cautioned that very sparse literature exists on the issue of teacher deployment internationally. The report highlights the need for strategies such as policy makers being conscious of the disadvantages of unplanned deployment. Thompson (1995:87), further argues that the relevance of the strategies to each country's circumstances requires examination in other countries, which most policy-makers are reluctant to do. He claims that decision-makers have preferred to take short-cuts and although conscious of the uniqueness of their own country, have tended to undervalue the experience of close neighbours. They tend to, for political and historical reasons, rather draw from what they 'purport' to be best practice found in distant and more highly developed countries (Thompson: 1995: 87).

In an overview and analysis of the policy formulation process conducted by Evans et al, (1995:7) and presented at a workshop in Tours, France in 1995, for the *Association for Development in Africa*³⁴, they indicated that the greatest challenge to governments depends on their colonial history and the inherited patterns of interaction between civil society and the state. A comparative study of the following six cases, which included Benin, Ghana, Mozambique, Guinea, Mauritius and Uganda, displayed two central themes:

- The need for publicly stated education policies which are understood and supported by both government and civil society
- The importance of participation by diverse parts of society that will be affected by the policies

Evans *et al* (1995:3), stated that all six case studies demonstrated, in different fashions, the importance of strategies for appropriation through participation and consultation, which included campaigns to explain policies made in an authoritarian manner or participation on the other hand, mobilizing those most directly concerned with the policies (e.g. teachers, administrators and

³⁴ **Association for Development of Education in Africa** – an organization linked to the IIEP and UNESCO, which is solely dedicated to the educational developments in Sub-Saharan Africa.

parents). High levels of participation, they advocate, can be time consuming and impact on the completion of the process, as in the cases demonstrated in Uganda and Mozambique where extensive participation delayed the formulation of sector policies well beyond initial estimates. This resulted in impatience by external funding agencies whose timing was incompatible with that of the relevant governments and forced, in the case of Uganda, the agencies to implement their projects before the policy process was officially completed. Although education ministry officials and union representatives participated in all case studies, Evans *et al* (1995:9), further reiterated that parents were largely absent from this process. However, they attribute the success in the Guinean reforms partly as a result of the nature of the consultation and the leadership qualities of the education ministry (Evans *et al*, 1995:9).

Gottelmann-Duret and Hogan (1996:7), theorise from the findings of a comparative case study of Botswana, Malawi, Uganda and South Africa, that the reasons for deployment policies of teachers are largely due to utilization because of the imbalances in the geographical distribution of qualified teachers due to a mismatch between posts and tenets. However, they argue that South Africa constitutes a special case because of its chequered past and its imbalances were more due to teacher provisioning inequities.

1.8. Social Dialogue and Policy Choices

Social dialogue, as an element of participatory democracy, plays a pivotal role in identifying the important social and labour issues of stakeholders. The rights of stakeholders in the policy-making process, according to Oberai, *et al* (2001:3), cannot be realized without the capacity of government and social partners to practice their rights within an institutional framework for dialogue. Sivananthiran and Venkataranam (2002:115) offer their interpretation of social dialogue as being a three-way exchange that improves standards through negotiation, consultation and exchange of information between and amongst representatives of government, employees and citizens, on the issues of common interest relating to economic and social policy.

“Social dialogue plays a pivotal role in identifying important social and labour issues most importantly the fundamental principles and rights at work to bargain collectively ...which rights are intertwined with the process. The rights cannot be realized without the capacity of the government and social partners to practice their rights without the institutional framework for dialogue.”

(International Labour Organisation, 2001)

Sivananthiran *et al* (2002:160) advocate that social dialogue is an important vehicle to reach consensus on achieving good strategies for educational development. They argue that strengthening social protection is critical for providing a voice for marginalized citizens.

The following conditions according to Cressey (1987:24) are conducive for participation through social dialogue:

- A ‘mature’ climate for dialogue
- A renunciation of definitive and global solutions
- An acceptance of the slowness of the process of changing ideas, values, attitudes, structures
- An understanding of the cyclical nature of the process as it will always be necessary to re-evaluate, redefine and adapt to the changing and conflictual needs of policy/social actors

The **Pareto Optimality**³⁵ principle is at the core of policy decisions and choices, as according to Schwella *et al* (1996:124), a moral question arises as to whether a public decision negatively affecting a particular group should be taken, in spite of the perceived or intended well-being of another group, as a whole. On the other hand, Schwella *et al* (1996:125) argue that, the **Kaldor Criterion** emphasises that there has to be a net gain for those benefiting from the policy action, otherwise nobody benefits.

³⁵ **Pareto Optimality** is used for situations where increasing the welfare of one group cannot be done without decreasing the welfare of another grouping.

Swilling (1998:8), postulates that in the neo-liberal state³⁶, organisational principles are derived from public choice theory at a meta-theoretical level and new public management, at an operational level. He further argues that public choice theory explains that if citizens 'voted with their feet', maximizing choice will increase effectiveness and efficiency through the ideal of 'voice, exit and choice' expressed by citizens.

In an endeavour to expand access to quality education, existing policy instruments must be assessed in the context of fiscal constraints, according to Colclough and Lewin (1990:177). They raise four categories of policy reform, which should inform policy choices, within Human Resources provisioning namely:

- Policies to reduce unit costs, which reduce salary costs and increase class sizes
- Policies to restructure the education system, e.g. introduction of official number of instructional hours and workloads
- Policies to redistribute expenditure which include shift from salary recurrent to salary non-recurrent
- Policies to raise additional resources through a mix of public and private funding through user fees or international loan schemes

Education, if seen as a tool for political or ideological purposes, attracts political involvement in operational matters, such as education appointments, deployment of teachers, determination of the curriculum etc., which may provide some indication of the extent to which government perceives education as mainly about 'social control' or about 'empowerment' through social, economic and cultural development³⁷ (DFID, Report: 2001:24).

³⁶ **Neo-liberal** is where the private sector 'scientific' management model dislodged the classical public administration in state institutions. (Swilling, 1998:9)

³⁷ *Source* : **Department of International Development** (DFID) Report: UNESCO: 'Causes of Conflict in Sub-Saharan Africa (2001:23).

Public Law is made by state officials in the form of public policy within *policy domains*³⁸ (Dunleavy and O'Leary: 1992:2). Although, Jansen (2001:13) intimates that little is known about the importance and influence of these officials, shaping the policy terrain on behalf of organizations. The motivation and capabilities of citizens and public managers in consultative processes will depend much upon the capacity of new systems of public policy making to support and mediate the diversity of interests, according to Ranson (1995:444).

However, Hallak (1990:135), proposes that policy choices for governments are vital, which should be governed by the following key policy issues:

- What should the role of government be with respect to finance, provisioning (including human resource provisioning), administration and regulation?

Hallak (1990;135), is of the opinion that governments should finance all 'public goods' which benefit all members of the society. A deduction can be made that whether or not it is deemed best that the public sector deliver goods or services, it is generally recognized that government must regulate their quality. It is common cause that education provisioning is usually provided for the sake of social justice, as its social benefits economically speaking, often exceeds its private benefits. Hence, it is provided to those who cannot pay, as government acts in the role of 'developer' and 'equaliser', with regard to its obligation in education provisioning (Hallak,1990;136).

³⁸ **Policy Domains** - The major matters over which authority or voice is exercised in education, viz, General administrative policy direction; Educational Curriculum, Services and Organisation; Human Resources Management and Provisioning; Financial and other resources

1.9. An Analytical Policy Process Model

Thornhill and Hanekom (1995:58) champion the need for a *descriptive model* to analyse policies with the ultimate view of promoting rationality in policy-making. Differing descriptive models, they claim, can be categorized as follows:

- a functional process model which is aimed at the analysis of the who and how of policy-making
- an elite/mass model where the roles of the elite, civil society at large and executive institutions are analysed
- a group model which analyses the influence of interest groups on policy makers
- a systems model, where the interaction between inputs, conversions, outputs and feedback are interpreted
- an institutional model which is concerned with the relationship between the institution concerned with policy making and policy implementation

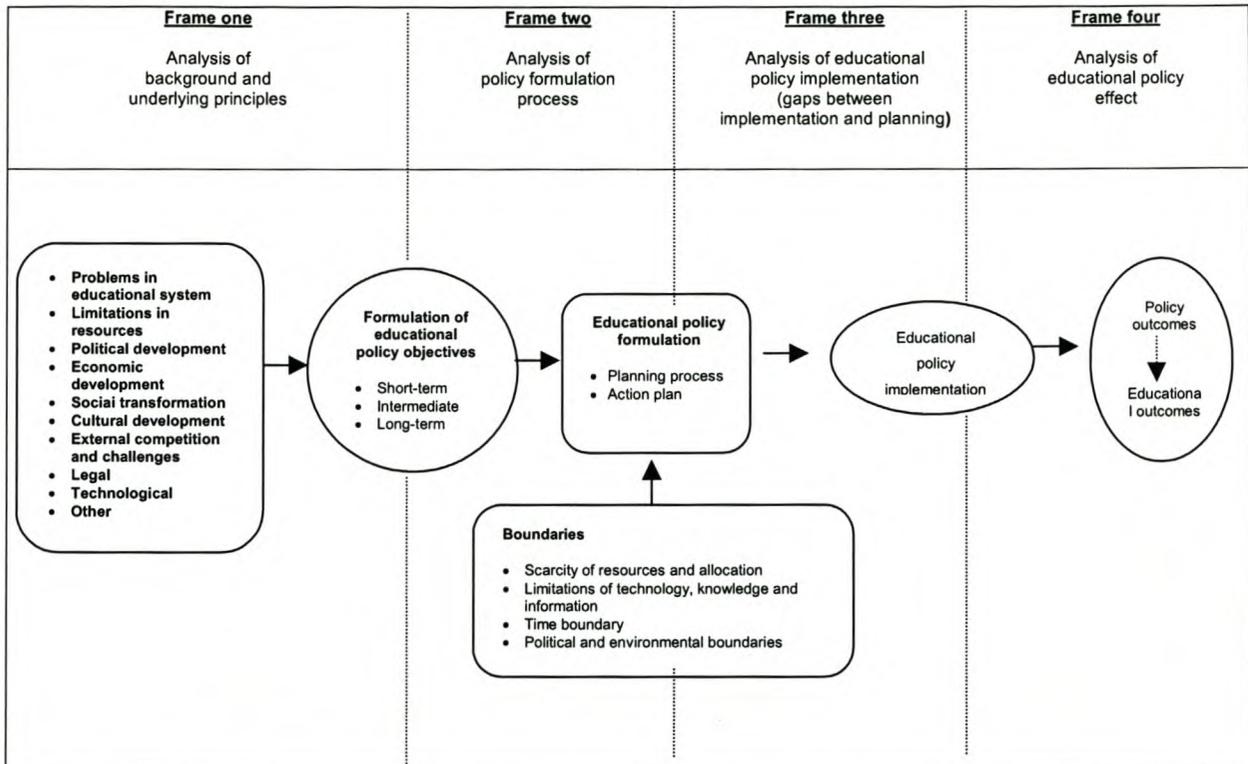
The analytical framework for education policies analysis, specifically in Hong Kong, developed by Cheng and Cheung (1995:10), is comprehensive and demonstrates the practical efficacy of the policy process by satisfying all the criteria, for a descriptive model, as mooted above by Thornhill et al, (1995:59). Hence, it was deemed appropriate to opt for this *linear process model*³⁹, in an attempt to measure the efficacy of the policy under discussion by examining different factors governing each stage of participation in the policy process and by tracking and deconstructing the aspects of social dialogue.

Thornhill *et al* (1995:57), are of the opinion that the objective for analysis is usually scientific, professional or political in order to keep check of the complexities of society by determining the impact of a specific policy on society, public institutions and the political system. They further argue that the

³⁹ **Linear Process Model** – sequential events of sub-processes within a policy process

techniques of cost-benefit analysis, simulation and modelling are usually used to evaluate and identify alternatives to adjust any existing policy.⁴⁰

Fig. 1. An Education Policy Analysis Framework



Adapted from a model designed by Cheng and Cheung, 1995. University of Hong Kong

Cheng and Cheung (1995:16), highlight the following key phases, which are in a linear process for the analysis of the policy management process:

Phase I: Policy Planning

This phase focuses on the analysis of background and underlying principles, which include the identification of problems at a political, societal and supra-national level that inform the objective setting process.

⁴⁰ **Policy Evaluation** according to Hanekom (1991:96), constitutes evaluating the relevance; reliability; validity; objectivity; timeliness; usability and applicability of the policy

Phase II : Policy Formulation

The characteristics of the policy-making body, the decision process, various perspectives and technology employed, as well as the quality of the finalised policy are the key activities in the analysis of policy formulation process using data and information generation and analysis to effect decision making.

Phase III: Policy Implementation

During this phase any gaps between the planning and implementation of the policy are identified, hence there is co-ordinating, communicating, organising, planning, staffing, executing within time-frames and accessing readiness for resourcing for the planned changes induced by the policy intentions.

Phase IV: Policy Analysis and Outcomes

The educational policy effects of efficiency and effectiveness are measured against the hidden consequences and pay-offs, apart from the expected outcomes.

Cheng and Cheung (1995:19) explain that the expectation from the education system, is for positive educational outcomes, which will improve the quality of education. They caution that possible adverse and hidden effects could also result from the policy implementation.

The aim to determine the efficacy of the Rationalisation and Redeployment policy, cannot therefore, be separated from understanding the policy process within the theoretical framework above. Whilst Chapter 2 sets out the details of the theoretical constructs, which guided this research, the key research problem is described below.

1.10. Problem Statement and Research Questions

Although the post -1994 South Africa placed a great emphasis on participation by civil society in the policy-making process, two major milestones in the policy process of Rationalisation and Redeployment, by two distinct groups, placed a question mark as to whether government's understanding of participatory democracy had been fully comprehended. This prompted a need to investigate what role social dialogue played in this process, by examining the efficacy of this policy process, using a model.

The emergent conflict resulted in two major challenges, viz, the Grove Primary Judgment in June 1997 and the 'Threatened Strike' problems of June 1998, which changed the direction of the policy. The development of social dialogue in the education policy processes within South Africa, remains largely untested, although emergent research around the efficacy of various educational statutory structures does exist. The problem is that role players are empowered enough to take the necessary action against the state if their right to participate in the policy process has been stymied or they have been side-lined, in terms of their right to voice.

The ultimate perceptions of policy actors cannot be separated from their experiences as measured by the 'content' and 'process' variables in the proposed theoretical model, which incidentally, can be found in Thurstone's (1936) works, as quoted in Lemke and Wiersma (1976:165) ,whereby his works stimulated a logical analysis of measures. The potential explanatory power of all the indicators, as well as the usefulness of this framework, will also be investigated. This will be followed by an analysis and synthesis, of the opinions and experiences of the key policy actors.

Against this backdrop, Merriam (1998:119), postulates that in using a qualitative *paradigm*⁴¹, a purpose rather than a problem statement, is derived from the related literature. Specifically, the researcher intends to pose the

⁴¹ **research paradigm** – either positivist or phenomenological (anti-positivist). A case study is usually phenomenological in nature.(Hussey and Hussey, 1999: 64)

following *main research* question, by deductively inferring from the problem stated above and by using the theory on the analysis of the Public Policy Making Process, which should yield according to Johnston *et al* (1995: 43), scientific knowledge about relationships and explanations:

What were the experiences and perceptions of strategic actors on the promotion and development of social dialogue, as well as the efficacy of the Rationalisation and Redeployment policy processes in education, post 1994 ?

Three subordinate investigative research questions dealing with specific aspects of the process of the Rationalisation and Redeployment policy arose as sub- problems:

Following this, tangible propositions, where applicable, will be presented which could ensure success in the application of a similar policy in situations with similar schemas.

1. *What were the dimensions and determinants governing the policy processes, with specific reference to the development and implementation process of the Rationalisation and Redeployment re-distributive policy within education?*

The first research problem involves the question: "Were the Policies of Rationalisation and Redeployment efficacious?"

The purpose of this question is to test the **gestalt**⁴² explanatory power of the analytical model of Cheng and Cheung (1995).

To answer this question it is necessary to first reflect on the objectives of the policy and discern what functions the policy was supposed to perform. An appropriate measuring instrument will be used to collate the relevant data capturing the experiences and perceptions of strategic informants. As this is

⁴² **Gestalt** means the total, where the organized whole is perceived to be more than the sum of it's parts. (Oxford Dictionary: 1998:340)

the explanatory- exploratory part of the study, a proposition, which emanates from both the first and second questions will be made after question two:

2. *What were the experiences of key informants (policy formulators and implementers), with reference to social dialogue in the interaction between key policy actors, both provincially and nationally, taking cognisance of interest group interventions ?*

The second research question involves the following: “ What problems were experienced with the implementation of the Rationalisation policy within the GDE and what recommendations should be made in order to eliminate any future problems from subsequent applications, as a result of lack of consultation with key role players?”

This question traces the development of social dialogue as a response to two key interventions by key role players in the policy process. For this analysis, the empirical data on the opinions of strategic informants are found in the structured questionnaire conducted, which will be used to answer this question. This is the exploratory part of the study, which lends itself to the following proposition:

Proposition 1

An essentially negative or positive opinion of the overall efficacy of the policy will translate into a similar negative or positive experience of social dialogue during the policy process.

3. *How can the findings of the determinants contribute to the design of a strategy for a co-governance framework for the policy processes specific to the education sector within the South African context.*

In this section of the analysis, attention will be paid to recommending a strategy for participation based on the research findings. This is the predictive part of the study, which does not necessarily warrant a proposition.

By asking the above questions, the researcher hopes to:

- a) bring available theory and practice together and add to the growing literature in this field by reviewing and synthesising existing knowledge.
- b) investigate a modified strategy for policy processes within public sector education.

The aim of the investigative research questions will be to discretely tease out by problematising, the relations between the role of social dialogue and the efficacy of the policy of Rationalisation and Redeployment in Education, by examining its contribution to participatory democracy and the policy's efficacy on the broader political economy, whilst attempting to balance the rights with redress and equity and still ensuring quality improvements for all.

The goal of this study is to, through persuasive writing, explore with the aim of proving, defending and illustrating the following research objectives:

Objective 1

To determine the efficacy of the policy process within the education department with specific reference to the development and implementation process of the Rationalisation and Redeployment re-distributive policy, by using a linear policy- making process model as a basis for analysis.

Objective 2

To examine the development of social dialogue amongst key informants (policy formulators and implementers), both provincially and nationally, by examining the experiences of education policy actors, taking cognisance of interest group interventions.

Objective 3

To recommend a strategy for co-governance of the policy-making process through a consultative framework specific for the education sector within the South African context.

1.11. Purpose and Importance of the study

The policy process in education according to Randall *et al* (1999:15), is often influenced negatively by changes in political conditions and trends, as the formation and implementation of policy are inherently political endeavours. The election of a 'new' government with new educational agendas may change priorities, as the basis for a particular policy and associated research initiatives may be based solely on the current political necessity or expediency by providing a short-term solution and securing future votes (Randall *et al*, 1999:15). Against this backdrop, De Coning and Fick (1995:8) ,advocate that the South African arena has become a unique laboratory for policy research.

The purpose of this study was to investigate the perception and experiences of key policy actors in the policy process of Rationalisation and Redeployment (post 1994 to 2001), using a linear policy process analysis model, which allows the author to engage in the process of "thinking in history", in order to track the promotion and development of social dialogue, as a way of managing the interaction between policy agenda setters and policy recipients, as well as evaluate the efficacy of the policy itself. In this investigation, the aim will further be to also determine whether a particular model of participation can develop from a transitional stage where experiences can accumulate and where the net effect is to encourage greater demand for more extensive decision-making powers.

Unfortunately, almost all research undertaken on the subject of the restructuring of education has tended to be done by educationists themselves, which does not represent the gestalt picture, as such research has focused on educational outcomes and not on the political dimension. Dror (1993:5),

advocates at least two approaches to policy analysis, viz, the normative and prescriptive approaches, where the former reflects on the political value and advocacy and the latter focuses on providing recommendations on how to realize given values more effectively and to improve value-choice processes.

This study will attempt to approach the restructuring of education in South Africa from a political scientist's point of view by examining the role of participatory democracy in the *policy dialogue*⁴³. It will begin to demonstrate the link between social changes in education and political developments. In so doing, one can enquire into the effects of various institutional arrangements and political processes in public policy and evaluate the consequences of this public policy application, as well as analyse the impact of social, economic and political forces on the content of the policy. Prakash (1989: 82), argues that since education is concerned with the future, its organisation has to be deliberately and purposefully forward-looking and reasonably protected from the quagmire of current populist politics.

What this study pursues, is a detailed description of the how's, what's and when's of the Rationalisation and Redeployment process with a specific focus on the political dialogue during the process. This cannot only provide a better understanding of the transitional interventionist policy by government, but also ensure a significant contribution to redress and equity in a deeply divided society in South Africa.

1.12. Limitations

Hogwood and Gunn (1991:267), presuppose that there is no such thing as "neutral" analysis of policy. They argue that values are at the centre of policy-making, and that it is not practicable or even desirable to insulate analysis from political debate. As the education planner is not a policy maker, albeit the planner provides technical assistance to legislators and education authorities, the major contribution and role of the planner is to aid the policy makers in

⁴³ **Policy Dialogue** is described by Hallak (1990:135), as the social interaction between parties around policy processes. A disciplined participation in an exploration of strengths and weaknesses of a

assessing the impact that potential policies may have on events that will affect trends. (Renfro,1980:). The researcher is an educationist who was integrally involved in the policy processes of Rationalisation and Redeployment in numerous capacities. Certain responses and interpretations therefore may have been biased due to the researcher's participation in the policy process, firstly, as a provincial negotiator, secondly, as a planner around the *post provisioning model*⁴⁴ and thirdly, as the project co-ordinator for the management of the implementation process.

The different power positions and agendas of key informants may have affected the responses of interviewees, as this policy was controversial and respondents may have wanted to conceal their genuine opinions. The perspectives of interviewees from different interest groups do not represent the wide range of perspectives and ideologies to be found in this sector as it is argued that there is no monolithic ideology within constituencies. (Musker, 1996:9)

Boundaries are necessary in a study to provide direction for the scope of the study and for the potential audience. There is a need for province specific qualitative research so as to understand and inform future processes. Therefore, the researcher focuses on the processes and implementation of Rationalisation and Redeployment within the Gauteng Department of Education only, which was defined in terms of time and space.

Research on the analysis of Rationalisation and Redeployment in South Africa pre-1994 is lacking, although in their own way, ex-departments were faced with exactly the same constraints with regard to budgets. The exclusive and secretive manner in which decision-making was conducted proved to be an obstacle to research such policy interventions. Educators were not included under labour legislation until 1993, by way of the Education Labour

collective project (Reimers and McGinn, 1997: 119).

⁴⁴ **Post Provisioning Model** - The negotiated standardised guideline for the provisioning of posts (within the framework of an agreed upon learner: educator ratio), in a specific type of institution.. (Department of Education:1995:Pretoria)

Relations Act and later, in 1994 with the formation of the Education Labour Relation Chamber (ELRC). Therefore, no obligation for consultation with civil society was necessary.

The secrecy that shrouded the Rationalisation processes and policies in the past became functional to the success of the past processes, as the rights of individuals were not protected and it is doubtful whether facts surrounding motivations and decisions to rationalize, will ever be disclosed. The crude process involved awarding large numbers of educators severance packages and then abolishing the post they vacated, irrespective of curriculum needs at that institution (Hofmeyer and Buckland ,1992:23).

The contextual factors, including the political dynamics, differ from province to province and therefore impact on the generalisability of the findings. Each provincial department is autonomous as an employer and hence decision-making and policy implementation around national policy has its own provincial institutional arrangements.

1.13. Methodology

1.13.1. Research Design

The research strategy dictates the use of the exploratory-explanatory⁴⁵ case study approach, which lends itself to a descriptive-interpretative methodology, which is non-experimental (Watson, 2003: 33). Case studies, according to Huysman (1995:169), allow for focused review and in-depth study of a specific phenomenon within the *lebenswelt*⁴⁶ context. Yun (1989:302) argues, that though the method used is the case study, the author hopes to demonstrate that, notwithstanding peculiarities, case studies such as this can enable us to draw general conclusions or to hypothesise about various features of participation. This will give the researcher an opportunity to analyse activities and processes, do fieldwork and collect data (Best, 1977:130).

⁴⁵ An **exploratory-explanatory case study** according to Scott [1995: 235], provides a description, as well as an analysis of an administrative case.

⁴⁶ **lebenswelt** – a term peculiar to phenomenologists meaning a person derives meaning from his life world. It is a focus on a persons subjective experiences and interpretations of the world (Hussey and

Interview-questionnaires will be used based on the linear policy process model, by Cheng and Cheung, as earlier discussed. Reliance on available literature provided guidance by providing numerous policy-making models and explanations of constructs under study.

The research design of the study can be described as both qualitative and quantitative as the research instrument is based on values, attitudes, perceptions and experiences of the 'subject' respondents, which is interpretative in nature and based on an inductive, as well as a deductive approach to data analysis. Miller (1991:93), cautions against the notion of *ecological fallacy*⁴⁷, as well as *reductionism*⁴⁸, when drawing conclusions about attitudes and observed patterns of groups.

In a descriptive-interpretative case study, which is largely qualitative in nature, data and information gathered from the respondents will be used to describe the context and quantitative data will be used as support material to supplement the study (Hite, 2001:59). As a policy evaluative research, which is prescriptive in nature, current or future public policies can be evaluated and therefore this research can be regarded as a theory-applying type, using a policy analysis model (Van Evera, 1994:93). The form of analysis is qualitative and quantitative and therefore will focus primarily on the use of descriptive statistics (Neuman, 1994: 406).

Tellis (1997:6), states that, because of the evaluative nature of government programs, case studies are the preferred research option in order to study effectiveness and efficiency and to review policies. He argues that purely quantitative methods, tended to obscure contextual factors and voice of respondents. Through macro level indicators, a micro level study can highlight

Hussey,(1997:64).

⁴⁷ **Ecological Fallacy** means the danger of making assertions about individuals as a unit of analysis based on the examination of groups (Miller, 1991:93).

⁴⁸ **Reductionism** refers to an overly strict limitation on kinds of concepts and variables to be considered in explaining a broad range of human behaviour (Miller, 1991:93).

the differential impact of policies and practices on all role players in all spheres of educational management (Cooper and Schindler, 2001:138).

This research is based on:

- a) an initial study of literature on the core policy processes and issues.
- b) questionnaire based interviews of strategic informants.

The researcher observed as a participant and interacted in the field setting throughout the research, as the site of study has been the place of work, namely, the Gauteng Department of Education.

The *units of analysis* comprised of the following *elements*, which constituted the *sampling frame* of 40 *key informants*:

- a single bounded system of a purposive sample of managers and unit heads, within the 13 offices within the Gauteng Department of Education,
- Unions affiliated to the ELRC
- National Department of Education Planners
- The previous and current Head of Department: Education, Gauteng
- The previous and current Members of the Executive Council for Education, Gauteng
- Policy advisors and legislators who were integral to the development and implementation of the Rationalisation and Redeployment policy
- Annual reports and Documentary artefacts

The data-gathering process in this study comprised of two parts, a literature study and structured interviews, with key policy actors. The primary phase was the literature study, where multiple sources, which included legislation, regulations, collective agreements, research articles, books, journals, court judgments, reports, media coverage, policy documents, ELRC minutes of meetings and other relevant meetings.

As this is a sequential analytical case study as categorised by Creswell (1995:21), the qualitative data (dominant paradigm), generated through the literature review assisted with the gathering of the quantitative data (supplementary component), through the survey questionnaires, where after the qualitative analysis provided themes generated by the discussion in the open-ended questions.

While the case study allows for in-depth discussion and sequential analysis of events, generality is often sacrificed, although Yin (1994:64), argues strongly that case studies were not 'microscopic' because of lack of sufficient numbers, and that the relative size of the sample used does not transform a multiple case into a macroscopic study. He forcefully argued that the general applicability of the findings, is as a result of the methodological qualities of the case under study and the rigor with which the case was constructed.

The second phase honed in on an individual or group administered structured *experience-survey*⁴⁹ questionnaires, which evaluated the perceptions and experiences through fifty indicators, which were measured through judgment statements on a Likert scale. Responses to semi-structured questions were coded and categorised after been content analysed for themal strands to determine any relationships with factors.

The research included both fieldwork, as well as desktop research methods.

1.13.2. Literature Review

The literature study will be an integrative review as suggested by Creswell (1997:24), which incorporates a theoretical, as well as a methodological review in respect of models and theoretical frameworks for the policy planning and execution of rationalization and redeployment, as well as the background to the dimensions which constitute participatory democracy. Neuman (1994:50) sees a theoretical framework as " a paradigm of orientations or

⁴⁹ An **Experience Survey** according to Cooper and Schindler (2001:141) is when a person is interviewed in an investigative manner to seek ideas and knowledge about an event or process experienced.

sweeping ways of looking at the social world. They provide collections of assumptions, concepts and forms of explanation. Frameworks include many specific theories on topics. Theories within the same larger framework share assumptions and major concepts.”

1.14. Chronological Order of the Chapters

Chapter One: *Historical Context of Human Resource Provisioning Policy in Education*

The introduction to this research, outlines and contextualises education policy development within South Africa and traces the call for greater democracy through a review of the struggle for participatory democratic policy processes. As this is an inductive exploratory-explanatory case study, the theoretical basis for the research propositions were set out in Chapter One. This chapter deals with the introduction and orientation of the study which sets the stage for the study through framing the research objectives and questions. It tracks the genesis of the Rationalisation and Redeployment policy and the examination of its evolution. This is followed by the examining of the experiences of Rationalisation internationally. Finally the emphasis is on examining the tensions between participation, equity and redress in the policy-making process. Detailed attention was given to the unfolding policy actions which emanated out of best practice from the Chinese education framework and an assessment of the efficacy of this policy framework was done to elucidate the design and implementation processes .

Chapter Two: *The Evolution of Policy Dialogue in Education Resourcing Policy Making*

The literature search is focused on two main areas. The first area was covered in chapter one. It outlines the proposed constructs and institutional arrangements to address the development of social dialogue in the policy making process. This chapter provides a micro-policy analysis of the role of civil society in the policy system, as well as the socio-political perspectives on participation in policy processes. Finally the emphasis is on the institutional arrangements for consultation on the policy-making process.

Chapter Three: Methodology and Analysis of Data

The research design and methods are logically developed around an analysis of the efficacy of the policy process, measured in a linear model which are horizontally clustered around context (e.g. objectives, planning,) and process (e.g. analysis, techniques and implementation) variables and an index for "Social Dialogue "is determined. A mixed approach, of both quantitative and qualitative analysis were employed, using a informant survey, as a primary data source. A detailed and in-depth analysis of the data presented answered the latter part of research question 1, as well as research question 2 and provided a framework for question 3. On the basis of the assessment of the efficacy of the theoretical framework and data analysis, an attempt was made to create a schematic path diagram to outline the framework for the revised strategy.

Chapter Four : *Findings and Conclusion*

This chapter proposes an explanatory framework for participation in the policy process making within a public sector organisation and finally a number of emerging proposals for further research surface, as well as key issues for policy-makers.

1.15. Summary

The aim of this opening chapter, has been to illustrate an overview of the rationale behind the Rationalisation and Redeployment Policy intervention and a methodological review through related literature, to understand the policy internationally. It provided a background to the nature of the tasks confronting policy analysis and to indicate the theoretical tools available for the task at hand. The following chapter 2 , will look at the theoretical constructs which operationalised the policy and impacted on its efficacy and transparent implementation. This chapter showed what determined the purpose, research technique and identified which dimensions should provide a road map through the terrain of this project.

The subsequent chapter 2, will further develop rich theory through the delimiting of relevant literature, which will link the research problem to the research methods and assist with the design of the research instrument.

CHAPTER 2

EVOLUTION OF POLICY DIALOGUE IN EDUCATION RESOURCING POLICY-MAKING

2.1. Introduction

The methodological assumptions are that the literature study in this chapter will be used inductively so that it does not direct the questions asked. As an exploratory-explanatory case study, the research will listen to the informants and build a picture based on their experiences and perceptions (Cresswell, 1997: 21). This chapter will explore the theoretical constructs used to measure social dialogue.

2.2. The Role of Civil Society in the Policy System

Anderson (1994:28), argues that public policy is viewed as a political system's response to demands arising from its' environment. Easton, quoted in Anderson (1994:28), defines a political system as comprising those identifiable and interrelated institutions, political processes and activities in a society, which makes authoritative allocations of values and decisions, which are binding on civil society. The linkages as depicted by arrows A, B and C are explained in terms of Anderson's political systems theory below.

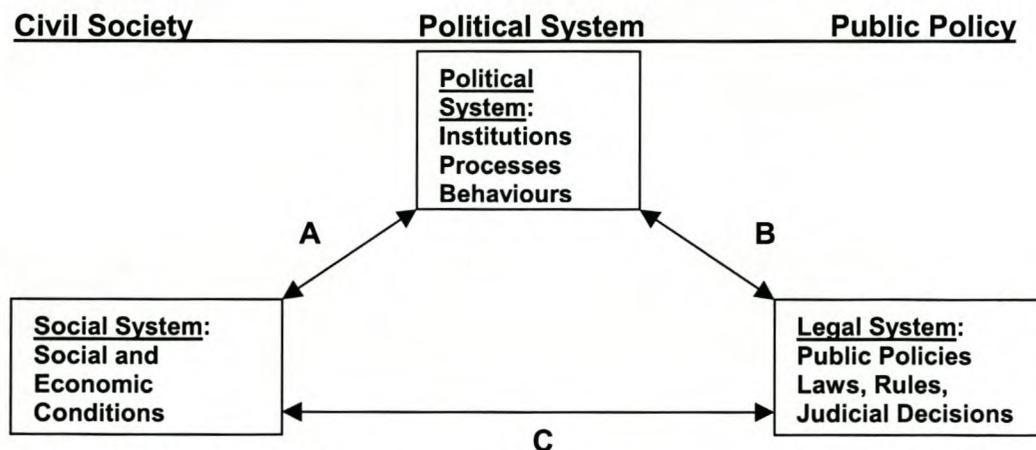


Figure 2. The Policy System

Adapted from Anderson (1994:27)

Linkage A: The social system is external to the boundaries of the political system

Linkage B: Input into the political system consists of demands and support from the social system. Groups and individuals accept the decisions and actions undertaken by the political system as authoritative.

Linkage C: Outputs of the political system include policies, laws, rules, judicial decisions etc. Such outputs can come from demands and claim to action from the social system as well. This authoritative allocation of values constitutes public policy whereby the feedback indicates that new demand can arise from the policy outputs which generates new policies.

Human and Zaaiman (1995:38), argue that, in civil societies, membership of the social, economic and political spheres of life, constitute a complementary continuum, through the equal status of citizenship. They further argue that the autonomy of civil society, is exercised through the honouring of civil rights of citizens by the state by including them in policy-making under a unified banner of a nation-state habitat.

Civil society can be regarded as a corollary of hegemonic state power according to Human and Zaaiman (1995:38), although pluralist logic dictates that civil society can only emerge when the state has succeeded in drawing the entire population into a single common jurisdiction within a common legal system. According to Dunleavy and O'Leary (1992:16), voluntary associations disperses moral and social authority, encourage variety and diversity and counteract the uniformity of outlook on democratic society which do not necessarily counteract the development of a mass society.

Vally (1992: 2) further espouses the traditional international definition of the **social contract** as the formal agreement between the state, labour and capital, which usually encompasses economic policy, government spending policy and political representation which can assume the form of an institutional structure to oversee the implementation of the social contract.

It is the contention of the researcher that civil society organizations usually represent the voice of the marginalized or poor where individuals act in their private capacity within a voluntary social relationship. Stephan (1988: 3-4) argues that civil society is "an arena where manifold social movements and civic organizations from all classes attempt to constitute themselves in an

ensemble of arrangements so that they can express themselves and advance their interests”.

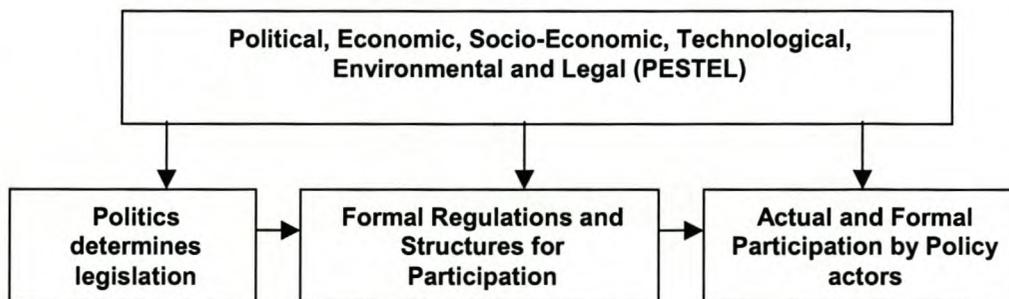
However, given the political alliances, a substantial separation does not necessarily exist. Political pluralism according to Dunleavy *et al* (1992: 10), recognizes the existence of diversity in social, institutional and ideological practices and values that diversity.

2.3. Socio-Political Perspective of Participation

According to Lammers and Szell (1989:11), participation, as a theoretical concept, is a practical policy for functional utility to all parties, because their interests are usually contradictory. It usually offers the possibility of solving contradictions, within a ‘blocked society’ or resolving fights against a ‘bureaucratic phenomenon’, by the democratization of decisions, humanization of interpersonal relations, and negotiating ‘win-win’ policy solutions.

Looise, quoted in Lammers *et al* (1989: 275), regards political developments as a ‘dependent variable’, as it reacts to other environmental developments and circumstances, which results in the following modified model based on his thinking:

Fig. 3. An Explanatory Model for the Development of Formal and Actual Participation in Policy Processes



Adapted and Modified from J.Looise in Lammers et al(1989:276)

From the above *fig 3*, as depicted by Looise, in Lammers *et al* (1989:276), it appears that formal legislation which governs participation in policy processes, are a result of political decisions. Politics and structures for participation of social actors, are constantly influenced by the developments and circumstances of the forces of the field, the PESTEL⁵⁰ factors. Actual and formal participation are influenced by the attitudes of the policy actors. For the purposes of this study, the model will assist in deconstructing the formal (*de jure*) and actual (*de facto*) promotion and development of participatory democracy in the policy-making process. (Lammers et al, 1989: 276)

The demand for participatory democracy as a social intercourse, was an integral part of the 1994 elections in South Africa, which could be mirrored on the Portuguese revolution and various anti-Soviet revolts in Hungary, Poland and Czechoslovakia over the years. Political scientist Ronald Mason, argues that the term '*participatory democracy*' is redundant in the sense that participation is a fundamental core element of democracy and without direct participation, democracy cannot be said to exist. (Greenberg, 1986: 116)

Greenberg (1986: 115), claims that workers' democracy enriches their democratic political lives as it becomes a setting in which the social interaction between parties is more appropriate to genuine democracy, rather than the highly abstract system of electoral and representative politics. Greenberg further argues, that this direct democracy allows for participation in decisions which impact directly on the lives of citizens which helps to foster values and skills which make participants more knowledgeable, interested and socially responsible in the political arena and advocates for a richer political democracy.

Yugoslav social theorist, Branko Horvat (1982:42) postulates that participatory democracy is the most desirable form of political life because it is characterised by fraternity, egalitarian social relations and widespread

⁵⁰ PESTEL – Political, Economic, Socio-Economic, Technological, Environmental and Legal

deliberations, which is a primary attribute of self-actualisation that enriches democratic citizenship.

2.3.1. Group Theory of Participation

Anderson (1994: 27) postulates that public policy is as a result of group 'struggle' whereby equilibrium is reached and it represents a balance, which the contending factions or groups constantly strive to weight in their favour. He further argues that public officials may acquire a stake in a particular policy programme and act as an interest group supporting its continuance. The position of the poor and disadvantaged is further marginalized by the group theory as they are either poorly or not represented at all (Anderson,1994:27). Lindblom (1980:84), strengthens Anderson's arguments that participation in an interest group usually amounts to a superficial experience compared to membership of an ethnic group. He posits that interest groups are normally drawn together by economic status and bureaucratic positions, where they use their funds and voice to pull policy in the directions they desire. Cloete (1995:15), raises an interesting observation that significant differences exist, between the policy processes in industrial vs developing democracies, due to what he argues as, poorly organized interest groups, as well as an underdeveloped private sector, in developing countries.

2.3.2. Elite Theory of Participation

The essential argument of the elite theory, according to Anderson (1994:27), is that public policy is not determined by the demands and actions of the 'masses', but rather by a ruling or governing elite, whose preferences are carried into effect by public officials. Dye, quoted in Anderson (1994:27), puts forward a claim that the elites are drawn disproportionately from the upper socio-economic strata of society who preserve the social system usually embracing liberal democratic values. The Grove Primary grouping was a case in point during the policy-making process of Rationalisation and Redeployment.

2.3.3. Public Policy Perspectives

Public Policy depicts the following key elements according to Fox *et al*, (1991: 27-28):

- It is policy developed by government role players, where after interest groups, e.g. unions, influence the formulation and development thereof
- It is a purposive or goal-oriented action rather than a random one
- It generally consists of a series of decisions taken jointly by politicians and officials
- Policies are actually the work that governments do

Hence, Van der Waldt and DuToit (2001; 210), argues that by and large public managers are policy initiators at three crucial levels, namely, ministerial, public management, as well as at a societal level.

The decided case of *Harris D v The Minister of Education 2001 SA (T)*, set legal precedence in terms of the definition of policy within South Africa. The judge contended that one of the principles of distinction between law and policy, is that law binds all persons, whereas policy, unless enacted into law, binds only those members of the administration who are subject to the executive authority of the policy maker.⁵¹

Dunn (1994:30) defines the policy-making process as a political process incorporating interdependent phases of policy-making: policy agenda setting, policy formulation, policy option, policy implementation and policy assessment. Policy per se, can therefore be examined in five distinct but interdependent dimensions – objective setting, formulation, development, implementation, review and evaluation, and, as a consequence, approaches for imposing policy might well emerge.

⁵¹ **Court Judgment: January 2001** where a learner Tyla Harris was denied access to a private school because she was not 7 years of age. The court ruled in her favour to gain access to school at 5 years old.

2.4. Political Efficacy in the Public Management⁵² Policy Processes

Public managers are the crucial link between the legislature and civil society and are best placed to ensure that the appropriate policy is optimally suitable for a specific issue at hand. An obligation is therefore placed on such managers, according to Thornhill *et al* (1995:59) to perform the following tasks, amongst others:

- Formulation of policy through analysis and development
- Assist in the preparation of legislation
- Ensure that governmental decisions are properly implemented

According to a United Nations Report, the added political dimension of the work of public managers is manifested in public accountability and political control and direction (UNDSMS,1993).⁵³

Swilling (1998:13) argues that the new public management is run on the strategic management model, which is a *governance approach*⁵⁴ that focuses on democratizing, devolution of decision making power and incorporating civil society bodies into governance. He further argues that this model creates a strong policy-making and planning group at the strategic center, which facilitates joint work between politicians and administrators. This *strategic center*, (according to Moore cited in Swilling (1998:14)), must align the following:

- the process of political legitimization and political sustainability
- that adding of substantive public value to society in general
- ensuring administrative and operational feasibility

⁵² **Public Management** according to Van Der Waldt (2001:13), includes the accomplishing of optimal utilization of human and material resources through policy execution and management within a political context.

⁵³ UNDSMS – United Nations Development Support and Management Services

⁵⁴ **Governance Approach** techniques use a strategic center shifting power to elected officials by loosening bureaucratic rigidities through establishing task-teams for projects consisting of management, unions, end-users and community representatives in participative planning and increasing the capacity of civil society in decision making.(Gotz;1998:14)

Levels of Policy

Van der Waldt *et al* (2002: 209), postulate that policies consist of a series of decisions which are usually initiated by politicians or public managers based on their own value judgments and personal convictions.

The following table represents the levels of policy that have been categorized by Cloete cited in Van der Waldt *et al* (2002:209) :

Table 4 : Policy Hierarchy

Policy Type	Description
Political	Broad directive policy made by the legislative authority
Executive	National policy is spelled out in more concrete terms by decisions relating to e.g. organizing, financing, human resource provisioning
Administrative	Practical steps to execute a policy made by the Head of Department
Operational	Routine decisions are made in the day-to-day activities, usually by middle management and supervisors

Adapted from Van der Waldt and DuToit (2002:209)

Irrespective of this formal policy hierarchy, policy initiatives are usually generated by public managers at all four levels, as they are usually best placed and resourced to generate policies.(Cloete,1988:76)

These definitions imply a difference between specific governmental actions and an overall program of action towards a given goal. Some people may assume that if a government chooses to do something there must be a goal, objective or purpose, but all we can really observe is what government choose to do or not to do. Realistically, our notion of public policy must include all actions of government and not what officials or government say they are going to do.

2.5. Institutional Arrangements and Consultative Structures

Greenberg (1986:128), argues that direct democracy encourages participation in organizations and nurtures a strong sense of political efficacy amongst individuals, which enhances the community and public interest by developing a vision of commonality, an appreciation for the views of others which is incorporated into the political calculations of individuals or groups by reconciling private and public interests and creating public-spirited citizens, devoid of petty self-interest, who act for the general good of the community within a paradigm of *critical pluralism*⁵⁵.

Theorists of participatory democracy according to Greenberg (1986:121), believe that prerequisites for political participation on a national level are :

- knowledge
- interest
- efficacy

The democratic character of institutionalised democracy can be found in the nature of representative structures, such as the Education Labour Relations Council (ELRC). This bargaining council represents the Public Service Education sector in which all “educators,” as defined in the *EEA*, are represented. The ELRC also provides for a Bargaining Committee to which is assigned functions related to the bargaining of collective agreements which are a source of law also referred to as resolutions, and are binding on both employer and employees.⁵⁶

2.5.1. General Coordinating & Advisory Bodies

In keeping with the spirit of cooperative government, Foster and Smith (2001: 51-54), advise that, the National Education Policy Act, 1996, (*NEPA*) provides

⁵⁵ **Critical pluralism** means recognising similarities and differences between people but also acknowledging differences in status, privilege and *power relations between groups* within society and societies, willing to identify underlying causes and explore possibilities for action to address social injustice. (DFID, UNESCO Report 2001:23)

⁵⁶ **Canadian-South African Education Management Programme (CSAEMP)** –Legislative Framework Handbook :ELRC Constitution s11(5)(b)(i) (2001:59)

for two major bodies to coordinate the development and implementation of education policy at the national level: i.e. Council of Education Ministers (CEM) and Heads of Education Departments Committee (HEDCOM)⁵⁷.

The functions of the CEM are:

- To promote a national education policy that takes account of government policies, the principles contained in *NEPA*, the needs and interests of the provinces and the constitutional distribution of powers between the Parliament and legislatures;
- To “ share information and views on all aspects of education”; and
- To “ co-ordinate action on matters of mutual interest to the national and provincial governments. (RSA, DOE:1996)

The policy functions assigned to HEDCOM, in terms of the *NEPA* , are:

- To advise the DoE, regarding the determination of national education policy , guiding principles for national education policy , consultation on legislation , publication of national education policy , monitoring and evaluation of education and consultative bodies , “on any other matter relating to the functioning of the national education system” .

HEDCOM may establish subcommittees to assist it in its functions whose members need not be members of HEDCOM; however, the “organized teaching profession” (organizations and unions members of the ELRC) must be invited to nominate members to such subcommittees (CSAEMDP,2001:59).

⁵⁷ **HEDCOM** which is composed of the DG/Education, who is the chairperson, the Deputy Directors-General of the DoE, one of whom serves as chairperson in the DG/E’s absence (s 10(4)(c)) and the HoDs of the nine provinces, is also the creature of *NEPA* (s 10(1)).

2.5.2. National Education and Training Council

The function of the NETC⁵⁸ is to advise “ on broad policy and strategy for the development of the national education system and the advancement of an integrated approach to education and training” (*NEPA*, s 11(1)(a)). To this end its purposes include advising the Education Minister on: policy and strategy for the development of the national education system; national policies for education and training contemplated by *NEPA*; and any other matter requested by the Minister (Foster and Smith ,2001: 51-54).

2.6. Summary

In this chapter, as well as the previous introductory chapter, theory has been deconstructed from the theoretical framework around policy analysis in education with the following aim:

- To develop key indicators based on principles and determinants to evaluate the policy processes applied in the Rationalisation and Redeployment policy-making process through the use of a measurement instrument
- To highlight all relevant literature on constructs impacting on policy analysis frameworks
- To use the theory as a reliable basis to formulate an explanatory model participation in policy making processes

The ten key dimensions for the analysis of the policy process were isolated from the basis for the principles outlined in the literature in both chapter one and two, which captured the main themes of the linear process model selected, which was used throughout this study to evaluate the efficacy of the Rationalisation and Redeployment policy process. These dimensions were

⁵⁸ NETC is the National Education and Training Council [NETC] was established pursuant to *NEPA* (s 11(1)) by regulation of the Education Minister (*NETC Reg*, s 2). These regulations prescribe the composition, qualifications and terms of office of members, and duties, powers and functions of the

translated into key policy moments/actions with a number of subsumed indicators, which were the basis for the design of the research instrument and are depicted as follows:

- 1) Problem Identification
- 2) Principles underlying Policy agenda-setting
- 3) Characteristics of the Educational Policy-Making Body
- 4) Policy Dialogue
- 5) Policy Perspectives Employed
- 6) Preparation for Policy Implementation
- 7) Readiness of Resources
- 8) Legal Preparation
- 9) Levels of Planned Change
- 10) Policy Outcomes and Quality of Resulting Policy

The literature study was focused in relation to the variables in the research questions and objectives as espoused by Creswell (1994:29). Based on the above, the former part of research question 1, of **identifying the dimensions and determinants of the policy process**, were met. As the *explanatory* part of the research has been dealt with extensively by the literature study, a rationale exists to engage in the *exploratory* part of the study to investigate the efficacy of the policy process, which is the latter objective of research question 1, in order to clarify the remaining investigative research objectives.

CHAPTER 3

ANALYSIS AND METHODOLOGY

3.1. INTRODUCTION

The methodology employed in this study will be extensively described in this chapter, as the previous chapters provided a rich body of qualitative data. Key role-players within the education sector both provincially and nationally, provided the unit of analysis, with relevant officials within different organisational levels of management of the GDE being part of the positional sampling frame as strategic informants i.e. unit heads; senior and executive managers, as well as union officials, MEC's, HOD's and National departmental officials, both past and present. A *judgemental purposive*⁵⁹ sample of 40 key role-players were selected in relation to their role in the policy process, which was to a degree, non-proportional quota sampling, in order to meet the data collection objectives (Trochim,2002: 25).

As a multi-methodology case study, it lent itself to a mixture of qualitative and quantitative multi-source data collection and analytical interpretation techniques. This approach of mixing models, according to Rudestam and Newton (2001:45), as well as Watson (2003:22), lends itself to the combination of the rigor and precision of an experimental /quasi-experimental design. In spite of the increased task demands of the multi- methodology approach, it has, according to Rudestam *et al*, (2001:46), become the preferred option in contemporary case studies because with improved technology, a larger number of participants can be assessed and accessed using standardised scales and measures in a field study.

A formal structured questionnaire-survey method was used to gather data from the 40 strategic informants via formal structured survey-interviews. (Johnston *et al*,1995: 276)

⁵⁹ **Purposive Sampling** according to Cooper and Schindler (2001:192),it is a non-probability technique which conforms to certain criteria e.g they must have experienced the policy-making process.

From the literature study in chapter 2, ten key principles with fifty indicators were identified and isolated to design measures for the instrument, in order to analyse the promotion and development of policy dialogue in the development and implementation of the policy. These were discussed extensively in the summary of the literature review and the key indicators are highlighted under the questionnaire design strategy.

3.2. RESEARCH GROUP SELECTION

The strategic informants were selected as suitable insofar as they were involved in any part of the policy process from development through implementation to the analysis stage, during the period 1996 to 2001. Representative respondents, who could contribute to an evolving theory and whose main credentials were experimental relevance and had an expert knowledge of the topic and events under review, were selected (Weberloff, 2000: 6).

Rudestam *et al* (2001:77), argue that the theoretical relevance is key in the sampling technique chosen and this is done in order to saturate a concept and its relationship with other concepts, in order to become meaningful, theoretically. Although case study research, is not sampling research, as earlier stated, the boundaries determine the selection of the subjects so as to maximise what can be learnt from the 'actors' in the social situation. Persons were chosen, by virtue of their positions and who would enhance the possibility of a comparative analysis around emergent core variables, which saturate theoretical categories in the phenomenon under study.

(Rudestam *et al*, 2001: 77).

The *precision control*⁶⁰ dimensions used for non-probability sampling, as proposed by Cooper and Schindler (2001: 93), were as follows:

⁶⁰ *precision controls*- control dimensions based on characteristics of variables to be measures within a population which ensures representivity in a non-probability sample (Cooper and Schindler,

Table 5 : Determination of Precision Controls

Factors	No. of Categories	Classification of Categories
Location	3	National Office; Head Office and ELRC
Policy Actors	3	Unions; Employer and Employees
Authority Roles/ Functional Roles	4	Advisors/ Legislators ; Formulators/Developer; Participants/Informants; and Implementers
Possible Cells which combine variables = 3x3x4 = 36 Subjects/Respondents		

All combinations of the three factors above would call for $(3 \times 3 \times 4) = 36$ such cells to be considered in order to give greater assurance that the sample is representative of the population and phenomenon under study. However, three subgroups of interest (policy actors), were identified within the sample, which determined the sample size per subgroup. This method tries to ensure homogeneity within subgroups and heterogeneity between subgroups. (Cooper and Schindler, 2001:193). The selection of the sample was as a desire to establish whether characteristic patterns of application exist at a macro, meso and micro level of the policy process. Hence, through a funnelling technique and applying the stated criteria, the following targeted sample was selected:

Table 6 : Composition of Targeted Purposive Sample

Location	Position/Role	Sample
Political Office	Past and Present Members of Executive Council	2
MEC's Office	Ministerial Policy Advisor to the MEC	1
DOE	National Ministerial Legal Advisor	1
Head of Departments	Past and Present Head of Departments of the GDE	2
GDE: Head Office	Senior Executive Management Team	2
	Divisional Managers	2
	Senior Managers	2
	CS-Educator Unit Heads	5
GDE: District Office	Senior Managers	8
ELRC	Unions; SGB Rep; Past and Present Chairpersons	10
National Department	Past and Present Officials	5
Total	Realised response rate = 36/40 (90 %)	40

(See attached Annexure for portfolios and contact details)

The unit of analysis is a critical factor in case studies, as it is typically a system of actions rather than a group of individuals. Case studies tend to be selective, focusing on two or more substantive issues that are fundamental to the understanding of the system being examined. (Tellis,1997: 11). The voice and perspective of these relevant individuals and the interaction between them, give equal power and voice to all 'actors' about the same phenomenon being studied (Rudestam *et al*,2001: 81).

3.3. RESEARCH DESIGN AND STRATEGY

According to Huyseman (1994:168), the parameters of a *case study*⁶¹ should be clearly demarcated and the technique of data collection should be inductive, observing recurring patterns and consistent regularities. The use of case study methodology was established as appropriate, as the purpose is not to provide a generalising conclusion, but to challenge the robustness of existing theory in practise (Yin,1994, quoted in Tellis, 1997:3).

Hamel ,(1993), quoted in Tellis (1997:3), characterised such singularity as a concentration of the global in the local, if the literature provides an experimental prototype in the form of a conceptual or theoretical framework , a single case study could transform local to global and global to local, for an explanation. Yin (1994:64), develops the argument further that the general applicability is as a result of the methodological qualities of the case study protocol, of which three qualitative tenets (DUE), need to be satisfied, viz;

- a) **Describing**
- b) **Understanding**
- c) **Explaining**

The active research strategy enables the researcher to generalise the findings through a proposed model/framework to adjust a policy problem identified within this research and encourage case based learning from the Gauteng experience.

⁶¹ *case study*- Yin (1994:64), describes the case study as an empirical inquiry that investigates when boundaries between phenomenon and context are not clearly evident.

Yin's (1994:69), arguments pointed out that the generalisation of results from a single case study design is made to the theory and not the population and that multiple case studies only strengthen the results by replicating the pattern-matching. The purpose of a case is not to represent a sample, but expand and generalises theory (analytic generalisation) and not enumerate frequencies (statistical generalisation), Johnston *et al*, (1995:147). Cooper *et al*, (2001:138) corroborates this argument by stating that if well-designed, a case study can provide a major challenge to theory and provide a source of new hypotheses and constructs simultaneously.

3.4. RESEARCH INSTRUMENT DESIGN AND DATA MANAGEMENT PROTOCOL

Reimers and McGinn (1997:113), posit that policy surveys in which data is collected to inform a predetermined model of analysis where such plan is fully elaborated before the data is collected, is very rare. However, in this study a predetermined policy survey, based on the linear process model of Cheung and Cheng was used. A structured questionnaire on the basis of the policy model was developed to obtain biographical information (3 items), as well as 50 items about four policy phases:

- Analysis of the Background and underlying Principles (7 items)
- Analysis of Policy Formulation (13 items)
- Analysis of educational Policy Implementation (20 items)
- Analysis of Policy Effects (10 items)

The **TAP**⁶² (*topic applicability perspective*) paradigm, was used to construct appropriate statements for the generic indicators (Foddy, 1995: 193). Evaluative standards were built into the judgemental anchored rating scale, by supplying the reference points that each respondent should take on key dimensions. A carefully thought through response framework was provided to

⁶² **TAP**- methodology according to William Foddy, (1995: 193), ensures a properly defined *topic* which is clearly understood by respondents, with established *applicability* to each respondent and a specified *perspective* that can be adopted so that each respondent understands the question in the same context.

respondents, based on the policy model, which allowed them a measure of convergence or divergence in relation to value placed on multi-dimensional verbal items/statements (Leedy,1989:24). A number of statements represented reverse items in order to avoid *response set*⁶³.

Respondents were also classified into two categories, so that they could be analysed separately, in line with the research objectives, which was to delineate the role players into ***policy formulators*** and ***policy implementers***, so as to measure the efficacy of the policy process from differing roles and perspectives.

The *situational determinants*⁶⁴ informed the response strategy, after evaluation, to determine the appropriateness of the question design and the scaling technique. The checklist informed the choice of a predominantly formal and structured questionnaire, as all the criteria were satisfied in the pre-evaluation of the unit of analysis (Cooper *et al*,2001: 210-219). The 'neutral/do not know' category was provided, as it is associated with better data collection and higher validity. (Leedy,1989:26). The verbal ranking scales were supplied to respondents to e.g. 'strongly agree' or 'strongly disagree' with each statement, whereby each response was given a numerical score to reflect the degree of attitudinal favourableness and the score were totalled to measure the respondent's attitude (Cooper *et al*, 2001: 210-219).

The instrument was based on the relevance of the ten key principles,as summarised at the end of chapter two, which were considered to be axiomatic flowing out of the literature study. Principles according to Doll (1983:14), are tested products of experience and investigation and not hypotheses.

⁶³ **Response set** means items are stated in the positive and negative in order to change the format of response irrespective of content (Ross,2000:4).

⁶⁴ **Situational determinants**- Objective of the Study; Respondents level of Information about the topic under study; Degree to which respondents have thought through the topic; Ease with which respondents can communicate on the topic; Respondent's motivational level to share/discuss information about topic (Cooper *et al*,2001 pgs 341-342).

As an emergent design, data collection procedures were adapted according to contextual factors, as this was a case study. A general instruction was given and the measurement process was consistent across all respondents and the same questions were asked exactly how they were written, (Foddy,1995:61). A pre-test was run with two colleagues to check the flow in relation to the research objectives and was modified accordingly.

The interval data produced helps the researcher to compare one person's score with a distribution of scores from a well-defined sample group. The researcher could, during the data analysis process, judge whether the policy-making process produced the desired outcomes as per the objectives of the policy. The use of primary data in the form of a quantitative response survey using verbal anchors summated on a Likert ⁶⁵Scale, through structured questions, required all respondents to answer the same questions in the same way, in the same general time-frame, thus creating standard conditions. Response rates according to Johnston et al,(1995; 277) are superior for personal interview surveys, which could vary from between 80 to 85%, which is not unusual. The response rate for this research was 36/40 returns, which translates to 90%.

Targeted subject respondents were e-mailed inviting them to participate in the study and the study objectives was explained. Particulars of the interviewer-administered instrument, was also electronically communicated and reminders were sent, through the mobile telephone short messages services (SMS). The dates, times and venues were set aside for each interview.

(See annexure B for relevant correspondence and contact details of respondents)

Johnston *et al* (1995:264), argues that interviewing key elites first may provide important information early and may indicate to subordinates that being interviewed for the study, is important. A *group administered* ⁶⁶questionnaire

⁶⁵ **LIKERT Scale** - a multi-item measure in which items are selected based on their ability to discriminate between those scoring high and those scoring low on a measure. Johnston,[1995:108]

⁶⁶ **Group Administered** – The questionnaire was conveniently administered to a selected number of

was used whereby a sample of respondent managers were brought together and were asked to respond to a structured sequence of statements.

An individual questionnaire study was conducted with all other strategic informants. The purpose of the instrument was to, through an interrogation study, obtain responses from policy players about their perceptions and experiences of participation in the policy processes and the implementation of Rationalisation and Redeployment within the GDE.

3.5. QUALITY ASSURANCE

RELIABILITY AND VALIDITY

As the measuring instrument of choice, the structured questionnaire had to satisfy the following criteria: validity, reliability and practicability. As far as *content/face validity* of the instrument was concerned, experts in the education field evaluated the different items in terms of their contribution towards realising the aim of this investigation. These items were formulated on the basis of a theoretical framework, which was discussed in the literature study.

Construct validity and reliability of the promotion and development of social dialogue were investigated separately by applying first order factor analytical procedures and item analysis of the data. The first-order factor-analytical procedure consisted of a principal component and consecutive principal factor analysis, both with orthogonal axes and varimax rotation (NCSS e-notes:1997). Applying first-order factor analytical procedures and item analysis to data obtained, with regard to social dialogue, led to the identification of the following factors:

- Participation
- Voice

These results included the relevant items and the highest item factor loading per factor, as well as the Cronbach alpha coefficient per factor. On the basis of the theoretical considerations and the results of the statistical analyses, the factors in table 9, are considered valid and reliable. For a measuring instrument to have a high reliability it must do, whatever it does in the same manner all of the time. Reliability is used to discuss inferences that are deduced from the data-gathering instrument. The researcher obtained data from a questionnaire that covered the same areas for all respondents. The items included in the questionnaire support and reflect the concepts discussed in chapter 1 and 2. As this is a single case study, the merits of external validity have been previously highlighted. However it is important to be cognisant of the fact that the responses to the questionnaire are variables. The questionnaire thus elicited the extent to which role players were involved in the process of policy-making.

3.6. DATA ANALYSIS STRATEGY AND INTERPRETATION OF RESULTS

Merriam (1988:117), contends that data collection and data analysis must be a simultaneous process for the qualitative aspect of the research. An exploratory data analysis (EDA) ⁶⁷ approach, according to Cooper et al (2001:286) entails the process of the treatment of the data collected by organising and arraying, interpreting to determine meaning, triangulating with other data sources, evaluating for application, and implications in order to anticipate outcomes and then present to allow the conclusions to be drawn and state the findings in relation to the questions posed. Data analysis was done by visual inspection, using frequency tables and bar charts as simple devices for arraying data. Reimers et al (1997:113) posit that using descriptive statistics can assist in understanding a policy problem and the analysis of basic associations. (See annexures F and G for statistical data tables)

⁶⁷ **EDA** - Exploratory data is problem-driven whereby there is a search for clues and evidence, which is free to take many paths in unravelling the mysteries in the data. The EDA technique lies in the emphasis on visual presentations and graphical techniques over and above basic contingency tables for summary statistics. (Cooper et al, 2001:286)

From the open-ended question in section 12, central themes to the responses were coded using content analysis and quantifiable data categorised to determine any relationships with factors. This was used to verify reasons for survey outcomes (White 2000:108). With the use of desktop research and the NCSS (Number Cruncher Statistical System) package, basic item and correspondence analysis techniques of summated data from closed-ended questions, was done. Response categories were collapsed in order to see meaningful patterns in the raw data presented and also to sharpen the comparison between the two extreme response categories. It was not essential to distinguish 'strongly agree' from 'agree' or 'strongly disagree' from 'disagree'. The raw data scores of the two ends of the range of variation were collapsed by adding their frequencies and then by determining a percentage for the combined categories (Babbie,1995:384). However, where there was a good deal of variation in the survey responding to the 'Do not know /Neutral' category, data results were recalculated, in order to exclude this cohort of respondents who did not express an opinion (Ross, 2000:4). Reverse items were rescaled in the opposite direction. Only the modal category was used for interpretation of the measure of central tendency of the nominal measures, as the rated verbal data did not lend itself for any other meaningful descriptive interpretation (Berenson and Levine,1999: 132).

3.6.1. Descriptive Analysis of Sample

The first section of the instrument dealt with classification and administration categories using nominal scales whereby elementary analysis of the frequency scores was employed. The survey's target came from a population with a parameter of different policy actors within education, with specific reference to policy decisions impacting on the GDE. In total, 40 individuals were targeted and instruments were administered directly to them in terms of the strategy outlined earlier in this chapter. This yielded a response rate of 36 completed questionnaire -interviews, which translated to a 90% response rate, which is regarded as an extremely successful response rate.

Table 7: Descriptive Demographic Profile of Survey Sample/ Profile of respondents by areas of Specialisation

<i>Classification</i>	<i>Area of Specialisation</i>	<i>Frequency Responses</i>	<i>%</i>
Non-Career Members	Political Management	2	5.6%
HOD's	Strategic Management	2	5.6%
Senior Executive Management (SEMT)	Policy and Strategy; Resources Management; Insitutional Development	2	5.6%
Unit Heads: Head Office	Curriculum Delivery; District Management; Labour Relations; Teacher Development: Office of Standards	5	13.9%
Managers based at Head Office	Communications; Human Resources Management; Information Technology and Physical Resources Management	4	11.1%
Managers based at District Office	District Management	8	22.2%
Administrators at National DOE	Human Resources; Post Provisioning; Education Planning	4	11.1%
Union Representatives	Negotiations and Consultations	6	16.7%
Policy Advisors	Policy and Strategy	2	5.6%
ELRC Management	Collective Bargaining	1	2.8%
Number of Respondents		36	100%

Policy actors were further divided into two respective cohorts for the meaningful purposes of the analysis of the data and answering research question 2. The intention according to Babbie, (1994:164) ,by selecting items which divide the respondents in terms of their response to a variable, is to guarantee variance. As the attitude, traits and interests to a concept or process differ between policy actors, respondents were grouped accordingly as '*formulators*' or '*implementers*'. They were grouped as follows:

Table 8 : Policy Formulators vs Implementers

Group A	Group B
<i>Policy Formulators</i>	<i>Policy Implementers</i>
MEC's; Policy Advisors; DOE Administrators; ELRC ;Union Representatives	SEMT; Divisional Managers; Senior Managers:DO; Unit Heads at HO and DO
15 Respondents	21 Respondents

3.7. PRINCIPAL COMPONENT ANALYSIS⁶⁸

In the case of the Rationalisation and Redeployment policy, the researcher had to construct an index from the cluster of indicators and establish if any factors could be identified. The quantifiable ⁶⁹data from the survey data was arrayed and treated, using Correspondence analysis so that it could be interpreted meaningfully and with the use of simple descriptive statistics techniques, analysed for presentation (Niehaus and Myburgh, 1999 :12).

The exploratory-explanatory survey method, as proposed by Leedy (1989:90), was selected, because it was appropriate, to determine a common pattern or norm of a phenomenon through systematic organisation and description of data. The magnitude and significance of the judgement statements were translated into a mathematical and numerical value, in order to measure the data so that one can interpret the significance of the data.(Leedy, 1989:20)

Basic factor analysis was used to enable the number of variables in the data to be reduced and to identify the underlying constructs which contribute to the development of an index measuring "***Social Dialogue***". Items which loaded significantly on the construct, which made up the two factors were identified. Babbie (1994: 382) guides that it is the face validity; logical purpose or surface similarity, which is the first criterion for selecting items to group together. He further states that indicators that depend on the same variable should be associated with one another if they are valid measures of a dimension. On perusal of the measuring instrument, 12 such items were identified which seemed to measure social dialogue. A 12-item correlation matrix was done in order to determine the interrelationship amongst variables. Variables were rotated after a principal component factor analysis and varimax rotation was done, in order to find a smaller set of dimensions called

⁶⁸ **First order factor analysis**- measure of interrelationship/correlation amongst large number of variables in order to find a smaller set of dimensions,(Neale and Liebert, 1980:97).

⁶⁹ **Quantifiable data** - All relevant evidence with rival interpretations which addressed the most significant objectives have been included in the analytic techniques to pattern-match are included in the analysis,(Yin, 1984:)

factors, which resulted in the following factor matrix for the following constructs (Neale and Liebert, 1980:97):⁷⁰

Table 9: Social Dialogue: Items, factors, factor loadings and reliability coefficients

Orthogonal Factor Loading Matrix for Socio-Political Dialogue Items of 12 items

Item No.	Variable	Factor 1 SD 1	Factor 2 SD 2
4.1.	Legitimacy of Interest Groups Represented	.679	.488
4.2.	Formation and Composition of Policy-Making Body	.768	
4.3.	Expertise and Personal Qualities of Policy Actors	.720	
5.1.	Consultation Strategy		
5.2.	Participation		.877
5.3.	Open and free Discourse		.848
5.4.	Negotiations	.321	.447
7.2.	Readiness of Concerned Parties	.545	
9.3.	Parliamentary/Cabinet Consultation	.468	
9.4.	Subordinate Legislative Processes	.708	
Factor Name		Voice	Participation
Cronbach Alpha Coefficient		0.570298	0.592318

(See attached Annexure F and G for Data Tables)

The reliability test examines the internal consistency of the new composite index and a close variation across items existed to conform with a cut-off point of .30. The Cronbach Alpha coefficients were both above 0.5 for each factor, which according to Lemke *et al* (1976:97), is acceptable. Hence 3 out of the 12 indicators did not conform with these values and were therefore excluded. Another 2 factors, *Negotiations* and *Legitimacy of Interest groups represented*, loaded significantly on another factor, which meant they are no longer were unidimensional and therefore excluded. The remaining artificial homogenous values, correlated highly with each other and were distributed between two factors, SD1 and SD2, which were named arbitrarily '**Voice**' and '**Participation**' respectively. The first factor (SD 1), seems to account adequately for the rights of policy actors to represent their constituencies during the process, hence the 'voice' perspective is strongly represented. The second factor (SD 2), encompasses a distinct consultative component, hence '*participation*' seems an appropriate dimension. For analytical purposes, the

⁷⁰ As a benchmark, items with a correlation of under 0.3 were considered weak and discarded and good

author will focus on both factors as being integral to the construct 'social dialogue' and hence an appropriate measure of this index (Greenberg,1986:193).

3.8. Data Summary

Categorical aggregation was used as a method of analysis, to measure all clustered items in the measuring instrument, as well as the composite index created to measure " Social Dialogue" variables.

The unidimensional nature of each item ensured that the composite measure in the form of 10 underlying principles, was only measuring one dimension per cluster of items. It was also ensured that the items for each dimension provided a sufficient amount of variance by excluding indicators in items that had a tendency to overlap with other indicators in items. In order to prevent misclassification, the survey made use of three or more indicators to index an item. The discrimination power of an item is its ability to differentiate the high-scoring respondents (clearly positive attitudes shown by agreement), from the low-scoring respondents (clearly negative attitudes shown by disagreement). The data was transformed by using *item reversals*⁷¹, according to Trochim (2002:3), as all scores for scale items needed to be in the same direction. The items divided respondents about equally in terms of '**policy formulators**' (15) and '**policy implementors**' (21), who would view the context and process items differently by virtue of their positions/roles in the implementation process. (Babbie,1994:382-384).

Research question 2 was successfully answered by this analysis and interpretation methodology.

3.8.1. Analysis of Responses to Instrument Items

Miles and Huberman (1984:69) advance the visual presentation of qualitative data in the form of graphs, tables, charts and pictorial devices, to present and illustrate the analysis. Doby and Schuman et al, (1954:207) , stressed that in

items with a correlation of around 0.5 and higher are considered.(Ross,2000: 11)

⁷¹ **Item Reversal** - to reduce the possibility of response set items are in the negative. The direction of the item is changed by the following formula: New Value =(High Value -1)-Original Value ,i.e. a 1 is changed to a 5.

analysing survey data, the greatest interest should be the relationship amongst the variables that the questionnaire indexed, which usually compares groups, categories or classifications, on one or more variable. Scale items, once transformed, were averaged across individual items, to get a total score for the scale.

Results of ten items are presented from section 2 to section 11 of the instrument *graphically*, representing the total sample with all raw scores in frequency tables, for the comparison between the two groups, viz, *policy formulators* and *implementors*, where the neutral/do know category has been excluded and rescaled for a sharper comparison.⁷²

Phase III : Section C, of the instrument which measured the '***Analysis of Policy Implementation***' (summated Items 7.1 to 10.6), were analysed using a *differential sliding scale checklist*⁷³, which is an appropriate measure for evaluating the attitudes and experiences of a process according to Leedy (1989:149), which were recorded against implementation indicators for certain policy events.

Returning to the investigative **Research Questions**, the exploratory part of the analysis will attempt to answer all three of the following:

- a) ***Was the policy efficacious?*** This was the latter part of question 1, which through quantitative methods below, will be answered.
- b) ***What were the experiences of key informants on the development of social dialogue in the interaction between key policy actors at a societal level, both provincially and nationally ?*** This question will be answered by making a comparison and analysis between the policy formulators and implementers perceptions of this dimension.

⁷² However, it is appropriate to report data in both forms, with or without the middle category of 'do not know' so the readers can draw their own conclusions as well (Babbie; 1994: 384).

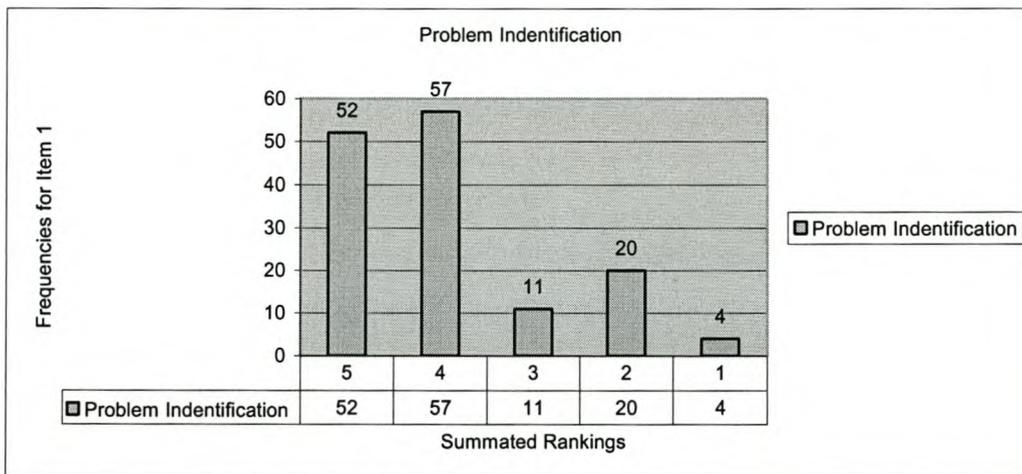
⁷³ **Differential Sliding Scale Checklist** – Implementation was measured along an inventory of 20 items (Leedy 1989:149).

PHASE I OF POLICY PROCESS:

SECTION A: ANALYSIS OF BACKGROUND AND UNDERLYING PRINCIPLES OF POLICY MAKING IN EDUCATION

Item 1: PROBLEM IDENTIFICATION

Indicators: Delimitation of problems at Political; Societal and Macro-Supra National Level



Graph 1: Problem Identification

Analysis:

The summated modal score was 57 for the indicators measuring the process of problem identification, which together with the strongly agree score translates to 76% of policy actors agreeing with the problem identification strategy. Only 8% of respondents were indecisive when it can to a measure on this composite item.

Table 10: Comparison on Problem Identification at Policy Actor level

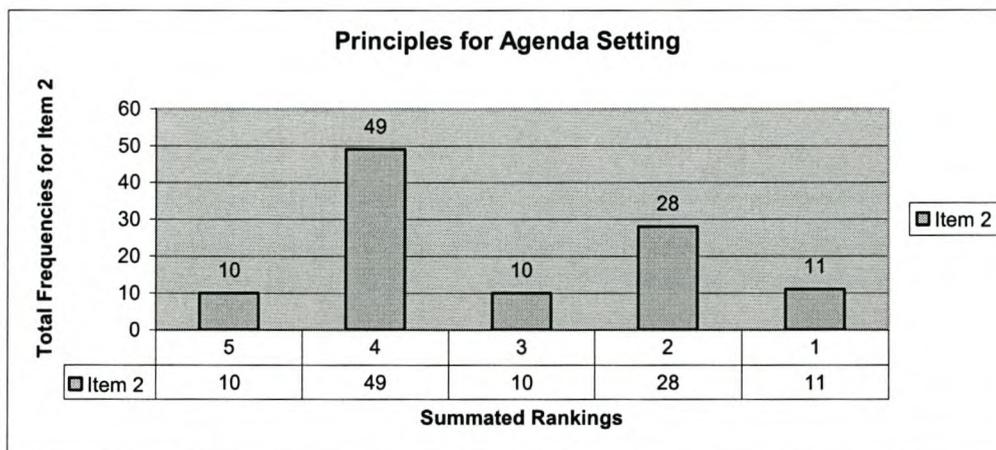
PROBLEM IDENTIFICATION					
Rating	Scaling	Policy Actors		Difference^^A Between groups	Total
		Policy Formulators Group A	Policy Implementers Group B		
		15	21		36
Disagreement	1 +2	17%	38%	21 %	18%
Neutral/Do not Know Scores excluded and Rescaled					
Agreement	4+5	83%	62%	21%	82%
		100%	100%		100%

Comparative Analysis between groups:

Although Group A and B show a vast difference (21%), in their levels of opinion on the matter of problem identification at a political, societal and supra-national level, they however concur strongly on the issue that the policy was driven by an identified problem.

Item 2: PRINCIPLES UNDERLYING POLICY AGENDA SETTING

Indicators: Ideologies of policy makers; alignment of policy objectives and choice of appropriate indicators .



Graph 2 : Principles for Agenda Setting

Analysis:

The summated modal value was 49 for the measure of principles for the agenda setting process. When combining the disagree and strongly disagree scores, a yield of 36% is obtained, although 54% confirmed their perceptions that some of these principles were addressed.

Table 11: Comparison on Principles Underlying Policy Agenda Setting between Policy Actors

PRINCIPLES UNDERLYING POLICY AGENDA SETTING					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	65%	48%	17%	40%
Neutral/Do not Know Scores Excluded and Rescaled					
Agreement	4+5	35%	52%	17%	60%
		100%	100%		100%

Comparative Analysis between groups:

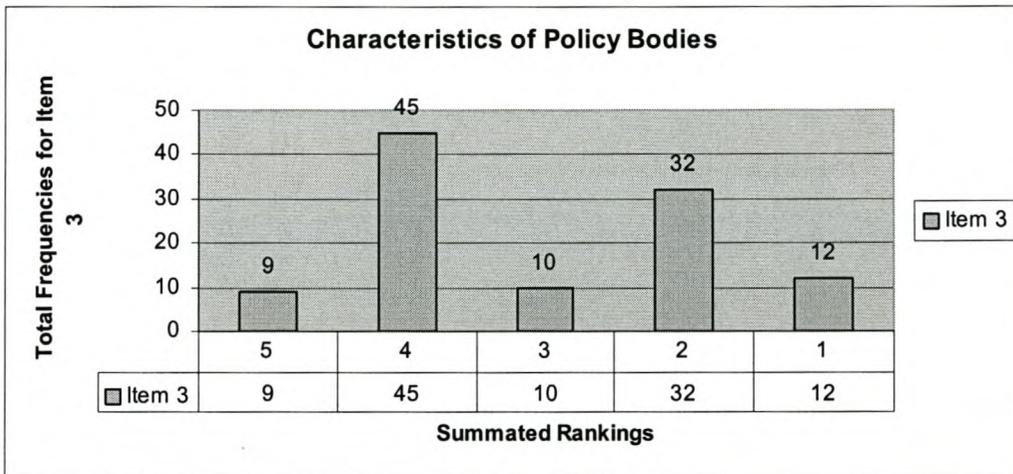
Policy formulators and Implementers differ substantially by 17 % , with group A showing a strong measure of disagreement 65% on the principles underlying the policy agenda-setting whilst group B shows a marginal agreement of 52% on the issue. However, the total cohort are in strong agreement to the degree of 60%.

PHASE II OF POLICY PROCESS:

SECTION B: ANALYSIS OF POLICY FORMULATION PROCESS

Item 3: CHARACTERISTICS OF EDUCATIONAL POLICY-MAKERS/POLICY MAKING BODY

Indicators: Legitimacy of Interest groups represented; Formation and Composition of Policy-Making Body and Expertise and Personal Qualities of policy actors



Graph 3: Characteristics of Policy Making Body

Analysis:

There is a 9% difference in the divergence of opinions in favour of the agree cohort of respondents on the issue of the characteristic of the policy making body, the ELRC.

Table 12: Comparison on Characteristics of educational Policy Making Structure

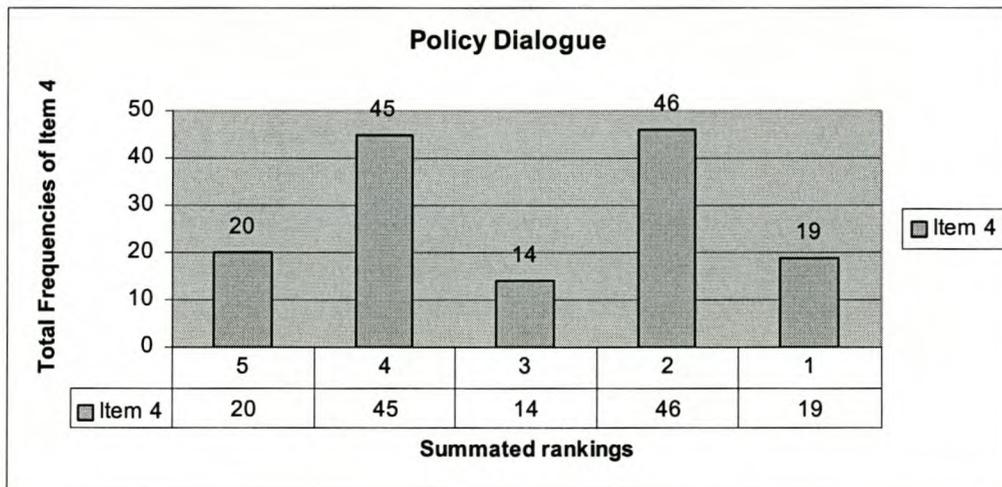
CHARACTERISTICS OF EDUCATIONAL POLICY- MAKERS/ POLICY MAKING BODY					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	66%	55%	11%	45%
Neutral/Do not Know Scores Excluded and rescaled					
Agreement	4+5	34%	45%	11%	55%
		100%	100%		100%

Comparative Analysis between groups:

A very interesting observation is both groups that strategy formulators disagree strongly that the process of formulation, implementation and evaluation is almost non-existent (74% disagreement), while the implementers disagree marginally (56%). The possible explanation could be the differing views of what strategy really is to managers at different decision-making levels.

Item 4: POLICY DIALOGUE

Indicators: Consultation Strategy; Participation; Negotiations and Open and Free Discourse.



Graph 4: Policy Dialogue

Analysis:

The response to the issue of policy dialogue is bipolar, hence a summated bimodal score of 65 for both extreme views. This can be interpreted as an ambiguous experience amongst different role players with regards to dialogue during the policy process.

Table 13: Comparison on Policy Dialogue at Policy Actor level

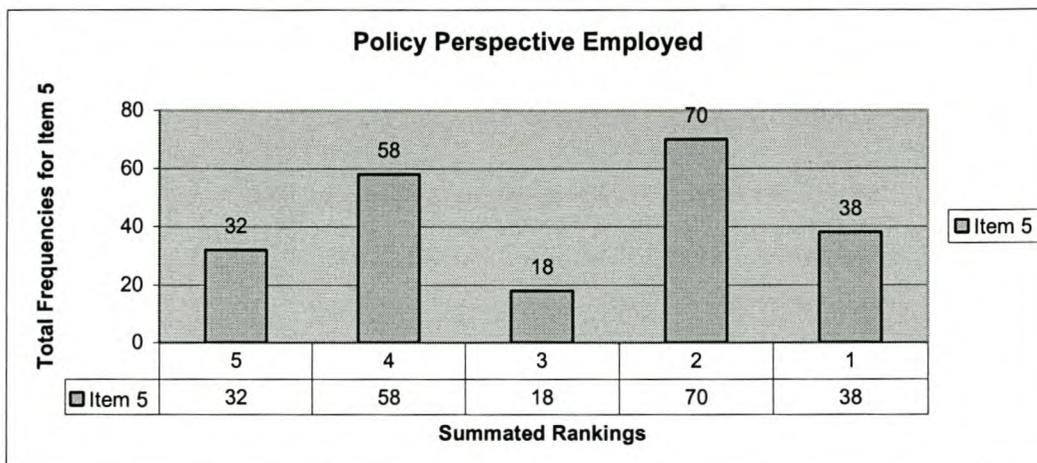
POLICY DIALOGUE					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	36%	59%	23%	49%
Neutral/Do not Know Scores Excluded and rescaled					
Agreement	4+5	64%	41%	23%	51%
		100%	100%		100%

Comparative Analysis between groups:

A very distinct gap of 23% between the two groups as to their levels of disagreement indicates that the policy implementors do not believe that the the negotiations and consultation strategy was conducive for the effective roll-out of the Rationalisation and Redeployment policy. However, on the other hand ,the policy formulators (64%), believe that the dialogue was satisfactory. Although the total group displayed a marginal agreement of on this issue.

Item 5: POLICY PERSPECTIVE EMPLOYED

Indicators: Ecological; Systems; Economic and Management Analysis , as well as Rationality Building and Decision Technology.



Graph 5: Policy Perspective Employed

Analysis:

The summated disagreement score of 108, translates into 50%, where there was a 42% agreement around issues of the policy perspectives employed.

Table 14: Comparison on Policy Perspectives Employed between Policy Actors

POLICY PERSPECTIVE EMPLOYED					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	82%	77%	5%	58%
Neutral/Do not Know Scores Excluded and Rescaled					
Agreement	4+5	18%	23%	5%	42%
		100%	100%		100%

Comparative Analysis between groups:

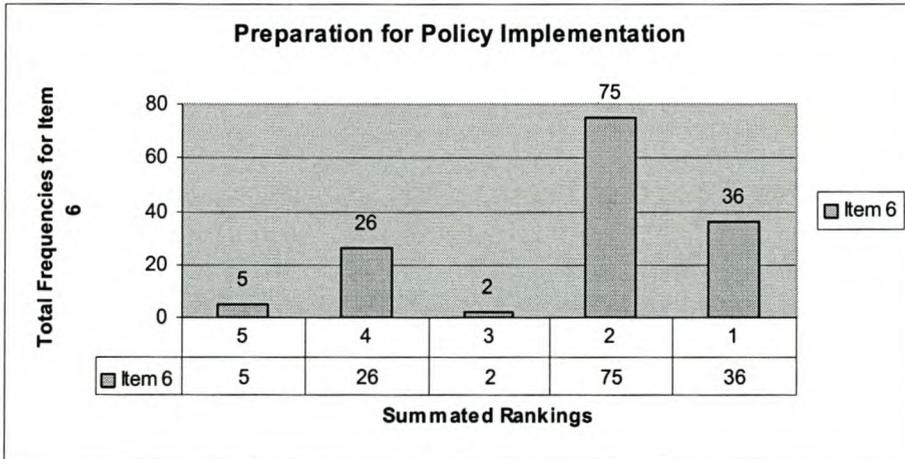
There was a very high disagreement in both cohorts on the issue of the policy perspectives employed and very little variance between group A and B.

PHASE III OF POLICY PROCESS:

SECTION C: ANALYSIS OF POLICY IMPLEMENTATION

Item 7: PREPARATION FOR POLICY IMPLEMENTATION

Indicators: Cognitive; Psychological; Technological Preparations, as well as Readiness of Concerned Parties



Graph 6: Preparation for Policy Implementation

Analysis:

An overwhelming majority of policy actors, 77%, strongly disagree on the preparation for policy implementation, with only 1% been undecided on the issue. A mode of 75 accounts for 52% of the responses.

Table 15: Comparison on Preparation for Implementation

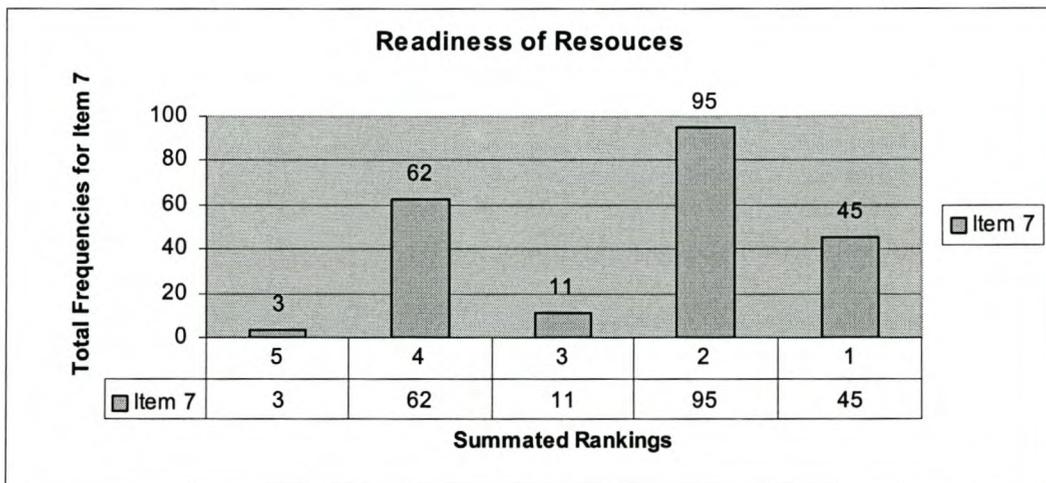
PREPARATION FOR POLICY IMPLEMENTATION					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	63%	77%	14%	88%
Neutral/Do not Know Scores Excluded and Rescaled					
Agreement	4+5	37%	23%	14%	12%
		100%	100%		100%

Comparative Analysis between groups:

Both groups are in strong disagreement with regards to the preparation for the policy implementation, although the implementers were more vocal, by 14% more.

Item 7: READINESS OF RESOURCES

Indicators: Human Resources; Facilities and Accommodation; Fiscal and Monetary Resources; Time availability; Realistic implementation stages/phases and Schedules



Graph 7: Readiness of Resources

Analysis:

A majority (65%), also disagreed on the readiness of resources planning for the roll-out of the policy within the specified time-frame. It is interesting to note that only 1% of respondents strongly agreed with this composite measure.

Table 16: Comparison on Readiness of Resources

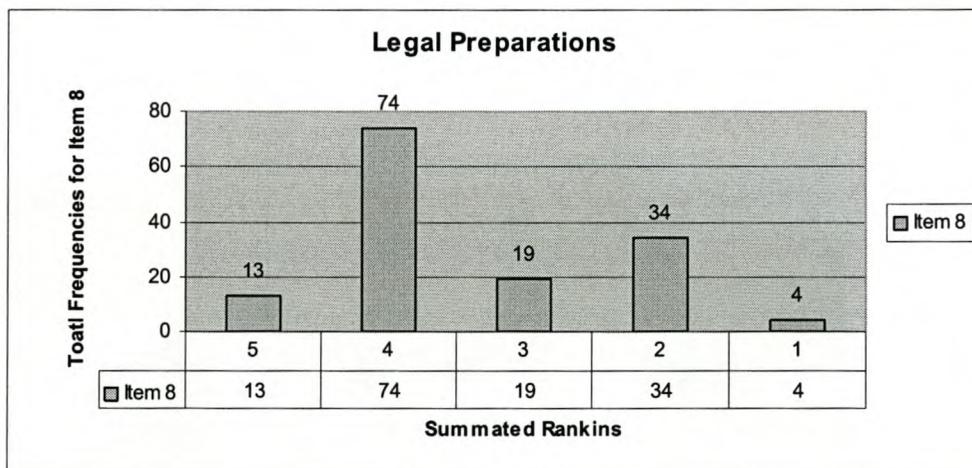
READINESS OF RESOURCES					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	50%	42%	8%	68%
Neutral/Do not Know Scores Excluded and Rescaled					
Agreement	4+5	50%	58%	8%	32%
		100%	100%		100%

Comparative Analysis between groups:

Both groups are in marginal agreement that there was a degree of readiness of resource planning for the roll-out of the policy.

Item 8 : LEGAL PREPARATIONS

Indicators: Legal Rights of Concerned Parties; Legislation of Policy; Parliamentary/Cabinet Consultation and Subordinate legislative processes.



Graph 8: Legal Preparations

Analysis:

Although 60% of respondents have agreed that the legal preparations for the policy were adequately done, 14% did not venture an opinion which could probably be ascribed to their experiences with the Grove Primary judgement, as well as the “Near Strike” issue of SADTU.

Table 17: Comparison on Legal Preparedness

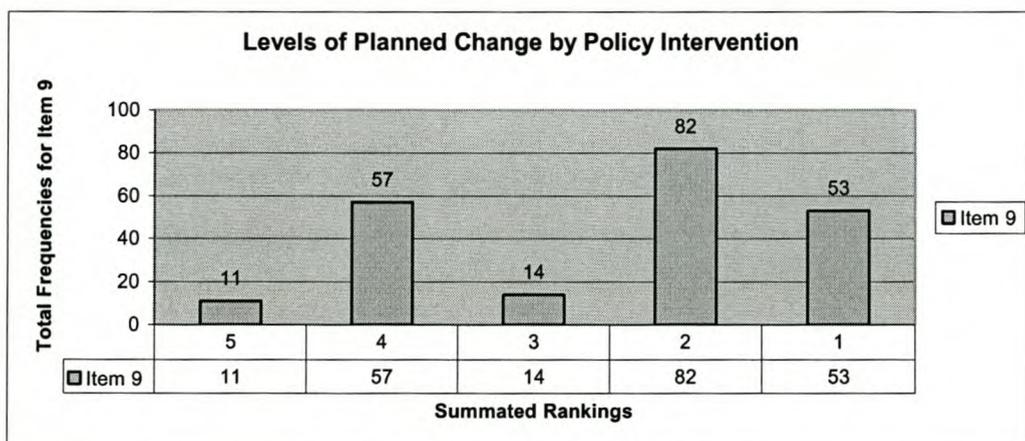
LEGAL PREPARATION					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	50%	42%	8%	31%
Neutral/Do not Know Scores Excluded and Rescaled					
Agreement	4+5	50%	58%	8%	69%
		100%	100%		100%

Comparative Analysis between groups:

There was agreement between group A and B that the necessary legal preparations were done in preparation for the policy roll-out.

Item 9 : LEVELS OF PLANNED CHANGE BY POLICY INTERVENTION

Indicators: Systems at a national; provincial; institutional and classroom level



Graph 9: Levels of Planned Change by Policy Intervention

Analysis:

The majority of managers (63%) disagree with the levels of planned policy changes from a systems perspective, in that the GDE was inadequately prepared for the roll-out of this policy, as institutions were not prepared for the planned change.

Table 18: Comparison on levels of planned change by policy intervention

LEVELS OF PLANNED CHANGE BY POLICY INTERVENTION					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	64%	74%	10%	66%
Neutral/Do not Know Scores Excluded and Rescaled					
Agreement	4+5	36%	26%	10%	34%
		100%	100%		100%

Comparative Analysis between groups:

Both group A and B strongly disagree that there was sufficient planning at different levels of the system for the implementation of the policy.

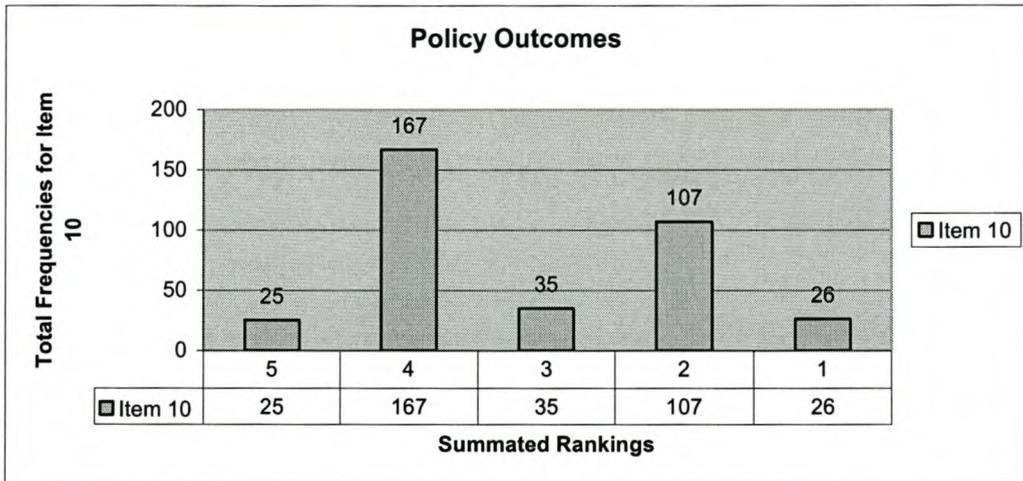
However, implementers disagree by 10% more than formulators with regards to planned change. This could be because implementers experienced the policy roll-out at more systems levels than formulators.

PHASE IV OF POLICY PROCESS:

SECTION D : ANALYSIS OF POLICY EFFECTS

Item 10: Policy Outcomes and Quality of Resulting Policy

Indicators: Suitability and Feasibility in terms of time; scope; acceptability; efficiency and effectiveness



Graph 10: Policy Outcomes and Quality of Resulting Policy

Analysis:

A substantial number of policy actors (53%) ranked the policy outcomes as suitable in terms of scope and timeframes within the known constraints, although a silent cohort of 10% did not express an opinion on the matter.

However, comparing the individual measure of this composite score reveals that on the issue of educational outcomes and benefits, 61% of respondents did not agree or did not venture an opinion on this matter as they did not agree that the policy brought about the desired ends.

Table 19: Comparison on Policy Outcomes and Quality of Resulting Policy

Policy Outcomes and Quality of Resulting Policy					
Rating	Scaling	Policy Actors		Difference	Total
		Strategy Formulators Group A	Strategy Implementers Group B		
		15	21		36
Disagreement	1 +2	58%	51%	7%	41%
Neutral/Do not Know Scores Excluded and rescaled					
Agreement	4+5	42%	49%	7%	59%
		100%	100%		100%

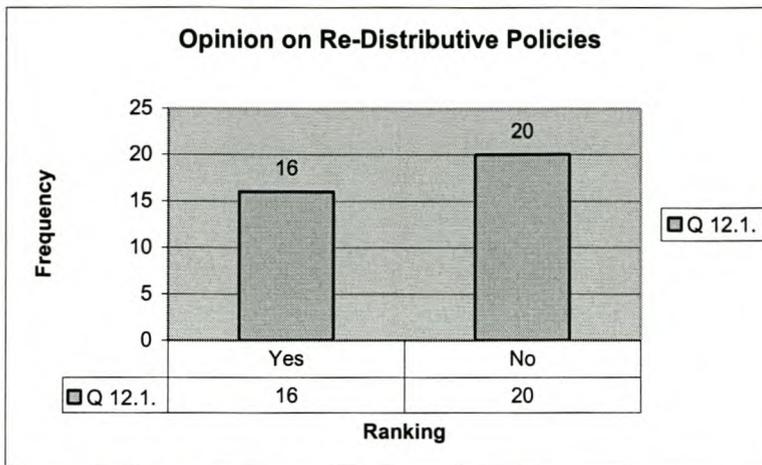
Comparative Analysis between groups:

There is marginal disagreement on the policy outcomes and the quality of the resulting policy between the groups. However, when scaled back to the total, there is marginal agreement on the issue of policy outcomes.

Item 12: General Comments

12.1. An analysis of Policy Actors Support for Redistributive Policies irrespective of systems implications

Categorical data consists of frequencies of observations that fall into two or more categories, according to Howell,(1995:8) and therefore the following question was posed, as to whether policy actors would support re-distributive policies irrespective of systems implications. A marginal disagreement was measured (56%), which means, given other factors policy actors would support re-distributive policies even if pay-offs offset positive outcomes.



Graph 11: Opinion on Re- distributive Policies

Deductions:

What can be drawn from graph 11, is that 44% of policy actors support a re-distributive policy irrespective of any systems implications within the GDE. One could deduce that due to previous resources imbalances, the enthusiasm to redress these through re-distributive policies irrespective of the systems implications, is the consideration of some policy actors.

12.2.2. An analysis of Policy Actors Satisfaction with respect to whether the Rationalisation and Redeployment Process improved the quality of the service delivered to our citizen-customer

Table 20: Satisfaction with the Rationalisation and Redeployment Policy and Process as an Intervention

Rating of Usefulness of Policy	Scaling	Total		Mode
		No.	%	
Help considerably	5	2	6 %	
Help to an appreciable degree	4	19	53 %	19
No sure/Uncertain	3	5	14 %	
Has hardly made a difference	2	10	28 %	
Has been of no use	1	0	0 %	
		36	100 %	

About 59 % of policy actors have affirmed that the Rationalisation and Redeployment Policy to have been useful in improving the quality of education delivery, while 28 % felt it has hardly made any difference. It should

be of noted that only 14 % of respondents were uncertain about the effectiveness of this policy within the GDE.

3.8.2. Evaluation of Policy Success or Failure

The subjective intent of the decision-makers vs the objective reality, determines the success rate of the policy. A policy is a quantitative failure, if its achievement units fall below an intended or objective standard, even though there is some net achievements (Scioli and Cook: 1975:17). Hogwood and Gunn (1991:197), advocate an assessment of any implementation gaps, as they argue that governments are better at legislating than effecting desired changes through policy. They guide that it is useful to distinguish between non-implementation and unsuccessful implementation, which usually is a result of unco-operative or inefficient execution in the case of the former or best effects could not overcome obstacles to effective implementation.

A further analysis of the implementation process is used to triangulate the findings independently from the comparative analysis done earlier so as to corroborate the findings in the summation using the discrimination index. Proposition 1 which emanated from research questions 1 and 2 will be effectively answered when the results of the implementation strategies are compared to that of the responses to the social dialogue indicators. Using Leedy's (1989:149) observational technique, which is a checklist or inventory of goals in the form of items on a rating scale, Phase III: Section C, of the instrument, which measured the '**Analysis of Policy Implementation**' (Items 7.1 to 10.6) , were analysed using a *differential sliding scale checklist*, as a measure of evaluating the implementation part of the policy process.

Table 21: Analysis of Policy Implementation of Rationalisation and Redeployment

TOTAL SAMPLE OF Policy Actors (36 RESPONDENTS)						
Item No.	Ranking	Item 7	Item 8	Item 9	Item 10	
Strongly Agree	5	5	3	13	11	
Agree	4	26	62	74	57	251
DANGER LINE						
Do Know	3	2	11	19	14	46
Disagree	2	75	95	34	82	
Strongly Disagree	1	36	45	4	53	474
Total						725
Total Check Marks above Danger Line		37% check marks are above the danger line (251/679 = 37%) 37% compliant with the Policy implementation Strategies				
% Implementation Score		NB: This 37 % score is way below an arbitrary acceptable score of about 65% policy efficacy which is measured above the danger line .				

NB: The Do Know(DK) scores are subtracted from the total score (725-49=679)

Analysis:

Using a differential sliding scale checklist, according to Leedy (1989:149) policy implementation indicators are recorded for their varying range of frequency for certain events as the checking is done on a variable scale and the analysis of the implementation checklist is at a level of 37% compliance in terms of the indicators in the policy process model.

The total sample was inclusive of the neutral/do not know category which was counted below the danger line, but excluded for purposes of calculating perceptions of compliance with the implementation milestones, as these respondents did not venture an opinion. All the check marks below the danger line are an indication of urgent attention and review needed. It effectively says that at least 63% of policy implementation indicators for the effective roll-out of the policy were not followed or met within the GDE, according to the perceptions and experiences of key policy actors.

3.8.3. Qualitative Thematic Coding Analysis

The contents, from the semi-structured questions, 12.3.1. to 12.3.3, of the measuring instrument, were systematically examined to record the relative incidence of thematic units, in order to reflect a temporal theme according to Cooper and Schindler (2001: 429) and categorise them into the objectives for

the questions asked with the intention answering the investigative questions. The phenomenon to be analysed were defines clearly as follows:

Question 12.3.1. : Inputs for Improvement of the design process and implementation of any future Rationalisation and Redeployment Policy

Locus of Focus	Frequency (n =36)	%
Skills Audit	13	36%
Empirical Studies	24	67%
Cyclical Planning Process	16	44%

Respondents highlighted three main areas of commonality with regards to improving the design of future redeployment policies, viz:

- Doing a Skills Audit of all Educators in order to optimally redeploy educators according to were skills are needed
- Doing an empirical study about cost benefit analysis of rationalisation
- Engaging in a cyclical planning processes

Question 12.3.2. : Describe any significant intervention that improved the implementation of the Rationalisation and Redeployment Policy

Locus of Focus	Frequency (n =36)	%
Granting of VSP's	13	36%
Technical Administration Systems	21	58%
Collective Bargaining Structure	18	50%

More than half the respondents (58%), felt that the technical administrative systems of the GDE improved the implementation of the redeployment process. In the previous question, a number of respondents felt that the improvement of the information systems would enhance the policy implementation. However, they also expressed confidence in the role of the provincial bargaining structure, as a vehicle, which improved the roll-out of the policy. Lastly, the granting of VSP's was also seen as an intervention, which facilitated the policy process.

Question 12.3.3. : Describe any significant incidents that impacted in anyway in the implementation of the Rationalisation and Redeployment Policy

Locus of Focus	Frequency (n =36)	%
Grove Primary Court Case	19	53%
SADTU 'Threatened Strike'	15	42%
MTEF Consultative Process	11	31%

The Grove Primary saga was by far the most significant incident of note during the policy process, which stood out in the minds of respondents (53%). Respondents felt that there was a need to intensify the schooling community involvement in ensuring greater accountability. The 'Threatened Strike' of SADTU was also recorded as a significant incident that impacted on the policy direction.

It should be noted from the anecdotal comments of the unstructured questions, a sense from policy implementors was that the Rationalisation and Redeployment process unwittingly lead to increasing educational disparities in the schooling system. Private schooling recruited government trained educators who opted for VSP's, mainly from previously advantaged schools. Redeployment was not about redressing historical imbalances but was a method of concealing the basic intention to cut down social spending in line with the macro-economic policy of GEAR ,i.e. fiscal discipline and austerity. Similar sentiments are also recorded in the works of Govender *et al* (1997: 357).

3.9. Discussion and Summation of Research Findings

Throughout this research, an examination of the series of sub-processes of the policy process occurred. Richardson and Jordan (1979:153) postulate that all these processes are closely linked and if implementation theorists are correct, then the link between the implementation , policy outcomes and the formulation ought to be particularly close if the policy is to be regarded as successful. The Discrimination Index is the difference between the endorsement of the statement by high scorers (respondents who ranked 4 and 5, 'strongly agree' and 'agree') and that by low scorers (respondents who

ranked 1 and 2, 'strongly disagree' and 'disagree'). Note that the neutral/don't know scorers have been removed and the remaining bipolar scores rescaled back to 100. (M.Saito, 1999: 5).

Table 22: Summary of Findings on the Efficacy of the Policy Process using a Discrimination Index

No. On MI	Item Statistics	High Scorers %	Low Scorers %	Discrimination Index
	PROCESS ITEMS (50 Indicators)	Agreement Scale	Disagreement Scale	Difference between High-Low scorers on the Likert Scale
1.	Problem Identification	82	18	0.64
2.	Principles underlying Policy agenda-setting	60	40	0.20
3.	Characteristics of the Educational Policy-Making Body	55	45	0.10
4.	Policy Dialogue	51	49	0.02
5.	Policy Perspectives Employed	42	58	- 0.16
6.	Preparation for Policy Implementation	12	88	- 0.76
7.	Readiness of Resources	32	68	- 0.36
8.	Legal Preparation	69	31	0.38
9.	Levels of Planned Change	34	66	- 0.32
10.	Policy Outcomes and Quality of Resulting Policy	59	41	0.18
	Overall Measure of the overall Efficacy of the Policy based on Perceptions and Experiences			- 0.08 (Difference between the positive and negative indices)
NB: A Positive Index above 0.30 value means a very Strong affirmation of the rating anchor i.e. strong agreement amongst respondents on that item. A Negative index below -0.30 value means a very Strong disagreement/disassociation amongst respondents on that item				

Source : Modified from Siato (1999:14), IIEP

The value of 0.30 as a cut-off discriminator is based arbitrarily on the notion of a *two thirds majority rule*⁷⁴ in western democracies. Based on this criteria, an overwhelming majority of policy actors showed strong agreement in the

⁷⁴ **Two Thirds Majority Rule** – 67% (+) respondents – 33% (-) respondents = 34% difference which is still too high and hence 30% (0.3 Index) was chosen in order to account for a degree (+- 4%) of subjectivity or variance.

success of the roll-out in only two policy phases. Although there were marginal differences in the views and opinions expressed by various policy actors for six of the ten items measured, it must be noted that for all the measures for the *Policy Implementation* phase, except for the *Legal Preparedness* item and the measure for the *Policy Perspectives* employed, a significant difference was shown in that the perception and experiences were strongly negative. This resulted in a summated marginal negative index for the whole policy process.

Therefore, the focus will be on commenting on the results of the data analysis, in the context of the propositions that were made in chapter 1 :

Propositions in the Context of the Results:

Proposition 1 stated that:

“An essentially negative or positive opinion of the overall efficacy of the policy will translate into a similar negative or positive experience of social dialogue during the policy process.”

The results above, using the discrimination index, somewhat confirm this proposition in that the overall efficacy index for the policy was at (-0.08), whilst the measure for social dialogue was at (0.02). This empirical research has therefore shown how opinions and perceptions about the efficacy of a policy process are directly linked to the experiences of policy actors with regards to social dialogue.

The following section will put the empirical findings into a schematic representation in order to inform the modification of the existing framework in order to resolve the management dilemma depicted in the tabular representation of the empirical findings.

3.10. Schematic Representation of Research Findings

Neuman (1994:412) posits a method of analysis using empirical evidence to illustrate the usefulness of a model or theory, in the form of an *illustrative method*⁷⁵. It shows that the theoretical model used illuminates or clarifies a specific case or situation.

Path Diagram Explaining the Development of Social Dialogue in the Policy Process

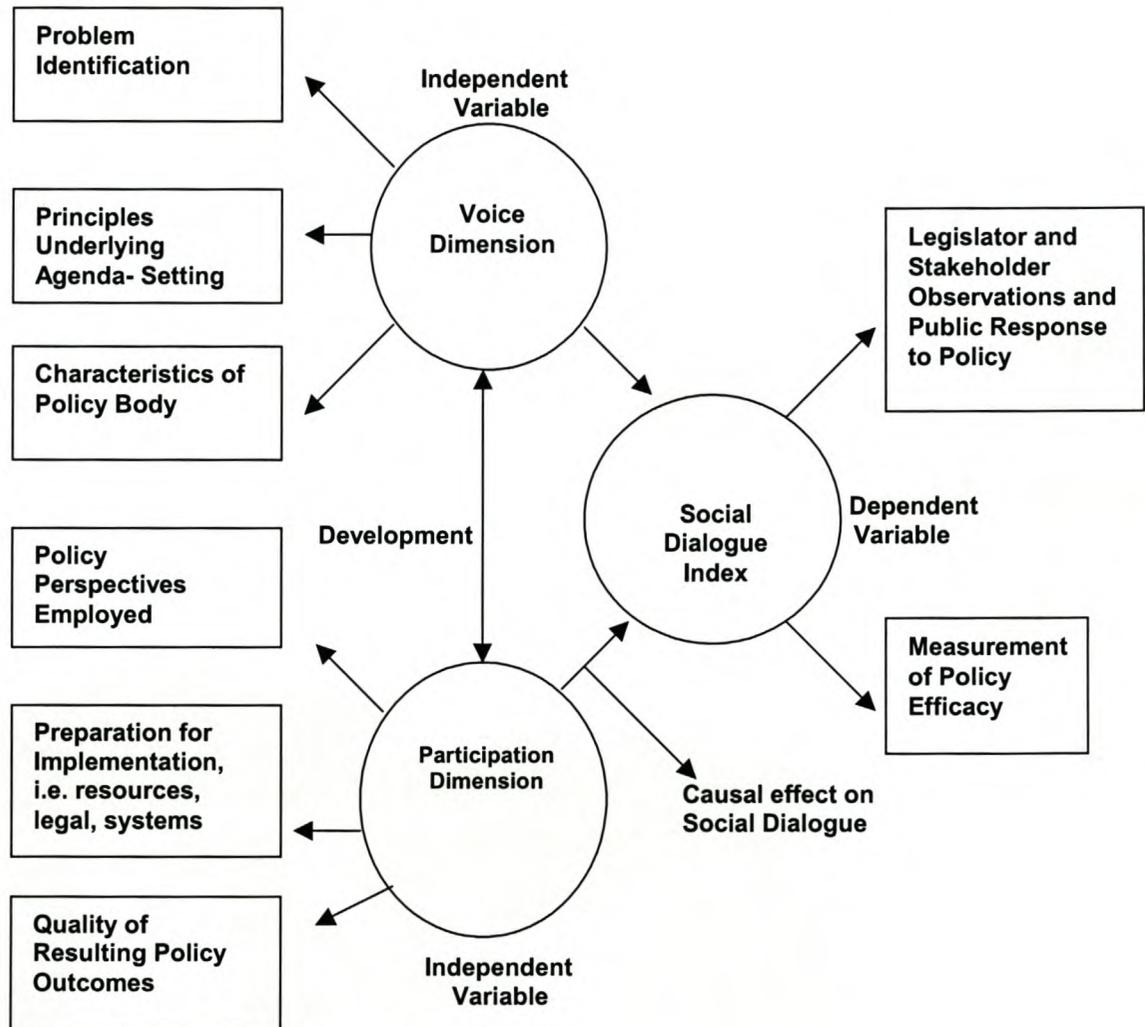


Fig. 10. Adapted from Cooper and Schindler, 2001, pg 586.

⁷⁵ **Illustrative Method** entails a researcher applying theory to a concrete historical situation or social setting by filling in empty boxes from evidence gathered which confirms or rejects a proposition or theory (Neuman, 1994:412).

The diagrammed *structural model* shows the ***assumed*** causal relationships amongst latent variables, which describes the causal effects and the unexplained variances through a path diagram after doing a path analysis. (Cooper et al, 2001: 586). The explanatory power of this model is used to summarise the findings of this case study.

In the case study of the GDE, the latent factors were participation, voice and social dialogue variables, shown within the circles. The observable or measurable variables were the problem identification process; the principles underlying the agenda setting; the characteristics of policy body; the perspectives employed to execute the policy; the preparation of resources and systems for the implementation of the policy and the measure of the policy outcomes. The arrows signify the influence where the latent factors affect the measurable variables (e.g. the voice dimension affect the problem identification results and not the other way around) and the arrows point from the construct to the measured variables. An interrelationship between the **“voice”** and **“participation”** dimensions enhances the *development* of social dialogue and the **‘voice’** reciprocally influences the **‘participation’**. Each of these independent variables has a causal effect on the social dialogue. (Cooper et al, 2001:587)⁷⁶

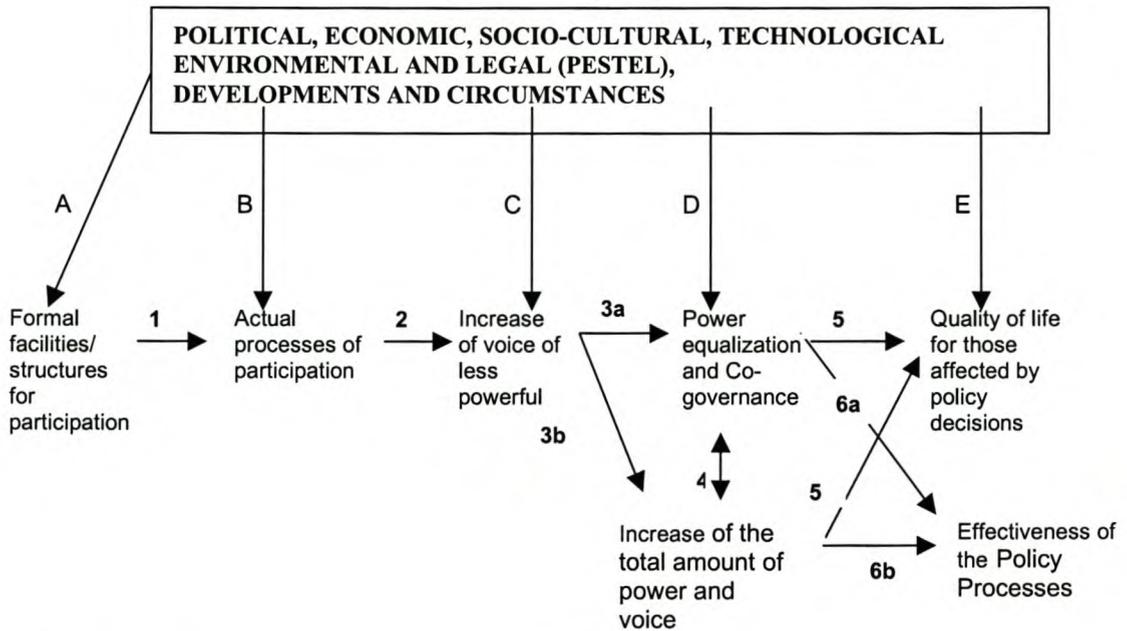
In order to understand the development and role of social dialogue within policy processes, several external control points act as gatekeepers, which are as follows:

1. Legislator and Stakeholder Observations
2. Public Responses to the Policy in the form of Objections
3. Measurement of Policy Efficacy

⁷⁶ *LISREL model* was introduced by Karl Joreskog in 1973 in order to explain causality amongst constructs that cannot be directly measured. The above path diagram based on the LISREL *linear structural relationship* analyses covariance structures. Only the measurement part of the model which is used to relate hypothetical constructs which cannot be measured directly is used above to relate the observed, recorded or measured variable into latent variables [Cooper and Schindler,2001:589]

These variables are combined in order to get an understanding of the Rationalisation and Redeployment policy. Measurement models are important for modeling constructs that cannot be directly observed, such as attitudes, feelings, perceptions and experiences of events.(Cooper et al,2001:589)

Finally, as a summation of the findings, it is demonstrated, through the following schematic presentation how social dialogue develops in a policy process:



Adapted from works of Lammers and Szell

Fig.7. An Explanatory model for the democratization of the Policy Making Processes through Participation

The force field analysis of the PESTEL factors, as represented by arrow A, can bring about processes of participation in arrow 1, but these external factors also impact to what extent which consultative facilities are used and by whom. A striking example of how unforeseen and unintended mechanisms in which formal structures contributed to the development of social dialogue may be found in the two socio-political events earlier discussed in chapter 1, viz, Grove Primary case and the Threatened Strike by SADTU. Arrow B depicts actual processes of dialogue, which arise apart from formal consultative

structures, as a result of group interventions, which could be termed 'covert participation' (Lammers et al ,1989:323-325).

3.11. Summary

The decomposition of the policy process allowed the researcher to sort out the effects of particular characteristics at each stage which enriches the understanding of the overall participation process. Although the theoretical expectations of the study were met through the above analysis, what is notable is the degree to which an affirmation was given with regards to six dimensions measured by the policy model. The following deductions that one can infer from the data analysis which will inform the significant findings are as follows:

- That ten policy dimensions ,with the fifty indicators, of the linear process model successfully measured all contextual factors that are an indication of the efficacy of the policy process within education. Therefore, the explanatory power of the Cheng and Cheung model satisfied the needs of policy analysis within the South African context.
- There were three significant opposing views on their perception and experiences between policy formulators and implementers ,with regards to the following dimensions:

1. Principles Underlying the Policy Agenda Setting
2. The Policy Dialogue
3. The Policy outcomes and the Resulting Policy

Clearly the linkages between policy formulators and implementers and the process of dealienation of roles and *voice* in the policy process could be an attribute to the differing perceptions on these issues.

This chapter focused on the methodology and the research design, as well as the analysis and interpretation of the data, using primary data from a questionnaire-survey, which elicited important and personal responses from policy actors. The data captured indicated the extent to which social dialogue

is a feature in the policy process and meet the needs of the schooling communities they serve. The questionnaire also examined the efficacy of the policy process. The methodology employed aimed at gathering information that could be used to extrapolate the establishing and maintaining the principles of democracy.

The objective of investigative research question 2 was addressed by the interpretation of survey data treated by the methodology described in this chapter. The presentation of the data and analysis techniques were also labouriously explained.

Whether the negative gestalt result of the efficacy of the policy was characterised by deliberate policy intervention, most phases were characterised by poor planning and policy management. From a policy point of view, if the data points to a disturbing trend, then this has implications for how government views solutions to socio-economic problems and it is then a question of stopping this trend by providing solutions.

The empirical findings in research questions 1 and 2, assisted with the design of a strategy for inclusion of social dialogue during policy processes, which informed the objectives of research question 3, which will be addressed in the recommendations in chapter 4.

Finally, the study was undertaken with three aims in mind, of which two thus far have been empirically determined and concluded. The theoretical framework for modifying the existing process model based on these findings will be developed and explained in chapter 4.

CHAPTER 4

RECOMMENDATIONS FOR THE PROMOTION OF SOCIAL DIALOGUE IN EDUCATION POLICY PROCESSES

4.1. Introduction

Thus far, in this study, we have looked at political and economic developments in order to understand and explain the continuity and change in patterns of participatory democracy, using a policy process as a vehicle of measure. A modified explanatory model, based on the works of Lammers, (1989:323), of the evolution of participatory democracy in order to enhance social dialogue, is used to schematically present the findings of this study. This final chapter summarises the findings and draws conclusions about the usefulness of the framework used for tracking social dialogue and its' constructs, during a policy process. This chapter effectively will answer investigative question 3.

4.2. Summary of Research Findings

In this research, a framework for analyzing the determinants of participation in policy processes was studied by decomposing social dialogue into a series of stages: voice, representation, consultation and participation. Several empirical lessons emerged from this study, which arose out of the data analysis. Firstly, there is evidence from differing agenda setting objectives between policy formulators and implementers, which is consistent with their perceived differing roles. While the patterns are consistent with the policy processes, the analysis does not reveal separate influences of socio-political interests. Secondly, there is strong evidence that legislative barriers played a major role in the exclusion of School governing bodies from the process, which lead to the Grove Primary challenge. Legislation or other formal arrangements, according to Lammers et al (1989:275), are in themselves outcomes of political, economic or cultural factors, which can bring about processes of participation and co-determination. Thirdly, interest group dynamics act as a controlling factor by determining the policy direction, which was evident that due to an informational barrier, SADTU, through a threatened strike action, gained access to participation in

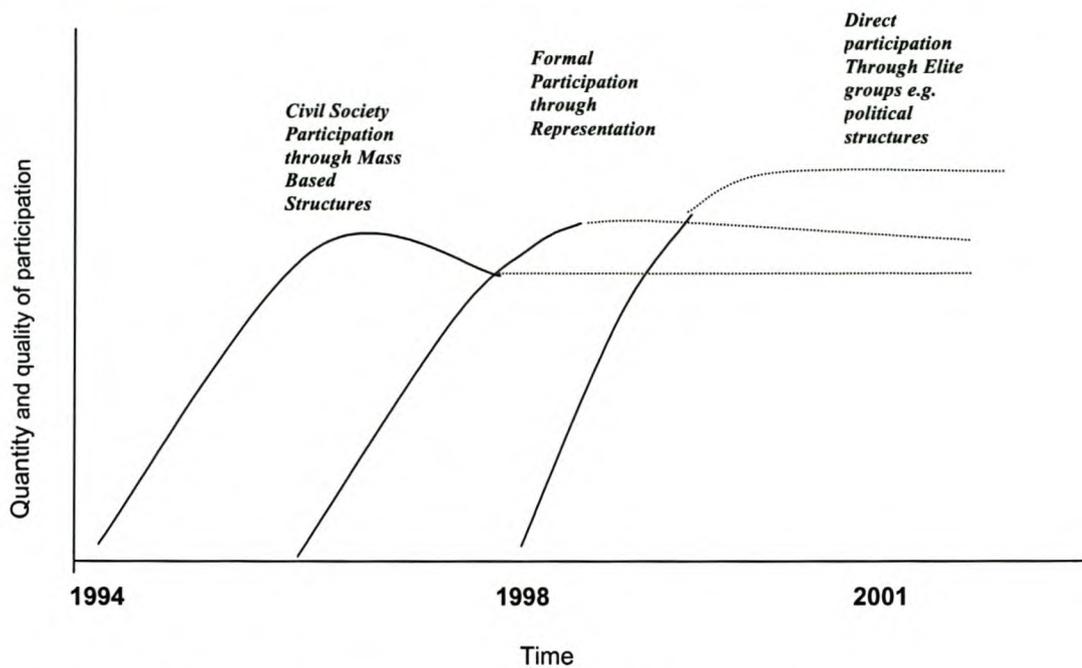
another process, the MTEF budgeting process, which was an unintended consequence of this policy process, in that an interest group in the form of unions, gained participation to another policy process.

However, actions and interactions through social dialogue are shaped only in part by formal arrangements. External environmental factors such as economic, technological and socio-cultural conditions, affect the way and the extent to which formal structures are used. These findings indicate the importance of inclusion of all key role players throughout the policy process.

Actual processes of participation can arise quite apart from any formal facilities, a case in point on the meso or macro-level was the Grove Primary grouping who could be termed '*user participants*'⁷⁷, because, as excluded policy actors, they illustrated that a grouping can find instances of informal participation in order to force formal participation in a policy process.

It is also interesting to note that the findings of this research somewhat coincide with the theory of Looise, in Lammers and Szell (1989:282), around the stairway model of participation. This theory allows for a cyclical development of participation, which is evolutionary based on particular socio-political events. Schematically, one wave of participation is continually substituted with another wave, which represents another form of participation, either direct or indirect, which could involve supplementation of collective representation in policy dialogue, as one form of participation no longer satisfies the needs of interests groups. Therefore, temporary spans of retrogression of certain elements of participation are also possible. (Lammers et al, 1989:281)

⁷⁷ User Participation – where an affected or disempowered grouping forces participation due to been recipients of unfavourable decisions. Visser in Lammers and Szell (1989:323)



Adapted from the works of Lammers and Szell (1989 :282)

Fig. 7. An Explanatory Model for the Development of Social Dialogue according to the stairway theory

- First wave = participation by means of civil society mass democratic structures
- Second wave = participation by policy actors through formal consultative structures, e.g. employees' representation ;parent representatives
- Third wave = possible future wave relating to new forms of participation (e.g. direct (group) participation of role players based on group interests ; power /economic positions)

Policy actors involved in consultations, which do not provide them with a real chance to influence decisions in accordance with their interests or views, will obviously not attach much value to such practices because of their experience of 'pseudo participation'. The backing of external agencies in the form of political parties, unions, special support agencies e.g. academic institutions, will influence the power base of the grouping to engage in direct participation with government on policy matters (Lammers et al, 1989:324).

The analysis framework used in this study yielded substantial insights regarding experiences of policy actors to policy moments, which evidence presented revealed the complex nature of the participation process, with some variables having conflicting effects on participation at different stages in the policy process . The insights achieved by decomposing the participation in

the policy process, has assisted in a strategy which was designed around the defining issues emerging from this research which are spelt out below, in 4.3.

4.3. Recommendations for a Strategy to Promote Social Dialogue

In order to maximize social gain, Dye (1995:301) suggests that for effective participation in policy processes, the public must be able to enter the decision-making process at an early stage, defining the problems of society, as this is more important than deciding on the solution.

Investigative **Research Question 3**, will be addressed, by the applications of the findings been put into a concrete strategy to include social dialogue within the consultative policy process.

How can the findings of the determinants contribute to the design of a strategy for a co-governance framework for the policy process specific to the education sector within the South African context. This question will be answered by the application of the findings in the recommendations, below.

4.3. 1. Conditions that facilitate the Promotion and Development of a Social Contract for Policy- making within Education

Based on the works provided by Vally (1992:15), a modified interpretation can provide a context for a social contract, which institutionalizes social dialogue in a policy processes in education. The following conditions identified are intended to give contextual meaning, both materially and historically to a social contract, within the education environment:

A. BUDGETING CRISIS AND ECONOMIC PLANNING

While economic problems are based on the national economy and therefore affect all groups in society and individuals in the education system, policies to adjust spending and shifts in provisioning are bound to be affected. Economic planning must be a route to economic growth –government officials, unions

and schooling communities must collaborate in their efforts to understand the problems and direction in education provisioning by a linear cyclical annual consultative process, whereby the modalities are spelt out in the social contract.

B. POLITICAL WILL

A social contract is a political solution to certain political and economic constraints facing a country and it represents a willingness on the part of all key role players, government, unions, schooling communities and business, to co-operate in their efforts to overcome any political, social or economic problem that affects the country as a whole. This willingness, need not necessarily arise from a belief in the politics of negotiation, but can be externally induced, by one or more of the parties forced by circumstances.

C. LIBERAL DEMOCRATIC PRINCIPLES

The state must not be a simple instrument for formulating and implementing policies, irrespective of their value to society, but must show a sense of even-handedness through social dialogue even if the political strength of the working class has a large influence on the state and its' policies, a solution to socio-economic problems must be based on a compromise agreed to by the most important affected groups in society.

4.3.2. Policy Community and Policy Networking

The organization of societal groups, according to Howlett and Ramesh (1995:199) is an important factor in the policy process and its outcomes, as it is often society's problems that the state seeks to address through public policies. These policy actors are active across various sectors and participate according to interest. However, academics cut across policy sectors because of their crucial role in the development of society. McLagan and Nel (1995:274) advocate that educational institutions can play a much more effective role in developing critical competencies of participation; management and

governance, knowledge of how the economic and political sectors operate, integrative communication skills and flexible decision-making.

Globalisation is another force driving the move towards increased participation, as boundaries within governments and organizations are blurring. Receiving information directly, via improved information technology and systems, will allow a larger group direct access to policy decision-making as civil society could vote on policy issues through computer and television, thus managing their own decision-making without the interference of the authorities as gatekeepers of public policy decisions.

The solution is a structure that can bring together diverse philosophies to think together about a problem by creating teams, defining new public policy roles for public administrators and policy analysts by including policy consulting and policy entrepreneurs. Forming multi-sectoral policy formulation partnerships amongst academia, government and non-governmental organizations, including unions, allows for a relationship between policy subsystems, policy learning and policy changes that offer an alternative way to view the operations of a policy cycle from that typically found in literature on public policy frameworks (Howlett et al, 1995: 200). However, Jenkins-Smith (1989: 219), cautions that professionalised fora in which participants to the policy debate have been screened by virtue of their professional training or technical competence, can also contribute to restriction of the use of their inputs, as a political resource. Nagel (1990:153) suggests a collaborative approach to balance inputs, in that preferences and views can be reasoned out and not just simply a reflection of unreasoned or irrational political interest.

4.3.3. A Model for Informed Social Dialogue

Reimers et al (1997:177) proposes a model for informed dialogue during policy making, which advocates the following nine policy moments:

Step 1: Define the change process to be informed by research-based knowledge

Step 2: Define who are the key policy actors for that process of change

Step 3: Define the current and relevant flows in policy streams

Step 4: Define what dialogue goes on and should go on amongst key stakeholders

Step 5: Empower groups for dialogue

Step 6: Establish rules for knowledge-based dialogue

Step 7: Design operations to generate knowledge

Step 8: Balance technical, conceptual and process knowledge

Step 9: Prepare a reporting and dissemination plan

Howlett et al (1995: 201), concludes by indicating that the move away from a traditional linear interpretation of the policy cycle and towards a nuanced position on the investigation and conceptualization of the policy process, reflects that social phenomena are shaped by highly contingent and complex processes, which require appropriate research.

4.4. GAPS FOR FURTHER RESEARCH

International policy-making models require attention to human factors, to a unique regulatory environment, to grassroots and on the ground support within the cultural context of the public service. From the emergent gaps within the policy making process, further research should focus on the following areas of investigation:

- The role of Information Technology as a Force Driving Citizens towards Participation
- Do governments institutions perform better when citizens are involved in decision-making?

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- A multiple case study on the development of social dialogue in Education in South Africa, post 1994 to date.
 - A causal study on “Democracy in Educational Structures: The Political Effects of Participation”
 - A focus on Social Change and Economic Reform In Education Planning in South Africa.
 - A Multiple case study on “Participative Educational Management and Governance”
 - The Development of a social contract to inform an education context-specific strategy to inform policy processes
 - The Establishment of Policy domains for co-governance and co-management
 - The Development of a model for self-governing policies which decentralizes decision-making on policies that affect schooling communities directly, but develops the capacity of the working class

4.5. CONCLUDING OBSERVATIONS AND REFLECTIONS

The future of participatory democracy are located in the words of Herman as quoted by Schienstock (1989:142) ‘*the dynamics of democracy*’ which entail according to Loise (1989:277) ‘*institutional inertia*’, which increases the functional need for forms of social dialogue through participatory democracy.

To conclude, it is the contention of these research findings, that the continuity of participatory democracy is preserved primarily through the process of the institutionalization of social dialogue. It is also argued that other forms of non-formalised participatory practices can also evolve into an institutional pattern, notwithstanding that the bulk of institutionalized varieties of participation, are anchored in the law, collective agreements and other formal arrangements with civil society groupings. Bolle de Bal argues in Lammers et al (1989:24) that the contradictions, paradoxes, promises and difficulties of the participation process helps us understand, from a socio-political point of view, why a cyclical perspective tends to emerge and replace the former evolutionary vision of the process and theory of participatory democracy. Participation according to

MacLagan et al(1995:27), make sense both in theory and in moral terms as a total system of governance to both political and economic institutions. One of the key success factors in all best practices is the building of close interactive relationships between government and citizen-customers.

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INDEX OF APPENDICES

- A. LETTER OF PERMISSION TO CONDUCT THE RESEARCH
- B. LIST; CONTACT DETAILS AND INTERVIEW SCHEDULE OF KEY INFORMANTS
- C. INTERVIEW QUESTIONNAIRE
- D. DATA REPORT
- E. ITEM ANALYSIS
- F. FACTOR ANALYSIS
- G. SAMPLE OF e-COMMUNICATION TO RESPONDENTS

ANNEXURE A

Date:	1 March 2003
Name of Researcher:	Colette Clark
Address of Researcher:	111 Commissioner Street Johannesburg 2000
Telephone Number:	0833102071
Fax Number	011-3550466
E-Mail Address	colettec@gpg.gov.za
Research Topic:	The Development of Social Dialogue in the Rationalisation and Redeployment Policy-Making Process from 1996-2001: An Analysis and Synthesis of Perceptions and Experiences of Key Policy Actors within the Gauteng Department of Education
Number and type of schools:	N/A
District/HO	GDE Units

Re: Approval in Respect of Request to Conduct Research

This letter serves to indicate that approval is hereby granted to the above-mentioned researcher to proceed with research in respect of the study indicated above. The onus rests with the researcher to negotiate appropriate and relevant time schedules with the school/s and/or offices involved to conduct the research. A separate copy of this letter must be presented to both the School (both Principal and SGB) and the District Senior Manager confirming that permission has been granted for the research to be conducted.

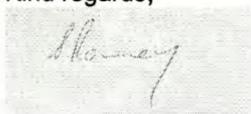
Permission has been granted to proceed with the above study subject to the conditions listed below being met and may be withdrawn should these conditions be flouted:

1. The District Senior Manager/s concerned must be presented with a copy of this letter that would indicate that you have been granted permission from the Gauteng Department of Education to conduct the research study.
2. The District Senior Manager/s must be approached separately, and in writing, for permission to involve District Officials in the project.

3. A copy of this letter must be forwarded to the school principal and the chairperson of the School Governing Body (SGB) that would indicate that you have been granted permission from the Gauteng Department of Education to conduct the research study.
4. A letter / document that outlines the purpose of the research and the anticipated outcomes of such research must be made available to the principal/s, SGB/s and District Senior Manager/s of the school/s and district/s concerned, respectively.
5. Kindly obtain the goodwill and co-operation of all the GDE official/s, principal/s, chairperson/s of the SGB/s, teacher/s and learner/s involved. Persons who offer their co-operation will not receive additional remuneration from the Department while those that prefer not to participate will not be penalised in any way.
6. You may only conduct your research after school hours so that the normal school programme is not interrupted. The Principal (if at a school) and/or Senior Manager (if at a office) must be consulted about an appropriate time when you may carry out your research at the sites that they manage.
7. You may commence your research from the second week of **February** and must conclude your programme before the beginning of the **last quarter** of the academic year.
8. It is the researcher's responsibility to obtain written parental consent of all learners that are expected to participate in the study.
9. The researcher is responsible for supplying and utilising their own research resources, such as stationery, photocopies, transport, faxes and telephones and should not depend on the goodwill of the institutions and/or the offices visited for supplying such resources.
10. The names of the GDE officials, schools, principals, parents, teachers and learners that participate in the study may not appear in the research report without the written consent of each of these individuals and/or organisations.
11. On completion of the study the researcher must supply the Senior Manager: Strategic Policy Development, Management & Research Coordination with a bound copy of the final, approved research report.
12. The researcher may be expected to provide a short presentation on the findings of his/her research to both GDE officials and the schools concerned.
13. Should the researcher have been involved with research at a school and/or district level, the District Senior Manager must also be supplied with a brief summary of the research findings.

The Department wishes you well in this important undertaking and looks forward to examining the findings of your research study.

Kind regards,



Sally Rowney: Senior Manager Strategic Planning and Research

The contents of this letter has been read and understood by the researcher.	
Signature of Researcher:	
Date:	

ANNEXURE B: KEY INFORMANTS INTERVIEW SCHEDULE					
NO	GDE OFFICIALS	PORT-FOLIO	CONTACT NO.	INTERVIEW DATE	Status √ or X
1.	IGNATIUS JACOBS	MEC since June 1999	082 554 8191	23/9/03	√
2.	MALLELE PETJE	HOD since April 2000	083 310 1927	18/9/03	√
3.	LEN DAVIDS	DDG since 2002	083 310 2026	8/7/03	√
4.	THEMBEKILE CELE	DDG since 2000	083 310 2052	9/7/03	√
5.	TOM WASPE	CIO	083 310 1916	12/9/03	√
6.	DR PADDY PADAYACHEE	Chief Director	083 310 1975	23 –27/6/03	√
7.	DR PINE PIENAAR	CD: Districts	083 310 1904	23 –27/6/03	√
8.	MATLAKALA MANOTA-MOOKANG	Communications	083 310 1918	23 –27/6/03	√
9.	MARGARET WEBBER	EKHURULENI WEST	083 310 1902	23 –27/6/03	√
10.	DAN THINANE	EKHURULENI WEST	083 310 1838	23 –27/6/03	√
11.	DR MARTIN HUMAN	GAUTENG NORTH	083 310 1908	23 –27/6/03	√
12.	LOUIS HENDERSON	SEDIBENG EAST	083 310 1900	23 –27/6/03	√
13.	JOHN VAN ROOYEN	MEC'S POLICY ADVISOR	083 310 2059	23 –27/6/03	√
14.	SIMONE GEYER	OFSTED	0824920523	23 –27/6/03	√
15.	NOMALIZO MALEFO	GAUTENG WEST	083 310 1842	23 –27/6/03	√
16.	BABSY MATABANE	JHB EAST	083 310 1836	23 –27/6/03	√
17.	MARGARET SANDLANE	JHB WEST	083 310 1898	23 –27/6/03	√
18.	PROF BRAAM FLIESCH	EX-DIRECTOR IN GDE	082 5671311	24 /7/03	X

NO	UNIT HEADS/GDE OFFICIALS	PORT-FOLIO	CONTACT NO.	INTERVIEW DATE	√
19.	Chris Bouwer	CES: Post Provisioning	3550395	4/9/03	√
20.	Kerry Devine	CES: Curriculum	3550753	26/9/03	√
21.	Roger Looyen	CES: Districts	0833101917	10/7/03	√
22.	Clive Msthisia	CES: Labour Relations	0822111047	10/7/03	√
NO	ELRC OFFICIALS	PORT-FOLIO	CONTACT NO.	INTERVIEW DATE	√
23.	Dhaya Govender	Chairperson of ELRC	0836331291	29/9/03	√
24.	Garrit Stoop	SAOU	0834094201	3/7/03	√
25.	Lolo M	SADTU	0824079625	30/9/03	√
26.	Sello Tshabalala	SADTU	0824594742	30/9/03	√
27.	Nkosana Khubeka	SADTU	3550421	4/9/03	√
28.	Mike Myburgh	NUE	0836557428	18/8/03	√
29.	Cecile Scorgie	NUE	08365500750	18/8/03	√
30.	Dave Bolt	NUE	0834505555	18/8/03	√
31.	Roger Falken	Ex-Chairperson of the ELRC	0836798401	19/9/03	X
32.	Lizzy Mazibuko	PUE	(011) 9804473		X
NO	DOE OFFICIALS	PORT-FOLIO	CONTACT NO.	INTERVIEW DATE	√
33.	Bobby Soobryan	Ex-DDG: Education Planning	0834528129	17/9/03	√
34.	Duncan Hindle	Current DDG: Curriculum Ex-CD:HR	0825754133	17/9/03	√
35.	Firoz Patel	Current acting DDG: Education Planning Ex- Dir: Education Planning for GDE	0828530735	23/6/03	√

36.	Adv. Eben Boschoff	Legal Advisor to present and past Ministers of Education	0828226420	14/9/03	√
37.	Peter Morkel	Director: Post Provisioning since 1996	0823318755	14/9/03	√
NO	SGB OFFICIAL	PORT-FOLIO	CONTACT NO.	INTERVIEW DATE	√
38.	Cathy Kallaghan	FEDSAS	(011) 4533784		X

PREVIOUS MEC AND HOD FOR EDUCATION

39.	Mary Metcalfe	EX-MEC for Education	0823778787 011-3551828	26/9/03	√
40.	James Themba Maseko	Ex-HOD Education	0836450810	15/8/03	√

ANNEXURE D:



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RESEARCH SURVEY QUESTIONNAIRE

General Instructions:

This questionnaire is designed to be completed by the following selected policy actors:

- **Managers/ officials within the Broad Management Team (BMT) of the Gauteng Department of Education (GDE)**
- **Unit heads who were responsible for and were familiar with the implementation of the Rationalisation and Redeployment Policy 1996-2001, both at Head Office as well as District Office level**
- **DOE officials responsible for policy planning and legislation.**
- **The MEC and HOD for the GDE both current and past**
- **Unions to the ELRC who were part of the negotiations around the R&R policy**
- **School Governing Body structures who were consulted in terms of NEPA, 1996**

NB: Respondents need to have been involved at either the policy formulation, development or implementation phase of the R&R policy during the periods 1995 to 2001.

The questionnaire is also intended to form the basis of a discussion between different strata within the GDE management levels with regards to problem identification and possible solutions with regard to the design, design process, as well as the implementation of a future education policy through this policy review process.

The structured questions should, to a large degree, be treated as prompts for the discussions in the interview. Moreover, responses should be focussed on discovering new angles on well-known problems, and identifying practical solutions in the areas of policy development, social dialogue improvement, further research and development. Respondents should moreover feel free to express their professional opinions, apart from the official stand of the Department, as this would enrich the further debates around policy pathways, systems and processes within the Public Service.

Thanking you in anticipation for your assistance and co-operation.

PART A: BIOGRAPHICAL DATA

1. Demographic Profile

1. Information about the Respondents			
1.1. Your current location			
<input type="checkbox"/> DOE	<input type="checkbox"/> District Office	<input type="checkbox"/> Head Office	
<input type="checkbox"/> Union	<input type="checkbox"/> SGB Structure	<input type="checkbox"/> Outside Education	
<input type="checkbox"/> Other			
1.2. Your Job Title			
MEC		Senior Manager/Director	
CEO		Chief Education Specialist	
Group General Manager		Deputy Director	
Divisional Manager		Other, Specify:	
Union Official		SGB Official	
1.3. Your Functional Area			
Policy and Strategy		Human Resources Management	
Curriculum Delivery		District Management	
Office Of Standards in Education		Resources Management	
Institutional Development		Finance	
Other ,Specify:		Legal Services	

PART B:

Policies provide a framework for performing management functions. Public managers play a major role in making, implementing, changing and adapting departmental policy. With reference to this background, this measuring instrument will focus on the Analysis of the Context, Content and Process of the Design and Implementation of the Rationalisation and Redeployment Policy Within Education.

SECTION A: Analysis of Background and Underlying Principles of Policy Making in Education

2. PROBLEM IDENTIFICATION

2. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree
- 4-Agree
- 3-Neutral/Do not know
- 2- Disagree
- 1-Strongly Disagree

Strongly Agree
 Agree
 Neutral/Do not Know
 Disagree
 Strongly Disagree

2.1 *Political level*

2.1

Existing and related Problems emerged during the transition into the new post 1994 political structure, which dictated a need for social transformation.

5	4	3	2	1

2.2 *Societal level*

2.2

Social problems/ challenges could have been were managed through the Rationalisation and Redeployment Policy.

5	4	3	2	1

2.3 *Macro –Supra National Level*

2.3

Structural adjustment trends of the International Monetary Fund (IMF) dictated the principles of the policy because of competition for resources, which justified a need for equitable provisioning.

5	4	3	2	1

2.4 *Delimitation of identified existing Problems*

Different sources of problems were examined to identify and justify the need for the formulation of the Rationalisation + Redeployment policy by considering the limitations on practical constraints.

2.4	5	4	3	2	1

3. PRINCIPLES UNDERLYING POLICY AGENDA SETTING

3. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree
- 4- Agree
- 3- Neutral/ Do not know
- 2 Disagree
- 1-- Strongly Disagree

	Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
3.1	5	4	3	2	1

3.1 *Policy Makers Ideologies*

Policy makers assume that their values and traditional beliefs reflected the orientation and needs of the majority of society which guided the development of educational policy objectives.

3.2 *Alignment of Policy Objectives*

Consistency between educational philosophies and educational outcomes determined the policy objectives.

3.2	5	4	3	2	1

3.3 *Policy Indicators*

Appropriate indicators/variables were selected to address the policy objectives

3.3	5	4	3	2	1

SECTION B: ANALYSIS OF POLICY FORMULATION PROCESS

4. CHARACTERISTICS OF EDUCATIONAL POLICY-MAKERS/POLICY MAKING BODIES

4. For each of the following statements below, indicate the extent to which your expectations were met:

- 5- Strongly agree
- 4- Agree
- 3- Neutral/Do not Know
- 2- Disagree
- 1-Strongly Disagree

	Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
4.1	5	4	3	2	1

4.1 *Legitimacy of Interest Groups Represented*

Policy actors (e.g. legislators and administrators), were informed by empirical research on this policy before implementation of the envisaged policy.

4.2 *Formation and Composition of Policy-Making Body*

The Composition of policy-making body, the Education Labour Relations Chamber (ELRC) had balanced representation of the interests and opinions of various elected and appointed parties within the education sector.

	5	4	3	2	1

4.3 *Expertise and Personal Qualities*

Policy actors in the policy making body were experienced enough to negotiate a policy on the Rationalisation and Redeployment policy. [i.e. the policy making body was made up of appropriately skilled officials]

	5	4	3	2	1

5. POLICY DIALOGUE

5. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree
- 4- Agree
- 3- Neutral/ Not Sure
- 2- Disagree
- 1-Strongly Disagree

	Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
5.1	5	4	3	2	1

5.1 *Consultation Strategy*

Decisions were made solely by policy makers governed by little consultation from the public during development strategy.

--	--	--	--	--

5.2 *Participation*

The Public participated democratically and openly in the decision-making process to shape the policy.

5.2	5	4	3	2	1

5.3 *Open and free discourse*

Rational discourse existed around access to all related and unbiased information regarding policy.

5.3	5	4	3	2	1

5.4 *Negotiations*

Consensus was reached through the political bargaining and social consensus amongst members to the ELRC.

5.4	5	4	3	2	1

6. POLICY PERSPECTIVES EMPLOYED

6. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree
- 4- Agree
- 3- Do not know
- 2-Neutral/Disagree
- 1- Strongly Disagree

	Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
6.1	5	4	3	2	1

6.1 *Ecological Analysis*

The interactive effects between the proposed policy and existing practices were assessed.

6.2 *Systems Analysis*

The intended effects of the R + R policy on the education systems were assessed by identifying any inequilibrium in the whole system created by reducing the class sizes and redistributing educators.

6.2	5	4	3	2	1

6.3 *Economic Analysis*

The R+R policy was cost effective in relation to the expected supply and demand of human and other related resources required.

6.3	5	4	3	2	1

6.4 *Management Analysis*

Policy makers underestimated the impact of the reality of R+R on classroom teaching.

6.4	5	4	3	2	1

6.5 *Rationality Building*

Policy makers built up a causal relationship between their proposed policy and their set objectives.

6.5	5	4	3	2	1

6.6 *Decision Technology*

Research knowledge, including experiments and pilot studies had been carried out to support the validity and relevance of the R+R policy.

6.6	5	4	3	2	1

SECTION C: ANALYSIS OF POLICY IMPLEMENTATION (IMPLEMENTATION V/S PLANNING)

7. PREPARATION FOR POLICY IMPLEMENTATION

7. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree
- 4- Agree
- 3- Do not know
- 2-Neutral/Disagree
- 1- Strongly Disagree

7.1 *Cognitive Preparation*

All role players understood/comprehended the meaning and possible consequences of the policy.

7.1

	Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
	5	4	3	2	1

7.2 *Readiness of Concerned Parties*

All role players were sufficiently prepared for the role out of the R+R policy. [i.e. Education officials; school administer; teachers; learners; parents and professionals]

7.2

	5	4	3	2	1

7.3 *Psychological Preparation*

There was a willingness of role players to support & actively be involved in implementation of policy.

7.3

	5	4	3	2	1

7.4 *Technological Preparation*

Adequate training and skills to implement R+R were induced by the R+R policy dependent on availability.

7.4

	5	4	3	2	1

8. READINESS OF RESOURCES

8. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree
- 4- Agree
- 3- Do not know
- 2-Neutral/Disagree
- 1- Strongly Disagree

	Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
8.1	5	4	3	2	1

8.1 *Human Resources*

All prime factors that contributed to post provisioning were fully calculated, i.e. appropriate skills of educators

8.2 *Facilities & Accommodation*

The physical resources, relevant space and accommodation for successful implementation of the R+R policy were fully calculated.

	5	4	3	2	1
8.2					

8.3. *Fiscal and Monetary Resources*

The resource requirements were fully calculated.

	5	4	3	2	1
8.3					

8.4 *Time availability*

Enough time was given to all parties concerned to be ready for the planned changes.

	5	4	3	2	1
8.4.					

8.5 *Stages/phases of Implementation*

Implementation stages allowed each part of the system to prepare for the implementation.

8.5.					

8.6 *Realistic Schedules*

Alternatives, through modified schedules were introduced due to the broad coverage and impact on schools.

8.6.					

9. LEGAL PREPARATION

9. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree**
- 4- Agree**
- 3- Do not know/Neutral**
- 2- Disagree**
- 1- Strongly Disagree**

9.1 *Legal Rights of all concerned parties*

The legal rights of all parties concerned were protected and respected in the implementation of the R+R policy and reforms. (Legal values, human rights; freedom; equity; balance of interests existing legal constraints .)

9.1

Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
5	4	3	2	1

9.2 *Legislation for the R+R Policy*

The R+R policy was within the existing legal framework, within existing education ordinances or regulations.

9.2

5	4	3	2	1

9.3 *Parliamentary/Cabinet consultation/mandate*

Cabinet provided sufficient support to policymakers to prepare the policy for the implementation.

9.3

5	4	3	2	1

9.4 *Subordinate legislative processes (NEPA)*

The requisite legal preparations were done during the planning process of the said administrative policy

9.4

5	4	3	2	1

Comparison on 10: LEVELS OF PLANNED CHANGE BY POLICY INTEVENTION

10. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree
- 4- Agree
- 3- Do not know/Neutral
- 2- Disagree
- 1- Strongly Disagree

10.1 *Systems Level*

Changes to different parts of the system met the concerns of the society as per the planned policy intentions.

10.1

	Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
	5	4	3	2	1

10.2 *National level*

Any hidden effects induced by the policy were examined in order to balance the allocation of various resources through an equitable framework.

10.2

	5	4	3	2	1

10.3 *Provincial/Organisational level*

Management practices focused attention on cost effectiveness and a balanced allocation of resources amongst various schools with the province.

10.3

	5	4	3	2	1

10.4 *Institutional/Classroom level*

Micro issues of classroom arrangements (e.g. Teaching and Learning), were affected by the R+R policy without sufficient reasons.

10.4

	5	4	3	2	1

10.5 *Educator level*

The R+R process promoted effective democratic school management reform by introducing de-racialised staff-rooms.

10.5

	5	4	3	2	1

10.6 *Classroom level*

Congruence of planned changes across all levels promoted effective equitable education provisioning at the classroom level.

10.6

	5	4	3	2	1

SECTION D: ANALYSIS OF POLICY EFFECTS

11: POLICY OUTCOMES AND QUALITY OF RESULTING R+R POLICY

11. For each of the following statements below, indicate the extent of your agreement or disagreement:

- 5- Strongly Agree
- 4- Agree
- 3- Do not know/Neutral
- 2- Disagree
- 1- Strongly Disagree

11.1 *Suitability*

Policy was suitable in terms of use of resources and benefits

11.1

Strongly Agree	Agree	Neutral/Do not Know	Disagree	Strongly Disagree
5	4	3	2	1

11.2 *Scope*

The policy met the essential requirements within known constraints (resources; time; knowledge; information; political limitations)

11.2

5	4	3	2	1

11.3 *Timeframes*

The timeframe of 1996 to 2001, for implementation was suitable before the Rationalisation and Redeployment policy was withdrawn.

11.3

5	4	3	2	1

11.4 *Educational Outcomes & Benefits*

The desired benefits from policy brought about the desired ends.
[i.e. the policy induced desirable outcomes without any serious pay-off or adverse effects.]

11.4

5	4	3	2	1

11.5 *Feasibility*

The policy had an ability to consider known constraints (e.g. resources; time; knowledge; information & political limitations), in order to prioritise the implementation of set objectives.

11.5

5	4	3	2	1

11.6	<i>Acceptability</i>	11.6	5	4	3	2	1
	The policy was not accepted by the majority of interest groups (public and concerned others). [i.e. the degree of acceptance by which public and other concerned parties was questionable as it did not invite a rational and democratic participation of the public.]						
11.7	<i>Resolution of Political Problem</i>	11.7	5	4	3	2	1
	The policy addressed/resolved a political mandate to redistribute/address past imbalances.						
11.8	<i>Efficiency</i>	11.8	5	4	3	2	1
	When weighed against gains and losses, pay-offs were beneficial and offset positive outcomes.						
11.9	<i>Effectiveness</i>	11.9	5	4	3	2	1
	There was a degree of achievement in bringing out the positive intended effects from policy formulation stage. [e.g. It did not generate serious adverse effects within the education system.]						
11.10	<i>Resolution of Administrative Problem</i>	11.10	5	4	3	2	1
	There was an equitable redistribution of posts within the personnel budgets.						

12. General

12.1. Do you support the implementation of re-distributive policies irrespective of the systems implications?

Yes	No

12.2. Select **ONE** of the options to indicate the extent to which the implementation of the Rationalisation and Redeployment policy within the GDE has helped the organization to improve the delivery of a quality service

12.2.1	5	Helped considerably
12.2.2	4	Helped to an appreciable degree
12.2.3	3	Uncertain
12.2.4	2	Hardly made a difference
12.2.5	1	Has been of no use

ANNEXURE E : RAW DATA SHEET

Data Report

Page/Date/Time 1 10-13-2003 16:32:50

Database

Data List Section

Row	5	4	3	2	1
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2	11	13	0	10	2
3	8	15	8	3	2
4	7	20	3	6	0
5	7	20	3	6	0
6	2	14	4	9	7
7	1	15	3	13	4
8	2	9	3	15	7
9	6	24	1	5	0
10	1	12	6	12	5
11	5	18	4	6	3
12	6	10	2	9	9
13	5	7	5	15	4
14	5	24	3	3	1
15	3	7	4	14	8
16	5	7	4	11	9
17	1	15	3	12	5
18	18	12	0	6	0
19	4	11	3	16	2
20	1	6	4	11	14
21	3	6	0	19	8
22	1	4	0	17	14
23	1	10	2	18	5
24	0	6	0	21	9
25	1	5	0	16	14
26	0	4	0	22	10
27	1	13	3	11	8
28	0	13	2	17	4
29	0	11	2	19	4
30	1	16	4	10	5
31	4	19	2	9	2
32	5	21	2	8	0
33	2	18	9	5	2
34	2	16	6	12	0
35	1	12	4	16	3
36	1	14	4	16	1
37	4	18	1	11	2
38	1	2	2	11	20
39	2	0	1	14	19
40	2	11	1	14	8
41	2	19	3	9	3
42	2	20	4	9	1
43	5	14	3	12	2
44	0	14	8	9	5
45	0	16	4	14	2

Data Report

Page/Date/Time 2 10-13-2003 16:32:50

Database

Data List Section

Row	5	4	3	2	1
46	4	20	1	9	2
47	4	19	4	6	3
48	2	18	4	10	2
49	0	17	2	12	5
50	6	23	2	4	1

ANNEXURE F: Item Analysis Report for Variables chosen on Face Validity

Page/Date/Time 1 10-16-2003 09:00:52
 Database

Reliability Section

Variable	----- Item Values -----		----- If This Item is Omitted -----				
	R2	Standard Deviation	Total Mean	Total Std.Dev.	Coef Alpha	Corr Total	Other Items
Q3_1_	3.777778	0.9594972	34	5.682052	0.6203	-0.1625	0.3929
Q4_1_	2.555556	1.229273	35.22222	4.864513	0.4729	0.5235	0.6627
Q4_2_	3.861111	0.8669413	33.91667	5.244725	0.5301	0.3493	0.6191
Q4_3_	2.777778	1.149189	35	5.048338	0.5095	0.3989	0.6236
Q5_1_	3.444444	1.181874	34.33333	5.961783	0.6790	-0.3906	0.3603
Q5_2_	2.861111	1.495761	34.91667	5.022094	0.5433	0.2647	0.7173
Q5_3_	2.833333	1.276155	34.94444	4.927732	0.4942	0.4392	0.7293
Q5_4_	3.805556	0.8886408	33.97222	5.045429	0.4859	0.5787	0.4466
Q7_2_	1.916667	1.052209	35.86111	5.144499	0.5225	0.3567	0.4458
Q9_3_	3.361111	0.9900296	34.41667	5.173421	0.5237	0.3603	0.5017
Q9_4_	3.222222	0.9888265	34.55556	5.08468	0.5033	0.4578	0.5252
Q11_6_	3.361111	1.174802	34.41667	5.551705	0.6139	-0.0588	0.4210
Total			37.77778	5.606685	0.5703		

Cronbachs Alpha 0.570298 Std. Cronbachs Alpha 0.592318

Count Distribution Section

Variable	1	2	3	4	5
Q3_1_	0	6	3	20	7
Q4_1_	7	15	3	9	2
Q4_2_	0	5	1	24	6
Q4_3_	5	12	6	12	1
Q5_1_	3	6	4	18	5
Q5_2_	9	9	2	10	6
Q5_3_	4	15	5	7	5
Q5_4_	1	3	3	24	5
Q7_2_	14	17	0	4	1
Q9_3_	2	5	9	18	2
Q9_4_	0	12	6	16	2
Q11_6_	2	10	1	19	4
Total	47	115	43	181	46

Item Analysis Report

Page/Date/Time 2 10-16-2003 09:00:52

Database

Percentage Distribution Section

Variable	1	2	3	4	5
Q3_1_	0.00	16.67	8.33	55.56	19.44
Q4_1_	19.44	41.67	8.33	25.00	5.56
Q4_2_	0.00	13.89	2.78	66.67	16.67
Q4_3_	13.89	33.33	16.67	33.33	2.78
Q5_1_	8.33	16.67	11.11	50.00	13.89
Q5_2_	25.00	25.00	5.56	27.78	16.67
Q5_3_	11.11	41.67	13.89	19.44	13.89
Q5_4_	2.78	8.33	8.33	66.67	13.89
Q7_2_	38.89	47.22	0.00	11.11	2.78
Q9_3_	5.56	13.89	25.00	50.00	5.56
Q9_4_	0.00	33.33	16.67	44.44	5.56
Q11_6_	5.56	27.78	2.78	52.78	11.11
Total	10.88	26.62	9.95	41.90	10.65

Item Detail Section for Q3_1_

Value	Count	Individual Percent	Cumulative Percent	Percent Bar Chart
1	0	0.00	0.00	
2	6	16.67	16.67	
3	3	8.33	25.00	
4	20	55.56	80.56	
5	7	19.44	100.00	
Total	36			

Item Detail Section for Q4_1_

Value	Count	Individual Percent	Cumulative Percent	Percent Bar Chart
1	7	19.44	19.44	
2	15	41.67	61.11	
3	3	8.33	69.44	
4	9	25.00	94.44	
5	2	5.56	100.00	
Total	36			

Item Detail Section for Q4_2_

Value	Count	Individual Percent	Cumulative Percent	Percent Bar Chart
1	0	0.00	0.00	
2	5	13.89	13.89	
3	1	2.78	16.67	
4	24	66.67	83.33	
5	6	16.67	100.00	
Total	36			

Item Analysis Report

Page/Date/Time 3 10-16-2003 09:00:52
Database

Item Detail Section for Q4_3_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	5	13.89	13.89	
2	12	33.33	47.22	
3	6	16.67	63.89	
4	12	33.33	97.22	
5	1	2.78	100.00	
Total	36			

Item Detail Section for Q5_1_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	3	8.33	8.33	
2	6	16.67	25.00	
3	4	11.11	36.11	
4	18	50.00	86.11	
5	5	13.89	100.00	
Total	36			

Item Detail Section for Q5_2_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	9	25.00	25.00	
2	9	25.00	50.00	
3	2	5.56	55.56	
4	10	27.78	83.33	
5	6	16.67	100.00	
Total	36			

Item Detail Section for Q5_3_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	4	11.11	11.11	
2	15	41.67	52.78	
3	5	13.89	66.67	
4	7	19.44	86.11	
5	5	13.89	100.00	
Total	36			

Item Detail Section for Q5_4_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	1	2.78	2.78	
2	3	8.33	11.11	
3	3	8.33	19.44	
4	24	66.67	86.11	
5	5	13.89	100.00	
Total	36			

Item Analysis Report

Page/Date/Time 4 10-16-2003 09:00:52
Database

Item Detail Section for Q7_2_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	14	38.89	38.89	
2	17	47.22	86.11	
3	0	0.00	86.11	
4	4	11.11	97.22	
5	1	2.78	100.00	
Total	36			

Item Detail Section for Q9_3_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	2	5.56	5.56	
2	5	13.89	19.44	
3	9	25.00	44.44	
4	18	50.00	94.44	
5	2	5.56	100.00	
Total	36			

Item Detail Section for Q9_4_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	0	0.00	0.00	
2	12	33.33	33.33	
3	6	16.67	50.00	
4	16	44.44	94.44	
5	2	5.56	100.00	
Total	36			

Item Detail Section for Q11_6_

Value	Count	IndividualCumulative		Percent Bar Chart
		Percent	Percent	
1	2	5.56	5.56	
2	10	27.78	33.33	
3	1	2.78	36.11	
4	19	52.78	88.89	
5	4	11.11	100.00	
Total	36			

Factor Analysis Report

Page/Date/Time 1 10-16-2003 08:51:51
Database

Descriptive Statistics Section

Variables	Count	Mean	Standard Deviation	Communality
Q3_1_	36	3.777778	0.9594972	0.058728
Q4_1_	36	2.555556	1.229273	0.694472
Q4_2_	36	3.861111	0.8669413	0.599676
Q4_3_	36	2.777778	1.149189	0.567039
Q5_1_	36	3.444444	1.181874	0.273499
Q5_2_	36	2.861111	1.495761	0.770867
Q5_3_	36	2.833333	1.276155	0.720444
Q5_4_	36	3.805556	0.8886408	0.302905
Q7_2_	36	1.916667	1.052209	0.311572

Q9_3_	36	3.361111	0.9900296	0.221465
Q9_4_	36	3.222222	0.9888265	0.501780
Q11_6_	36	3.361111	1.174802	0.036540

Correlation Section

Variables	Variables	Q3_1_	Q4_1_	Q4_2_	Q4_3_	Q5_1_
Q3_1_	1.000000	-0.376813	-0.278599	-0.357006	0.139973	
Q4_1_	-0.376813	1.000000	0.423000	0.615744	-0.410798	
Q4_2_	-0.278599	0.423000	1.000000	0.570376	-0.356309	
Q4_3_	-0.357006	0.615744	0.570376	1.000000	-0.409039	
Q5_1_	0.139973	-0.410798	-0.356309	-0.409039	1.000000	
Q5_2_	-0.061936	0.385020	-0.081401	0.097884	-0.255003	
Q5_3_	-0.101113	0.388543	-0.047346	0.227292	-0.252578	
Q5_4_	0.014893	0.467887	0.149376	0.320191	-0.132998	
Q7_2_	0.094333	0.456512	0.300163	0.409563	-0.268044	
Q9_3_	0.056813	0.253026	0.426278	0.172998	-0.116664	
Q9_4_	0.023422	0.436152	0.603625	0.472133	-0.331404	
Q11_6_	0.047877	-0.281376	0.050651	-0.171655	0.313238	

Phi=0.310630 Log(Det|R)=-5.421691 Bartlett Test=163.55 DF=66 Prob=0.000000

ANNEXURE F : FACTOR ANALYSIS

Factor Analysis Report

Page/Date/Time 6 10-16-2003 08:51:51
Database

Factor Loadings after Varimax Rotation

Variables	Factors	
	Factor1	Factor2
Q3_1_	-0.210056	-0.120849
Q4_1_	0.675848	0.487546
Q4_2_	0.768150	-0.098095
Q4_3_	0.720078	0.220289
Q5_1_	-0.449318	-0.267605
Q5_2_	-0.046082	0.876780
Q5_3_	0.034473	0.848090
Q5_4_	0.320831	0.447183
Q7_2_	0.544495	0.122871
Q9_3_	0.468030	-0.049125
Q9_4_	0.708338	-0.006016
Q11_6_	-0.174683	-0.077625

Factor Structure Summary after Varimax Rotation

Factor1	Factors	
	Factor2	
Q4_2_	Q5_2_	
Q4_3_	Q5_3_	
Q9_4_	Q4_1_	
Q4_1_	Q5_4_	
Q7_2_		
Q9_3_		
Q5_1_		

Factor Analysis Report

Page/Date/Time 2 10-16-2003 08:51:51
Database

Correlation Section

Variables	Variables				
	Q5_2_	Q5_3_	Q5_4_	Q7_2_	Q9_3_
Q3_1_	-0.061936	-0.101113	0.014893	0.094333	0.056813
Q4_1_	0.385020	0.388543	0.467887	0.456512	0.253026
Q4_2_	-0.081401	-0.047346	0.149376	0.300163	0.426278
Q4_3_	0.097884	0.227292	0.320191	0.409563	0.172998
Q5_1_	-0.255003	-0.252578	-0.132998	-0.268044	-0.116664
Q5_2_	1.000000	0.765867	0.366017	0.101359	-0.158103
Q5_3_	0.765867	1.000000	0.449298	0.074472	0.071611
Q5_4_	0.366017	0.449298	1.000000	0.257184	0.374372
Q7_2_	0.101359	0.074472	0.257184	1.000000	0.303985
Q9_3_	-0.158103	0.071611	0.374372	0.303985	1.000000
Q9_4_	0.021464	0.030189	0.213155	0.430216	0.411837
Q11_6_	-0.084459	0.117521	0.014444	-0.367890	0.130332

Phi=0.310630 Log(Det|R)=-5.421691 Bartlett Test=163.55 DF=66 Prob=0.000000

Variables	Variables Q9_4_	Q11_6_
Q3_1_	0.023422	0.047877
Q4_1_	0.436152	-0.281376
Q4_2_	0.603625	0.050651
Q4_3_	0.472133	-0.171655
Q5_1_	-0.331404	0.313238
Q5_2_	0.021464	-0.084459
Q5_3_	0.030189	0.117521
Q5_4_	0.213155	0.014444
Q7_2_	0.430216	-0.367890
Q9_3_	0.411837	0.130332
Q9_4_	1.000000	-0.021862
Q11_6_	-0.021862	1.000000

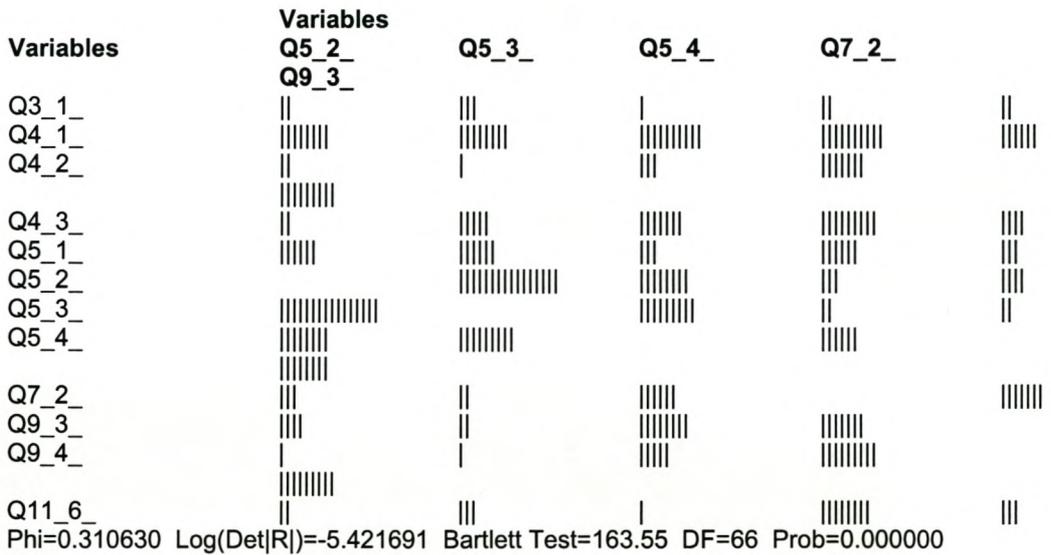
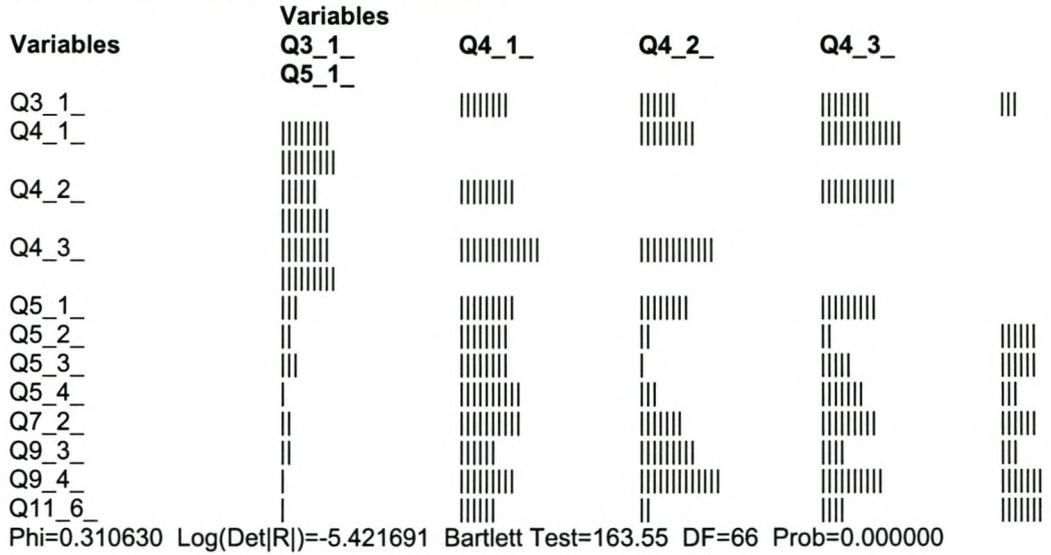
Phi=0.310630 Log(Det|R)=-5.421691 Bartlett Test=163.55 DF=66 Prob=0.000000

Factor Analysis Report

Page/Date/Time 3 10-16-2003 08:51:51

Database

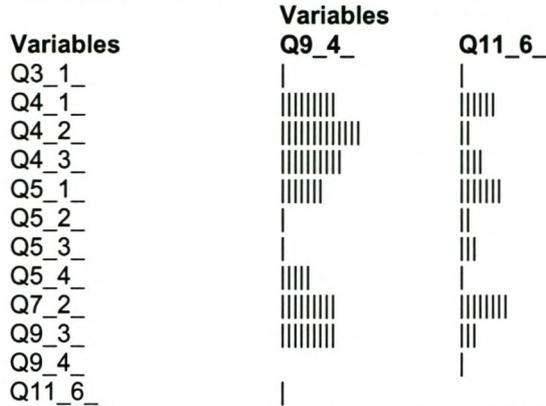
Bar Chart of Absolute Correlation Section



Factor Analysis Report

Page/Date/Time 4 10-16-2003 08:51:51
 Database

Bar Chart of Absolute Correlation Section



Phi=0.310630 Log(Det|R)=-5.421691 Bartlett Test=163.55 DF=66 Prob=0.000000

Eigenvalues after Varimax Rotation

No.	Eigenvalue	Individual Percent	Cumulative Percent	Scree Plot
1	2.965376	57.61	57.61	
2	2.093612	40.68	98.29	
3	0.715072	13.89	112.19	
4	0.528201	10.26	122.45	
5	0.238532	4.63	127.08	
6	0.019431	0.38	127.46	
7	-0.022923	-0.45	127.01	
8	-0.101607	-1.97	125.04	
9	-0.148868	-2.89	122.15	
10	-0.317611	-6.17	115.98	
11	-0.375452	-7.29	108.68	
12	-0.446872	-8.68	100.00	