OUTCOMES-BASED EDUCATION
IN SOUTH AFRICA SINCE 1994:
POLICY OBJECTIVES AND
IMPLEMENTATION COMPLEXITIES

by

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Submitted in partial fulfilment of
the requirements of the degree

PHILOSOPHIAE DOCTOR (PUBLIC AFFAIRS)

In the Faculty of
Economics and Management Sciences

University of Pretoria

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SUMMARY

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SUMMARY

The primary objective of the research for this thesis is to propose an implementation model for outcomes-based education which could be implemented in South Africa. However, the proposed public policy model and its implementation activities could be appropriate for all government departments as well as public institutions. Subservient to the primary objective is the secondary objective, which can be divided into two. The first aim of the research project is to highlight and emphasise the pivotal roles of the theory and practices of public policy making, analysis and implementation.   The secondary objective was to pinpoint the necessity of describing a public policy being studied in simple, clear and unambiguous language, to promote understanding. This is crucial because before a public policy could be implemented it should be comprehended.

To attain the objectives of the study it is necessary to indicate the rationale for the introduction of outcomes-based education to satisfy the public policy imperatives and directives enshrined in the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996). Amongst others, the Constitution emphasises equality of all citizens before the law, respect for human dignity and, foremost in this thesis, the right to basic education, including adult basic education and further education. Outcomes-based education was also introduced to teach the youth and the population at large the essential democratic principles and values.

To capture the essence of the thesis, a problem statement is formulated to express the objectives of the study. The problem statement hypothesises that the proposed implementation model for outcomes-based education policy in South Africa is a necessary and sufficient condition for successful public policy implementation. The proposed implementation model should be widely implementable in the public sector as well as by the Department of Education.

In keeping with one of the objectives of the study, public policy and policy analysis are described in detail. Matters that receive attention are: policy in general and public policy in particular, policy formulation, role players and factors in policy formulation, policy analysis, crucial variables for studying policy implementation, policy evaluation, and policy analysis institutions. The purpose of the study is twofold, namely, to explain the central role played by the theory and practice of public policy, and a scientific approach for dealing with public policy. Moreover, it is crucial to know and understand what every public policy is about – its definition, origins, characteristics, and advantages. In relation to outcomes-based education policy for South Africa all these matters have to be taken into account.

The effect of policy implementation must be viewed in relation to its impact on its implementers as well as its beneficiaries. Hence, the roles of both educators and learners have to be described in detail. Activities that enable educators and learners to express themselves in relation to outcomes-based education policy are: reflective teaching practice; multicultural classrooms; possible outcomes of learning; teaching strategies and teaching methods; and lesson planning and preparation. Moreover, the roles of educators and learners as dictated to or in keeping with outcomes-based education policy has to be explained. The rationale for this explanation is to indicate the extent to which the implementation of outcomes-based education policy brought about change in teaching and learning. Furthermore, from the description of roles of educators and learners one can deduce the impact of the public policy implemented. In addition, it is possible to see whether the initial intended objectives of the policy have been realised or not. Therefore, the roles of educators and learners serve as barometers to indicate the extent to which the objectives of the outcomes-based education policy have been achieved or not.

To ensure that a public policy is successfully implemented, there is a need for a guide to implementation in the form of a public policy implementation model. Hence, a public policy implementation model for South African outcomes-based education is proposed. Initially policy analysis techniques are explained. Four policy analysis bases are ex-

plained, namely, cost-benefit analysis, decision analysis, simulations and models, and experimental analysis. Implications of policy analysis techniques are indicated with regard to the model, followed by an explanation of the national curriculum statement. Aspects that are addressed include outcomes-based education, learning areas statement, learning programmes, time allocations, assessment, educator and learner. The impact of the national curriculum statement on the model is explained. A further component of the model is the management of the implementation process. Regarding the latter, personnel, financing, procedural arrangements, control and accountability, and organising are described as building blocks of the model. Monitoring and evaluation are explained in relation to policy implementation. The study contributes in particular to the successful implementation of outcomes-based education through the application of an implementation model. This could also apply to public policy management in general.

ACKNOWLEDGEMENTS

It is humane to acknowledge contributions that people made in various and varied ways towards completion of an important assignment. It is also in keeping with human nature to express one's profound gratitude to the individuals who wholeheartedly assisted one to accomplish a marvellous achievement. Helping a candidate to complete a thesis is by all standards no small contribution. Therefore, it is prudent to mention those special individuals and to indicate their specific contributions towards the completion of a thesis. Furthermore, it is spiritually gratifying to acknowledge assistance received.

First and foremost, I would like to acknowledge the encouragement and sympathetic support I received from my promoter, Prof. Nico Roux, and my co-promoters, Prof. Chris Thornhill and Prof. Petrus Brynard, for a period of four years as I worked very hard undertaking this research project. I feel morally and duty-bound to openly acknowledge their scholarly advice, unfailing patience and readiness to help to me unlimitedly. Without their support, it would have been impossible for me to complete the research, especially taking into account my academic background which is inclined to Education. Through their assistance I was able to focus on public policy and policy analysis as the research demanded.

I would like to acknowledge encouragement I received from Prof. J.J.N. Cloete. From time to time he enquired about the progress I made towards the completion of the research. He did not hesitate to speak strongly with me if there was slow progress. He, undoubtedly, acted as my mentor, and for that, my thanks are more than words can tell.

This thesis was typed by Ms Lynette Albrecht. She, too, contributed in no small way towards the completion of the research. For her contribution, I would like to place on record my sincere thanks.

Family plays a crucial role in one's studies. My family contributed vastly to the completion of my studies by encouragement and creating an abling environment for me to study. I would like to place on record my profound gratitude to my parents, Sentsho Caizer and Mmapula Freda, for the sacrifices they made for my education and for encouraging me to study hard. Unfortunately, both of them have passed away. Last, but not least, I would like to thank my dear wife, Dorothy, and my children, Abel, Rebecca, Reorapetse, Tshepang and Frederica for their support.

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CHAPTER 1

RESEARCH PROBLEM AND RESEARCH DESIGN

1.1   INTRODUCTION

This research is an attempt to devise a model for public policy implementation within the Republic of South Africa. In particular, this thesis considers ways and means that can be followed in implementing outcomes-based education. Its focus is futuristic in the sense that it would serve as a guide in as far as public policy implementation is concerned. Seen from another perspective, this thesis is an attempt to identify and put in place tools that could enhance the chances of successful public policy implementation with limited resources and within a predetermined period.

In order to identify which factors play a dominant role in public policy implementation, especially outcomes-based education, it is necessary to examine and investigate public policy and policy analysis, outcomes-based education policy as well as an implementation model for outcomes-based education. The nature of this study dictates that the research procedure relies heavily on relevant literature study.

Information gained from literature study is essential as it helps to identify the steps to be followed in public policy implementation. Furthermore, it gives insight into what public policy actually is, and the nature and character of outcomes-based education policy. Moreover, it assists in identifying the determinants or essential ingredients of a model for public policy implementation.

1.2   INTRODUCTORY OVERVIEW

Implementation of outcomes-based education policy necessitated curriculum implementation. It is a known fact that the implementation of any curriculum involves a number of risks. However, regardless of the risks involved, there is general agreement that

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curriculum transformation is an imperative for quality education (Department of Education, 2002:1). This view was further expressed by the Minister of Education, Prof. Kader Asmal (1999 to 2004), when he stated that ensuring the success of active learning through outcomes-based education by developing and implementing a curriculum which reflects the values of the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), which promotes the highest possible academic standards. Furthermore, the vision of Curriculum 2005, which embodies the vision for general education to move away from rote model of learning and teaching to a liberating, nation-building and learner-centred outcomes-based initiative (Department of Education, 2003:iii, 2). Hence, policy implementation and policy analysis are central to any change of a country's system of education.

Public policy-making does not end with the passing of a legislation. It culminates in policy implementation, which involves all of the activities designed to carry out the policies enacted by the legislature (Dye, 1995:312). Henry (2001:295) concurs with Dye (1995:312) when he states that implementation is the execution and delivery of public policies by organisations or arrangements among organisations. That is, the translation of public policy into activities that would address identified public problems. In this regard, the South African challenge concerned the poor quality of education and an undemocratic system of education. To address these ills, a need was felt for an outcomes-based education policy and its implementation as described in paragraphs 1.6 *infra* and 3.6 *infra*.

According to Hanekom (1992:71), the policy analyst should –

❖ be provided with policy-relevant information, as far as possible without constraints;
❖ be conversant with the history and peculiarities of the policy he/she is analysing;
❖ bear in mind that good policy analysis is a rigorous dissection of information and entails the application of the scientific model of enquiry (what, where, when, by whom, how and why);

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❖ remember that a multidisciplinary approach, incorporating different skills and different disciplines working together, is always more fruitful than attacking policy problems from a single perspective;

❖ not be a passive, disinterested researcher; he/she must articulate his/her findings, which implicitly entails the articulation of his/her opinion, projecting him/her into the arena of perspective policy analysis.

After identifying the duties, responsibilities, challenges and expectations of the policy analyst, it is prudent to explore a few definitions of policy analysis. According to Dunn (1981:35), policy analysis is an applied social science discipline which uses various methods of enquiry and argument to generate and change policy-relevant information that may be used in political settings to resolve specific social problems or issues. MacRae and Wilde (1985:4) raise another dimension of policy analysis when they state that it is the use of reason and evidence to choose the best policy from among a number of alternatives. A definition of policy analysis which is more comprehensive and descriptive is provided by Quade (1975:4), which is that "any type of analysis that produces and presents information in such a way as to improve the basis for policy-makers to make informed decisions. The word *analysis* is used in its most general sense; it implies the use of intuition and judgement and encompasses not only the examination of policy by decomposition and replacement of its components by alternatives. The activities involved may range from research into an anticipated issue or problem to evaluation of a completed programme. Some policy analyses are informal, involving nothing more than hard and careful thinking whereas others require extensive data gathering and elaborate calculation employing sophisticated mathematical processes."

Knowledge gained from policy analysis theory and practice is crucial for successful implementation of any public policy. It asserts in giving insight into intricacies and complexities of public policy; thereby indicating possible choices of alternatives and the necessary and sufficient conditions required for successful policy implementation. This approach is essential because it gives public policy-implementors confidence and

support so that they can embark upon the task of policy implementation with vigour and verve. Moreover, it reduces costs and saves time and money; because information provided by policy analysis makes strategic planning possible.

The dawn of the new democratic South Africa brought along with it serious challenges, especially in the areas of policy implementation and public policy analysis. This change of philosophy necessitated enactments by the South African Parliament on an un-precedented scale. Although change was experienced in all spheres of life, this thesis is concentrated on education. The Department of Education generated numerous bills to be considered by Parliament with a high frequency. This called for thorough planning which can only be provided by the techniques of public policy analysis. Hence, the im-portance of the policy implementation and analysis which could not be overemphasised in this research project.

Central to the success of any public policy implementation are political consciousness and public participation. Public policies are about people who aim at improving their living conditions. It is essential to involve the public throughout the policy-making pro-cess. Policy analysis should provide a clearer picture of how, when and why the public should be involved. This is required for selection of a satisfactory policy. According to Dye (1995:28), in order to enhance the chances of public policy implementation, policy makers must –

❖ know all the society's value preferences and their relative weights;
❖ know all the policy alternatives available;
❖ know all the consequences of each policy alternative;
❖ calculate the ratio of benefits to costs for each policy alternative;
❖ select the most feasible policy.

This rationality assumes that the value preferences of society as a whole is known and weighted. That is, there must be a complete understanding of societal values.

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CHAPTER 1

Although the aim of this study is to establish ways and means of implementing outcomes-based education policy timeously, cost-effectively and accommodating the concerns and desires of people, it will also provide a model of how future public policies could be applied. It is this futuristic component of the aim of this study that would serve as an invaluable contribution to public policy implementation. The proposed model should not exclusively be relevant for the Department of Education, but could also be useful for other departments and public institutions.

1.3   FRAME OF REFERENCE

Public policy and policy analysis are central in this research project. It was imperative to understand the policy directives in order to understand the purpose of the public policy. This information will provide a deeper understanding of the policy-making process by roleplayers who will be involved either as policy-makers, policy-implementors or beneficiaries. Such information also makes planning possible to cope with public problems. In this context, the information will contribute to a better understanding of outcomes-based education policy and how it should be implemented.

Apart from public policy and policy analysis, it is necessary to explain salient features of outcomes-based education, such as policy directives, implementation activities of both learners and facilitators, curriculum and assessment. These matters spell out the nature and character of the policy at hand and the requirements for successful policy implementation.

As the focus of the thesis is on successful implementation of outcomes-based education it is crucial to discuss relevant public administration determinants/modalities. For instance, public policy entails provision of personnel, financing, organising, procedural directives and control including rendering account. These functions are the foundation for the implementation of outcomes-based education. Furthermore, monitoring and evaluation are necessary to ensure that implementation of the policy is on the right course and will yield desired outcomes.

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CHAPTER 1

In order to understand the relevancy of the discipline Public Administration in educational institutions, it is essential to explain the practical environment in which public officials function. That is, Public Administration is not only concerned with the description and explanation of public institutions, but is also concerned with the study of universally acceptable principles and phenomena. Knowledge gained from studying this discipline provides a framework for the development of principles according to which administrative and managerial practices can be undertaken on any sphere of government and within any government institution (Botes & Roux, 1996:258).

The Department of Education is a government institution which functions within the framework of public administration. All its activities, including the formulation, adoption, implementation, monitoring and evaluation of policies, are performed in accordance with the generic administrative functions. Hence, the implementation of outcomes-based education policy takes place within the public administration guidelines. Stated differently, the study of Public Administration can influence the development of education in general, and the implementation of outcomes-based education policy in particular.

1.4   OBJECTIVE OF STUDY AND PROBLEM STATEMENT

Objective and problem statement of a research project serve related purposes as a compass to a navigator and a road map to an automobile driver. It is imperative to determine, right from the onset, what the objective of the thesis is and the formulation of an appropriate problem statement which will assist in keeping the research process focused, relevant and to the point. Moreover, it is helpful in the sense that the research will only concentrate on relevant sources of information. To emphasise the value and importance of the objective of study and problem statement, Quade (1989:361) explains that the declaration early in the study of the possible conclusions or recommendations are sometimes regarded as a pitfall. This is in itself a mistake. One should realise that analysis could be an iterative process and that a single cycle of

formulation, data collection, and model building would be unlikely to give the final answer. Thus the setting of hypotheses and possible conclusions early in the study are essential to guide the study that follows. A set of tentative hypotheses guides the analysis. In addition, it offers concrete indicators for others to probe.

1.4.1 Objective of study

The primary objective of this research is to formulate and implement a scientifically sound model for the purpose of implementing outcomes-based education in such a manner that would save time and money, as well as being cost-effective. The proposed model for public policy implementation for education could be of value to public officials who have to deal with new or modified public policies in government departments as well as other public institutions.

The secondary objectives are twofold. Firstly, the aim of the research is to acknowledge and illuminate the role that policy analysis and the theory and practice of public policy, in general, play in policy implementation. This thesis could thus provide knowledge and skills for public managers who have to determine how to implement a public policy effectively and efficiently to obtain maximum benefits at a reasonable cost. Secondly, it is crucial to describe the policy to be implemented fully , in unambiguous terms, for full comprehension. It is considered essential to identify and describe extensively the distinguishing features of the study objectives; characteristics that make it different from other public policies. Immediate benefit of this exercise is a deeper understanding of what the policy entails, with the spinoff of enhanced successful implementation. Hence, Chapters 2, 4 and 5 are devoted to the main features of outcomes-based education, which is the subject of this thesis.

1.4.2 Problem statement

Gay (1989:23) maintains that a well-written statement of a problem in general indicates the variables of interest to the researcher and the specific relationship between the variables that are investigated. The researcher's main task is to formulate a statement that will capture the spirit and action of the research to be undertaken. Pursuant to the central role played by a problem statement in research, Martins, Loubser and Van Wyk (1996:83) state that if the problem is well formulated and the objectives of the research are precisely defined, then the likelihood of designing a research study that will provide the necessary information in an efficient manner is greatly increased. This implies that it is essential that any research project should commence with a clear, unambiguous, concise, precise and comprehensive problem statement that would steer and guide the research process up to its logical conclusion.

After the problem statement has been completed, the next step is the formulation of the problem. What is it that the researcher intends to attain? Tuckman (1987:20) provides the characteristics of a well-formulated problem as follows:

❖ It declares the relationship between two or more variables.
❖ It states the problem clearly and unambiguously and usually in a question form.
❖ It should state the processes to gather data to answer the specific question(s).
❖ It should not present a moral or ethical position.

Against the theoretical background of a problem statement it is imperative to relate it to the thesis. The problem could relate to the phenomenon that from time to time a government formulates new public policies to address specific public social problems. In spite of its good intentions, the government could fail to prepare the ground for successful policy implementation. That is, there could be lack of purposeful, focused, and deliberate attempts to train policy implementors and to make the necessary resources available for the successful implementation of the new policy for the distinc-

tive field. Stated different, and to be relevant to this research, the study is in search of a policy implementation model which could be used to implement any new public policy. In this regard, outcomes-based education policy is used as the subject for this thesis. The appropriate problem statement for this thesis is: "What are the administrative requirements to obtain an outcomes-based education policy to yield desired and expected outcomes?".

Implementation of outcomes-based education policy did not provide sufficiently for implementation processes. For example, resources were not provided to make the implementation process successful. Above all, stakeholders were not prepared for their different roles during implementation. For example, parents play a pivotal role in the education of their children, but were not trained to fulfil this function. Indeed some parents are illiterate and should have been prepared to at least know about the significant new development.

Lack of financial resources served as an impediment to successful application of outcomes-based education. Some schools are overcrowded and a few have to teach learners under adverse conditions. In fact the problem of lack of suitable classrooms is captured in an article entitled "No more lessons under trees, vows Pandor". The article states that there are currently 1 781 schools with unacceptable facilities according to the Minister of Education, Naledi Pandor (*Business Day*, 2004:3). Apart from lack of enough classrooms, there is lack of teaching and learning aids in some schools. In some isolated places there is lack of water and electricity. Outcomes-based education dictates that learners should experiment and seek information on their own, but lack of financial resources prohibits successful implementation of this requirement.

Outcomes-based education policy is new in South Africa, but educators did not receive relevant pre-service training to meet the new requirements. Besides, educators' professional qualifications range from certificates, diplomas, advanced certificates in education and postgraduate diplomas. These qualifications require intensive in-service

education programmes to teach according to outcomes-based education policy. This condition of lack of timeous preparation of educators caused anxiety and frustration for both learners and educators.

From the afore-mentioned statements it can be deduced that lack of sufficiently funded implementation activities contributed to dubious implementation of outcomes-based education policy. The situation was complicated by the insufficient training of all role-players or stakeholders before the public policy was implemented. Hence, the need to search and state an appropriate outcomes-based education policy implementation model.

From the problem statement, it is essential to formulate a hypothesis which reflects the researcher's expectation about the problem at hand. For this study it is that the imple-mentation of a model for outcomes-based education policy will enhance the chances of successful policy implementation – not only in the Department of Education, but also in other government departments as well as other public institutions.

1.5   RESEARCH METHOD AND DESIGN

It is crucial to understand what research methodology is and how it can be conducted. According to Bailey (1990:32), methodology refers to the philosophy of the research process. He continues to state that methodology encompasses every aspect of research in the sense that if one intends cooking or roasting meat one will know which methodology to follow and what steps and ingredients to put together to achieve one's aim. From another perspective, Singleton *et al.* (1988:1) explain research methods as the study of ways of understanding the world. To clarify further research methodology, Brynard and Hanekom (1997:25) explain the strategy for research as follows:

❖ Indicate the methods of data collection
❖ Indicate techniques for data collection

❖ Indicate strategies to be followed during the research

❖ Identify the target population.

In the context of this thesis the method of data collection is mainly from literature, books, periodicals, acts of Parliament, articles in newspapers and circulars and inter-viewing knowledgeable officials.   Therefore the processes of data collection is dis-cussion with experts, reading and interpretation of information acquired.

The strategy followed in this research was collecting of data relating to public policy, policy analysis and implementation of outcomes-based education. Firstly, the aim was to find a solid foundation for research in public administration focused on public policy and policy analysis. Secondly, the objective was to obtain clarity about implementation of outcomes-based education. Thirdly, the principal objective of the study was to find a strategy that would enhance the chances of successful implementation of outcomes-based education policy.

Pursuant to the specific objective of the research focused on the implementation of outcomes-based education the intention was to provide results which could be applied to enhance the chances of successful implementation of policies in other fields. This approach was dealt with by Brynard and Hanekom (1997:1), that scientific knowledge could be used to determine the general applicability of aims, as well as the efficient utilisation of resources.

1.6   DEFINITION OF KEY CONCEPTS

To avoid misunderstanding and to promote common understanding it is necessary to define key concepts used in this research. Most of the definitions come from dictiona-ries with the emphasis on the shade of meaning that is relevant to the context within the thesis. However, some of the definitions and statements are based on independent arguments of the researcher.

CHAPTER 1

The concept *administration* refers to all those processes that contribute to the successful implementation of a public policy which is both a mechanical as well as a scientific enterprise. Administration focuses on how to perform a function as well as selection of the best ways to accomplish a predetermined objective. The best procedures are those that are cost-effective and do the job within the shortest possible time without changing the initial policy (Morrow, 1980:1-2). Taking the meaning of the concept administration further, Sherwood (in Eddy, 1983:51) states that administration implies that leaders in government, like in the private sector, have the capacity to make things happen. Consequently, these are similarities in the managerial tasks of both public and private sectors, which is to get groups of employees to work together collaboratively, especially in instances where assignments or tasks could not be performed individually. In the context of the research, administration refers to the administration of the implementation of the outcomes-based education policy.

Assessment, according to Hanks (1983:86), means the act of assessing, orally or in writing, the comprehension of learners about what they learnt on their own or what they were taught. Assessment may be done by the learner himself/herself, groups of learners as well as facilitators. Unlike in the past where assessment took place mainly at the end of a month, quarter, half-yearly or annually, outcomes-based education advocates continuous assessment as the lesson progresses. In addition, assessment may take various forms for different purposes. Furthermore, the concept is explained in detail in Chapter 5, section 5.3.

Constitution means the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996).

Critique, according to Thompson (1995:319), means a critical analysis. In the context of the research critique refers to the critical analysis of public policy and policy analysis which are distinctive features of outcomes-based education.

Curriculum means subjects that are studied or prescribed for study in a school or any programme of activities (Thompson, 1995:330). The concept is further described in Chapter 5, section5.2. In the context of this thesis curriculum is much broader in meaning. It encompasses subjects that are prescribed and studied in a school as well as all the activities that the school prescribes for the learners to participate in; for example, sport.

Directive means a general instruction from one in authority or empowered to direct (Thompson, 1995:382). Barnhart and Barnhart (1992:594) explain the concept as an order or an instruction telling what to do, how to do, or where to go. Hornby (2000: 353) concur with the aforementioned explanations of the concept when stating that it is an official instruction. In this thesis directives refer to written authoritative instructions relating to the formulation and implementation of outcomes-based education. These directives could be acts of Parliament, rules and regulations, as well as circulars and commands from either the national or provincial government.

Education means the act or process of educating or being educated; systematic instruction; or development of character or mental powers (Thompson, 1995:431). Barnhart and Barnhart (1992:670) explain education as the development of knowledge, skill, ability, or character by teaching, training, study or experience. Tullock (1996) agrees with these explanations when she states that education is systematic instruction or development of character and mental powers. Hornby (2000:401) concurs with the aforementioned explanations and contextualises the concept when stating that education is a process of teaching, training and learning, especially in schools or colleges, to improve knowledge and develop skills. In this thesis education is used in a much broader sense; it includes all the above given shades of meaning as well as other consequences of the peculiar system of education country-wide.

Educator means someone who gives intellectual, moral, and social instruction especially to a child, or someone who provides education (Thompson, 1995:431). The concept is

further elucidated in Chapter 4, section 4.7. In this thesis the meaning of the word is retained.

Evaluation means assessment or appraisal (Thompson, 1995:466). This concept is explained in detail in Chapter 3, section 3.9. In this thesis evaluation refers specifically to the assessment of a public policy. The intention of evaluation is to determine whether a public policy addresses satisfactorily or otherwise an identified public matter.

Facilitator means someone who makes a concept easy or less difficult to understand (Thompson, 1995:482). Hornby (2000:449) describes a facilitator as a person who helps somebody to do something more easily by discussing problems or giving advice rather than telling them what to do. Tullock (1996:529) concurs with this description when stating that a facilitator is someone who makes something easy or less difficult or more easily achieved. In this thesis facilitator refers to the teacher. He/she is called the facilitator because his/her role has changed from giving learners information to guiding learners to seek for information themselves. The term *facilitator* is more appropriate within outcomes-based education because the role of the teacher is to make teaching and learning easy or less difficult or a pleasurable experience by learners.

Impact means the action of one body coming forcibly into contact with another; an effect or influence especially when strong (Thompson, 1995:679). The concept is further explained in Chapter 3, subsection 3.9.9. In this thesis impact refers specifically to the influence of a public policy to an identified public problem. That is, the consequences that follows after implementing a policy, which may be positive – if it addresses the public problem satisfactorily, or negative – if it fails to address the problem and produces harmful effects to the target group or audience.

Implementation means performance of an obligation; put a decision or plan into effect (Thompson, 1995:681). The concept is further explained in detail in Chapter 3, section 3.7. In this thesis implementation refers to putting a public policy, which is government

decision, into effect. In this regard it refers to implementing outcomes-based education policy.

Learner means a person who is learning a subject or skills; a person who is learning to drive a motor vehicle and has not yet passed a driving test (Thompson, 1995:774). Hornby (2000:731) explains a learner as a person who is finding out about a subject or how to do something. Tullock (1996:868) concurs with the aforementioned explanation when stating that a learner is a person who is learning a subject or a skill. In this thesis learner refers to a person who is learning both a subject and skills because in outcomes-based education learners learn knowledge, skills and attitudes.

Learning means knowledge acquired by study (Thompson, 1995:774). The concept is further explained in Chapter 4, section 4.7. In this thesis this is also the meaning of learning.

Management means the process of managing or being managed; the action of managing; the professional administration of business concerns, public undertakings, etc.; people engaged in this; or the governing body (Thompson, 1995:774). According to Wamsley and Zald (in Eddy, 1983:505-506), management aims at securing the maximum prosperity of the employer, coupled with the maximum prosperity of each employee. They emphasised the sociological and psychological aspects of management when they stated that management is about making orders. From another perspective, Thornhill and Hanekom (1995:13) maintain that management consists of a number of functions or groups of functions. It is also concerned with directing activities of an institution. Therefore, management is mainly concerned about people. In fact, no institution can function without personnel and it cannot succeed unless it is provided with motivated personnel who is willing to work. It is the responsibility of the leaders of the personnel to motivate them to work. Management is not synonymous to administration. In fact, management in the public sector is an aspect of administration which focuses on the utilisation of resources. Therefore, administration is a much wider

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or a broader concept compared to management (Hanekom, in Thornhill & Hanekom, 1995:14). In this thesis management refers to the act of managing the affairs of the public within a state organ or institution. In this context it refers to the management of educational matters.

Methods means a special form of procedure especially in any branch of mental activity; the orderly arrangement of ideas; or a scheme of classification (Thompson, 1995:857). The concept is described in detail in Chapter 4, section4.5. In this thesis it refers to special form of teaching learners a subject or unit of a learning area. There are different methods that are used to teach learners.

Model means a representation of three dimensions of an existing person or thing or of a proposed structure, especially on a smaller scale; or a simplified description of a system, etc. to assist calculations and predictions; or a person or thing used, or for use, as an example to copy or imitate (Thompson, 1995:875). The concept is further explained in Chapter 6, section 6.6. In this thesis model refers to a ready-made or predetermined plan or strategy to be followed when implementing outcomes-based education. This strategy is of such a nature that it can be applied to other public policies in all spheres of government and in all public institutions.

Monitoring is one of the stages of the policy process. The concept is explained in detail in Chapter 3, section 3.6.

Multiculturalism means relating to or constituting several cultural or ethnic groups within a society (Thompson, 1995:893). The concept is further explained in Chapter 4, section 4.3. In this thesis this word is used as it is explained in the dictionary. It refers to the different cultures that are found in the classrooms in South Africa.

Objective means something sought or aimed at (Thompson, 1995:938). Barnhart and Barnhart (1992:1432) explain objective as something aimed at or goal or aim. Hornby

(2000:873) agrees with the above explanation when stating that an objective is something that someone is trying to achieve. In this thesis it refers to what the lesson is aiming to achieve.

Organisation means an organised body, especially a business, government department, charity and such like institutions (Thompson, 1995:961). Calburn (1977:191) explains organisation as the framing and marshalling of methods to perform functions, be they private or public. From another viewpoint, organisation is seen as an open system. As a system, it uses raw materials from the environment and converts them into finished products or services by utilising specific processes. Thereafter the organisation delivers these products or services back to the environment. The environment is endowed with resources – people, material, energy and ideas. Within the environment needs are felt to be satisfied by products or services. Without needs or resources within the environment, an organisation ceases to exist (Wakeley, in Eddy, 1983:181). In this thesis the word refers to the implementation of outcomes-based education by the Department of Education and its sub-units.

Outcomes means results or visible effects (Thompson, 1995:968). Hornby (2000:899) explains outcomes as results or effect of an action or event. Tullock (1996:1078) concurs when she describes outcomes as results or visible effect. In this thesis the original meaning of the word is retained because the emphasis on outcomes-based education policy is on the results that this form of teaching produces.

Policy means a plan of action adopted or pursued by an individual, government, party or business, or public or other institution (Hanks, 1983:1133). The concept is defined in Chapter 3, section3.2. In this thesis policy means a plan of action, devised, adopted and pursued by government to address a real or perceived public problem. In this context policy refers to outcomes-based education.

Policy analysis is studies of the formulation and analysis of public policies. The concept is explained in detail in Chapter 3, section 3.5.

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CHAPTER 1

Policy-making is the first stage of the policy process. It describes how policies are formulated, which factors necessitate the formulation of policies, who are involved in policy formulation and why there is a need for policy formulation. The concept is further explained in detail in Chapter 3, section 3.2.

Population means all the persons inhabiting a country, city or other specified place (Hanks, 1983:1141).

Public means relating to, or concerning the people as a whole; open or accessible to all; or performed or made openly or in the view of all (Hanks, 1983:1180). In this thesis public means relating to all and in the interest of all the people of South Africa.

Public Administration as a field of study was initially regarded by Woodrow Wilson and Frank Goodnow as part of Political Science, dealing mainly with the executive branch. It is focused upon a definable area of study which is the formulation and implementation of public policy (Pfiffner & Presthus, 1967:4-5). Stated differently, Public Administration is concerned with the study of the activities performed to create and run public institutions (Cloete, 1994:61). Public Administration must understand and explain other disciplines which enrich our environment as well as to determine which of them are relevant to its missions. It must evaluate and interpret the contribution made by each of its subfields of study. The major roleplayer in public administration is the public administrator (Cloete, in Cloete, 1997:273-274). According to Viljoen (in Cloete, 1977:3) administrative functions of the South African public service can be grouped into six categories; namely, policy-making, organising, determining of work procedures, financing, personnel utilisation and provision, and control – checking and rendering account. In the context of the thesis Public Administration refers to the field of study and public administration refers to the practice of administering public affairs through public policies. In this regard, it is the administration of outcomes-based education policy within public administration.

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Reflective means characterised by quiet thought or contemplation; or capable of reflecting (Hanks, 1983:1227). The concept is explained in Chapter 4, section 4.2. In this thesis it means criticising oneself, interrogating oneself and capable of tracing ones train of thoughts with the aim of improving initial attempts.

Research means systematic investigation to establish facts or principles or to collect information on a subject (Hanks, 1983:1240). According to Leedy (1989:4-8), research is a thought process on accumulated facts and information in order to determine the meaning of both facts and data. Hutchinson (1992:669) concurs with this view by saying that research is a scientific study and investigation in order to establish facts and to come to new conclusions as a result of these facts. In this thesis this meaning is retained.

Strategies means the art or science of the planning and conduct of a war; or a plan or stratagem (Hanks, 1983:1437). The concept is explained in Chapter 4, section 4.5. In this thesis it means a plan or approach to teach effectively and efficiently.

Teaching means the art or profession of a teacher; or something taught (Hanks, 1983: 1491). Barnhart and Barnhart (1992:2152) explain teaching as the work or profession of a teacher or the act of a person who teaches. Hornby (2000:1332) concurs with the explanation when stating that it is the work of a teacher. Tullock (1996:1601) concurs and further provides another shade of meaning when she states that teaching is the profession of a teacher or what is taught. In this thesis the concept means the art of imparting information or guiding the learner to seek information in studying a particular school subject or unit of area of learning.

1.7   STRUCTURE OF RESEARCH

The thesis takes the form of public policy and policy analysis and covers seven chapters. Chapter one delineates the relevant research perimeter. It explains the

objective of study as well as formulating problem statements. Research method and design followed in the research, ensues. Key concepts used in the research are explained and defined within the context of the thesis. The layout and brief explanation of contents of each chapter are stated below. The thesis culminates with a summary and conclusions.

Chapter two deals with policy directives for outcomes-based education. It explains the rationale for the introduction of outcomes-based education and provides a definition of it. Thereafter characteristics of outcomes-based education are dealt with as well as its advantages. Furthermore, different kinds of outcomes-based education are explained. The origins and policy directives for the South African outcomes-based education are also described. Since policy directives are based on particular public policies, it is essential to describe public policy and policy analysis.

Chapter three focuses on public policy and policy analysis. It explains what public policy is, and proceed to explain policy formulation as well as all the salient factors that must be considered in formulating a public policy. Types of policies and policy-makers are also explained. Thereafter policy analysis, its beginnings, definitions and scope are explained. Policy implementation, factors to be considered in policy implementation, critical variables for studying policy implementation and policy evaluation are described. The chapter ends with a description of policy analysis organisations, their functions and possible contribution to research. Outcomes-based education policy has a particular impact on both its implementors and beneficiaries. In the case of educators and learners it implies that they have to perform certain activities. Hence the need to explain implementation activities of educators and learners as prescribed by the outcomes-based education policy.

Chapter four deals with implementation activities as experienced by both educators and learners. Outcomes-based education compels educators to employ reflective teaching practice. As they are faced with teaching multicultural classrooms, their teaching needs

to accommodate cultural diversity. Possible outcomes of learning as well as teaching strategies and teaching methods are explained. Lesson planning and preparation, which have been influenced by outcomes-based education are viewed from a different perspective. The effect of outcomes-based education is strongly experienced by or is clearly discernible in the new roles played by educators and learners. These roles also reveal that implementation of outcomes-based education is a complex process. Consequently the complexities of the implementation of outcomes-based education are described.

Chapter five deals with complexities of implementation of outcomes-based education. Curriculum development and assessment are discussed in detail as they indicate how complex the implementation of outcomes-based education is. The chapter ends with a critique of outcomes-based education; like all other approaches to teaching and learning, it has its own advantages and disadvantages. In order to enhance the chances of successful public policy implementation, it is crucial to propose an imple-mentation model. Therefore, the policy implementation model for outcomes-based education is proposed.

Chapter six proposes a model which can contribute to the successful implementation of outcomes-based education policy in particular and successful implementation of any public policy in general. Building blocks of the proposed policy implementation model are policy directives; the national curriculum statement; management of the implemen-tation process, which includes personnel requirements, financing, procedural arrange-ments, control and accountability, and organising; and monitoring and evaluation. It is essential to write a conclusion and recommendations of any research project. As a result, this research project culminates in conclusion and recommendations.

1.8   CONCLUSION

This chapter explains the research undertaken, its methods and objectives.   The hypothesis is formulated and the definition and explanation of key concepts are provided to avoid misunderstanding and umbiquity. Lastly, a brief description is provided of what each chapter entails.

Public policy aims at addressing specific, identifiable and definable social problems or issues. Therefore, a public policy operates within an environment in which there is government on the one hand, and the public to be governed and limited resources on the other hand. It is the responsibility of government to formulate and implement public policies that would provide public services and public goods. To achieve this objective government, from time to time, pronounces policy directives that would facilitate public policy implementation. Hence, the next chapter, Chapter 2, is devoted to policy directives for outcomes based education.

CHAPTER 2

POLICY DIRECTIVES FOR OUTCOMES-BASED EDUCATION:
A HISTORICAL PERSPECTIVE

2.1   INTRODUCTION

It is generally accepted that the state is a system of institutions each of which must contribute to satisfactory living together of human beings. The institutions are usually classified as legislative, executive and administrative. Sometimes judicial institutions, known as "courts of law", are mentioned as a fourth category of institutions. The crux of the matter is that one category of institutions be involved in the provision of appropriate essential services to the population of the state. Each category of institutions will perform the functions entrusted to it according to appropriate traditions or prescriptions generally referred to as legislation.

The aforementioned state of affairs apply also to education and the institutions involved. It is understandable why section 29(1) of the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), provides that –

> Everyone has the right –
> (a) to a basic education, including adult basic education; and
> (b) to further education, which the state, through reasonable measures, must make
>   progressively available and accessible.

Subsection 104(4) of Act 108 of 1996 provides that Parliament and the legislative authority of every province have concurrent powers to pass legislation on any matter listed in Schedule 4 of the Act. "Education at all levels, excluding tertiary education" is one of the listed matters. However, it could be accepted that Parliament will be the dominant legislature in respect of educational matters. Furthermore, it could be accepted that the national executive institutions and functionaries entrusted with educational matters (particularly the Minister of Education and the Department of

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Education) will play directive roles for the educational activities entrusted to the different spheres of government. This state of affairs will *inter alia* be dealt with in this chapter on policy matters.

Politics has a major influence on the nature and character of every education system of a state. The *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), ushered in democracy, which in turn, necessitated a review of the national education system. A need was felt for an education system which respects and upholds democratic principles and values, such as –

❖ a high standard of professional ethics;
❖ efficient, economic and effective use of resources;
❖ services which should be provided impartially, fairly, equitably and without bias;
❖ transparency;
❖ good human resource management and career development practices; and
❖ public administration which should be non-partisan and broadly representative of the South African people (Section 195 of the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996).

Before explaining the definition, origin, characteristics and kinds of outcomes-based education, it is necessary to understand the reasons that led to its introduction.

2.2   JUSTIFICATION FOR OUTCOMES-BASED EDUCATION

Before explaining the nature, origin and character of outcomes-based education for the Republic of South Africa, it is necessary to look at the education which was offered previously, especially for the blacks. In this regard the *Bantu Education Act*, 1953 (Act 47 of 1953), is of utmost importance. This Act dealt with the principles, and aims of education for the blacks and their inherent racial qualities, their distinctive characteristics, aptitudes and needs (Malherbe, 1977:545).

Education of the blacks, from kindergarten to university, as well as vocational educa-
tion, became the responsibility of the central government. The administration of
education for the blacks was adapted for the needs of the so-called homelands and the
ethnic characteristics of the people. Gradually the homelands became more or less
autonomous in administering the education of their inhabitants. The organisation of
schools was seen as part of a plan of social development. This plan was particularly
essential to the overall policy of separate development for racial groups propagated and
implemented by the National Party from 1948 (Malherbe, 1977:349 & 545).

Shortly after the National Party came into power in 1948 it appointed a commission
under the chairmanship of Dr W.W.M. Eiselen to investigate the question of Bantu
education. In 1951 the Commission brought out a report which proved to be the
blueprint of Bantu education. The report paved the way for the abolition of missionary
influence. Prior to the promulgation of the *Bantu Education Act*, 1953 (Act 47 of 1953),
missionaries were the only educators for blacks in most black areas. The ruling party
was totally opposed to churches offering education for they regarded this activity as
nothing else, but the destruction of black culture (Lodge, 1985:114).

In a speech before the Senate in 1954, Dr H.F. Verwoerd, then Minister of Native
Affairs, made what is probably the clearest general statement of the Nationalist Govern-
ment policy in connection with education for the blacks. Verwoerd said that it was the
policy of his Department that [Bantu] education should have its own roots entirely in
the Native areas, the Native (indigenous) environment and the Native community.
There Bantu education must be able to give itself complete expression, and there it will
have to perform its real service. The Bantu must be guided to serve their own com-
munity in all respects. There is no place for them in the European community above
the level of certain forms of labour. However, within their own community all doors are
open for them. For that reason it is of no avail for them to receive training which has
its aim absorption into the European community, while they cannot and will not be
absorbed there. Up till then they had been subjected to a school system which drew

them away from their own community and practically misled them by showing them green pastures of the European, but still did not allow them to graze there. This attitude was not only uneconomic because money was spent on education which had no specific aim, but was even dishonest to continue with. The effect on the Bantu community was frustration of educated Natives who could not find employment acceptable to them (Malherbe, 1977:546).

In fact in 1954 only 37% of the blacks were domiciled in the homelands, where all the doors would be open to them. The 63% of the blacks worked in white areas, where they went to earn a living. According to Dr Verwoerd the blacks felt frustrated in white areas because they could not quickly acquire the whites' education and know-how. In addition, blacks felt frustrated because of the policy that only certain forms of labour would be open to them in white areas (Muller, 1981:523). This was Verwoerd's persuasive argument to justify the provision of a separate form of education for the blacks.

2.2.1 Regional and homeland administration

The report of the Eiselen Commission led to enactment of the *Bantu Education Act*, 1953 (Act 47 of 1953). Amongst other changes resulting from the Act were that the control of education for blacks was removed from the provinces to the central govern-ment. Secondly, a division of Bantu Education was established within the then Depart-ment of Native Affairs (Muller, 1981:532).

On the one hand, the administration of the schools for black children living in white areas in course of time were divided into five regions on ethnic basis. On the other hand, the schools for black children living in the homelands were administered by the eight different homeland authorities, namely Transkei, Lebowa, Bophuthatswana, Ciskei, Gazankulu, Kwazulu, Venda and Qwaqwa – and later on by KwaNdebele as well (Posel, 1991:233).

2.2.2 The elimination of missionary control

At the local level of government the biggest change came about in the shift of control from the churches to the local communities. Two statutory bodies (school committees and school boards) were established to take over control of the schools catering for blacks. Institutions that bore the heaviest brunt were the teacher training institutions. The majority of these institutions were controlled by missions and teaching was conducted by white teachers. The government decided that the training of all teachers for government and government-aided schools should in future be conducted in state training institutions only. Management of mission training colleges were invited to say whether they proposed to rent or sell their schools to the Department, or to close the teacher training schools and instead conduct a primary or secondary school in their buildings. If they were not prepared to do either they might train teachers for their own schools entirely at their own expense, but the Department would not necessarily employ teachers so trained. Regardless of their choice, the Minister could decide to transfer any of these schools to a black community (Malherbe, 1977:549-550).

It was beyond the material resources of any church in the 1950s to provide education for great masses, especially of very poor children without financial help from the government. Due to lack of financial assistance many churches had to abandon schools because they happened to be built in areas allocated to whites. Churches accepted the inevitable and surrendered or closed their schools (Muller, 1981:149).

2.2.3 Decline in quality of education

The decline in the quality of education for the blacks in the 1950s was almost entirely the result of the inadequate financial provision made for it. With the take-over of Bantu Education by the Department of Bantu Affairs in 1954 the government reverted to the inelastic basis of finance which had been adopted in the 1920s. In 1955 the amount of money that was made available by the state was again pegged, despite the fact that learner numbers continued to increase (Polley, 1988:85).

There was, from the time of the take-over and in the subsequent twelve years a sharp decline in the amount of money the government spent in terms of real money per black learner. There was great overcrowding of learners in the classrooms, resulting in deterioration in the quality of the teaching. In making grants towards buildings hardly any account was taken of the depreciation of money over the years. The result was that by the time classrooms were built they cost nearly 30% to 40% more than the amounts originally budgeted for (Grobler, 1988:103).

Pretorius (1999:vi) and Lodge (1985:116-117) confirm that the quality of education in South Africa for a particular majority group was so poor that millions of adults are functionally illiterate. They stated further that educational circumstances for the blacks are reminiscent of the most impoverished countries in Africa. Other reasons for the need to introduce outcomes-based education are the following:

❖ The curriculum was too structured, prescriptive and not easily adaptable.
❖ Traditional curriculum processes made no room for stakeholders participation in the decision-making process.
❖ The emphasis was on academic education to the exclusion of skills education.
❖ A large gap that existed between education in the formal educational sectors and training by employers.
❖ The curriculum was content-based with the result that the teacher instructed and the learners memorised.
❖ The curriculum was teacher-centred and not learner-centred.
❖ Learner achievement was measured in symbols and percentages which are often no real indication of actual performance.
❖ Learner achievement was compared to that of other learners which led to unhealthy competition (Pretorius, 1999:viii-ix).

Outcomes-based education was adopted as fundamental for education policy to improve the quality of education for all South Africans. It will also require improving

the standard of teaching and learning which was seriously dented by the effects of the *Bantu Education Act*, 1953 (Act 47 of 1953). It is a constitutional right of everyone to have access to basic education including adult basic education and further education which the state must make progressively available and accessible. To satisfy this policy directive, the Department of Education launched an education mobilisation campaign in 1999. One of the nine priorities addressed by the campaign was that the success of active learning had to be ensured through outcomes-based education (*South Africa Yearbook*, 2000/01:429).

It was obvious that the new Republic of South Africa established by the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), would have to obtain an appropriate national education system. It was envisaged that outcomes-based education could be required to attain the objectives of the Constitution. This matter is dealt with in the following sub-headings of this chapter and subsequent paragraphs.

2.3   DEFINING OUTCOMES-BASED EDUCATION

According to Spady and Marshall (1994:1), outcomes-based education is not new, but is as old as mankind. For example, how to teach a child to cross a road safely. In this case it is known what the child must do and can be imagined. This exercise can be taught to the child repeatedly until he/she can do it safely.

Kudlas (1994:32) concurs with Spady and Marshall that outcomes-based education is an age-old, common sense approach to teaching. He continues to state that outcomes-based education is a process that focuses on what is to be learned, that is, the outcome. He describes an outcome as a demonstration of learning, that is, what the leaner is to know or do. Spady and Marshall (1994:18) agree with Kudlas when they define outcomes as high quality culminating demonstrations of significant leaning that happens at the end of a learning experience. Therefore, outcomes are a result of learning and are actual, visible, observable demonstrations of three things, namely

knowledge, orientations and motivational, and relational elements. The demonstrations happen in a real life setting, and are influenced and defined by the elements and factors that constitute that setting, situation or context.

Consequently, from the aforementioned, it can be deduced that an outcome is not a great deal of content or knowledge that a learner has memorised. Neither is it a test score, symbol or percentage. It is merely a visible, observable demonstration of some-thing that the learner can do as a result of a range of learning experiences and capabili-ties that underlie it. This demonstration does not occur in a vacuum, but in a particular context which has a direct bearing on what is being carried out.

In specific areas of learning, such as mathematics, languages and social studies, their outcomes are based on facts and skills. Outcomes that are pertinent to other learning areas expect learners to demonstrate their ability and knowledge concerning projects, presentations, or products that they have completed at the end of a phase of learning. Besides, there are outcomes based on experiences that learners can expect to encounter after the completion of their schooling career. These outcomes require that learners apply their learning in relevant settings and situations related to life outside school (Spady & Marshall, 1994:2).

In order to understand what outcomes-based education entails, according to Fitzpatrick (1991:18), answers to the following questions are needed:

❖ What should learners know at the end of their schooling career?
❖ What must learners be able to do?
❖ What do learners need to feel or believe?

The determination of what learners need to achieve is helpful to deduce outcomes therefrom. Thereafter these outcomes are categorised so that learners, educators and parents know what they need to do to be able to succeed at every level. This, in turn,

necessitates the need for periodic assessment of learners to measure their progress. It is essential that learners, before leaving school, demonstrate that they have mastered the ability to attain the outcomes (*The News-Sentinel*, 1993:2).

Outcomes-based education can be compared to curriculum development in order to identify its unique features. Firstly, curriculum developers traditionally worked on the assumption that knowledge is absolute; that theory and practice, education and training differ and are irreconcilable. Secondly, school subjects were included in the curriculum because they were regarded as valuable. The outcomes relevance of these subjects were ignored. That is, the content to be taught was fixed before the aims of education were identified. Notwithstanding the change in the aims of education, it was assumed that the new aims could be achieved by means of the traditional school subjects (Malan, 1997:10-11).

Outcomes-based education differs from the previous system in the sense that it views knowledge to be negotiable and changeable. This approach rejects the view that school subjects are valuable in themselves. The argument is that today's knowledge might be irrelevant to tomorrow's needs and circumstances. Hence, knowledge gained by learners from the school subjects they study may not equip them for the ever-changing technological world. In this regard Guthrie and Pierce (1990:180-181) state that technological invention is another factor that influences education because countries failing to react quickly to technological developments get left behind. Still on the issue of curriculum development as a means of indicating the uniqueness of outcomes-based education, Malan (1997:11) states that this process has three stages, namely, exit outcomes, subject outcomes and lesson outcomes, which follow each other in this sequence.

Firstly, exit outcomes are derived from an analysis of the skills and knowledge which learners will need to lead successful lives in future. It, therefore, follows that exit outcomes must be formulated in terms of the roles which successful and responsible adults

are expected to fulfil on completion of their school education. After defining the exit outcomes, they are to be allocated to a learning programme as well as an extramural programme (Malan, 1997:12).

Secondly, more specific outcomes must be developed for each exit outcome. Thus, specific outcomes must be developed for each school programme. Furthermore, it is imperative that the specific outcomes must show a direct correlation with the contribution to the original exit outcomes. Hereafter grade-level or course outcomes have to be formulated. These are outcomes that learners are expected to achieve in a year or period of a course. Grade-level outcomes are also known as range statements because they describe the range and complexity of expected learner performance at each exit point from a course, programme or module (Malan, 1997:12). Wessels and Van den Berg (1998:xxi) describe range statements as fixed and indicate the levels of complexity and depth whereby learners in different phases, demonstrate their achievement of the specific outcomes.

Thirdly, and finally, educators have to identify lesson outcomes. These serve as criteria against which learners' learning progress and development have to be assessed (Malan, 1997:12).

A major point of departure is that in outcomes-based education learners are at the centre of the teaching process. It, therefore, follows that outcomes-based education is not only learner-centred, but also results-oriented because it is based on the assumption that all people can learn (Department of Education, 1997:17). Furthermore, outcomes-based education emphasises that learners must demonstrate what they have learned. That is, its focus is on learning by doing, problem solving and skills development (Christie, 1999:282). Another distinguishing feature of outcomes-based education is that it is opposed to the content-laden and examination-oriented style of education which encourages rote learning or memorisation of facts even without understanding. In the case of outcomes-based education educators assess

each learner individually to determine whether he/she has mastered relevant learning material and is ready to move on to the next (Laubser, 1997:19). In conclusion, Olivier (1998:20) identifies another unique feature of outcomes-based education, which is, the best way to get where one wants to be is to first determine what one wants to achieve. Thereafter, appropriate strategies and techniques must be formulated which will make it possible to achieve the desired outcomes.

After describing what outcomes-based education is, it is befitting to trace its origin.

2.4   ROOTS OF OUTCOMES-BASED EDUCATION

Outcomes-based education is based on key beliefs about learning and success. The beliefs are universally accepted as genuine outcomes-based education efforts, and are:

❖ What and whether learners learn successfully is more important than exactly when, how, and from whom they learn it.

❖ Schools exist to ensure that all learners are equipped with the knowledge, competence and qualities needed to be successful after they exit the education system.

❖ Schools should be organised, structured and operated so that all their learners can achieve these life performance outcomes.

❖ All learners can learn and succeed, but not all on the same day in the same way.

❖ Successful learning promotes more successful learning, just as poor learning fosters more poor learning.

❖ Schools control key conditions and opportunities that directly affect successful school learning (Spady & Schlebusch, 1999:29).

The main message imbedded in the six statements is that there is a definite commitment to creating the conditions that are conducive to learning and using practices that help each learner become the most successful learner he/she can be. Outcomes-based education educators require their learners to be successful learners and performers. To

achieve this aim they do their utmost to focus, organise, and operate their schools and classrooms to achieve that aim. Research and experience have shown that outcomes-based education achieves results (Spady & Schlebusch, 1999:29-30).

The aforementioned key beliefs of outcomes-based education are condensed into three characteristics by Spady and Marshall (1991:67), which are –

❖ all learners can learn and succeed but not on the same day and in the same way;
❖ success breeds success; and
❖ schools control the conditions of success.

Experience has indicated that although all learners can learn and succeed, they do so at different paces and use different methods. That is, each learner, given sufficient time and proper assistance can learn successfully (Boschee & Baron, 1994:195).

It is an accepted fact that all learners can learn successfully regardless of their mental abilities. McKernan (1993:1) concurs with this fact when he states that children learn all the time and that they are good learners. For instance, they learn how to talk, walk and ride bicycles. Danielson (1988:1) also shares this viewpoint when he writes that in the pre-school there are no unsuccessful learners. He continues to say that young children differ in learning speed but all of them do learn.

Danielson (1988:2) advocates that success breeds success in school. When learners succeed in school they are motivated to embark upon new challenging tasks to gain more success. The major benefit of learners who tasted success is that they become persistent until they achieve any objective that they have stated for themselves. Unfortunately, the converse is also true. Repeated failure at school is detrimental in the sense that it may encourage the learners to avoid tasks in future and may negatively affect the learners' self-esteem.

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It is a truism that schools control the conditions of success. Through its curriculum, the school have to provide a conducive environment for all learners to learn successfully.

The aforementioned key beliefs of outcomes-based education are also supported by Killen (1998b:5) when he states that –

❖ all learners have talent and it is the duty of schools to develop it;

❖ it is the responsibility of schools to find ways and means for learners to succeed;

❖ mutual trust is a driving force of all good outcomes-based schools;

❖ all learners are endowed with the gift of excellence;

❖ by inculcating the spirit of success in learners, they will work hard to reduce errors in their work;

❖ learners must be taught and encouraged to learn collaboratively and to avoid unhealthy competition;

❖ no learner should be excluded from any school activity; and

❖ a positive attitude is essential for all learners.

Apart from the key beliefs of outcomes-based education Malan (1997:9) maintains that the following are the roots of outcomes-based education –

❖ educational objectives;

❖ competency-based education;

❖ mastery learning; and

❖ criterion-referenced assessment.

These concepts can be explained as follows.

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2.4.1 Educational objectives

The origin of educational objectives could be traced back to the book by Ralph Tyler, entitled *Basic Principles of Curriculum*, which was published in 1950. In this work Tyler identified key issues which educators must take into account when they develop curricula and plan their instruction. The key issues are –

❖ educational purpose;
❖ content;
❖ organisation; and
❖ evaluation (Van der Horst & McDonald, 1997:9).

2.4.2 Competency-based education

Competency-based education was introduced in the United States of America towards the end of the 1960s. The main reason for its introduction was in response to the concerns raised by businessmen. Their complaint was that education was not preparing learners adequately for the world of work. Their concern was that learners were not taught the actual skills that they would need in the world of work. The aim of competency-based education was that it would focus on an integration of outcomes goals in terms of specific skills, instructional experiences to teach the outcomes, and assessment devices to determine whether the learner has mastered the outcomes (Van der Horst & McDonald, 1997:10). Towers (1994:2) concurs with the above stated viewpoint with his definition of competency-based education. He defines it as a general term applied to instructional and assessment efforts aimed at evaluating learners' performance.

According to Van der Horst and McDonald (1997:10-11) there are six critical components that characterise competency-based education, namely –

❖ learning outcomes which are explicit with regard to the required skills and level of

proficiency required in these standards of assessment;

❖ time which is flexible, for example, learning time which is not only restricted to seat time;

❖ instruction which facilitates learning by means of a variety of instructional activities;

❖ measurement which entails explicit, criterion-referenced testing of required outcomes;

❖ certification which depends on a demonstration of required outcomes by the learner; and

❖ programme adaptability which is managed sensitively to ensure optimum guidance to the learner.

In essence, competency-based education supports the concept that all learning is individual and that the individual, who may be a learner or an educator, is goal-oriented. Van der Horst and McDonald (1997:11) go on to state that the teaching-learning process is facilitated if the educator knows in advance what he/she wants the learners to learn and if the learner also knows in advance exactly what he/she is expected to learn. Moreover, personal responsibility and accountability for learning are emphasised. To understand the essence of competency-based learning it is necessary to describe the origin, nature and character of competency-based education.

Competency-based education was conceptualised, amongst other reasons, because many learners were unable to keep up in learning basic skills in traditional education programmes; in many classrooms in many schools some learners seemed to learn to hate schools and educators rather than school subjects; higher cost of education and increased public awareness of some of the poor outcomes of education for many learners, resulted in a call for accountability of schools and educators for their learners' success and lack of progress in the classroom; and advances in the art and science of teaching and increased public awareness of the right of everyone to obtain a good education (Bell, 1978:16). In a nutshell, competency-based education evolved from the need to correct deficiencies in traditional education, the appropriateness of preserving

the best elements of the desire to combine instructional methods that are effective, and the human nature to try something new.

Honston and Howsam (1972:5-6) list the following characteristics of a competency-based education programme:

❖ specification of learner objectives in behavioural terms;

❖ specification of the means for determining whether performance meets the indicated criterion levels;

❖ provision of one or more modes of instruction pertinent to the objectives, through which the learning activities may take place;

❖ public sharing of the objectives, criteria, means of assessment, and alternative activities;

❖ assessment of the learning experience in terms of competency criteria;

❖ placement on the learner of the accountability for meeting the criteria;

❖ other concepts and procedures, such as modularised packaging, the systems approach, educational technology, and guidance and management support are employed as means in implementing competency-based education.

2.4.3 Mastery learning

Mastery learning is defined as an instructional process which involves organising instruction, providing learners with regular feedback on their learning progress, giving guidance and direction to help learners correct their learning mistakes. In addition, to provide extra challenges to learners who have mastered learning material (Towers, 1994:2). From the definition of mastery learning, it can be deduced that there are two major advantages from this learning process, which are –

❖ making learners responsible for their own learning; and

❖ affording each learner an opportunity to learn.

Mastery learning owes its origin from the earlier work of Bloom's mastery learning theory in the publication *Taxonomy of Educational Objectives. The Classification of Educational Goals, Handbook I: Cognitive Domain*. The purpose of this hierarchical classification system is to categorise the cognitive changes produced in learners as a result of the goals and methods of instruction. The taxonomy can be used by educators as an aid in formulating instructional objectives, selecting teaching methods, and designing tests and activities to determine learners' learning (Bell, 1978:168).

Mastery learning advocates that there is much more that the schools could do to learners apart from encouraging memorisation. Its philosophical underpinning is that all learners can master a core curriculum provided they are given sufficient time. Notwithstanding that, learners must master prerequisite skills before moving on to advanced skills (Capper & Jamison, 1993:30). This implies that learners need to have prerequisite knowledge before they can be allowed to learn a skill. In keeping with the philosophy of outcomes-based education, learners must be given multiple chances to learn prerequisite skills.   In this respect Killen (1998a:1) maintains that mastery learning reduces learners' concerns about their ability to learn, and encourages them to attempt more challenging tasks.

From the above discussion it can be deduced that learners who are mastery-oriented focus on learning goals because they value achievement and regard ability as improvable. In mastery learning the responsibility is placed on the educator to provide and to create conditions that are conducive to learning. Pursuant to this aim of pro-viding suitable conditions for effective learning to occur, Van der Horst and McDonald (1997:11) maintain that the educator needs to find out why learners fail to reach mastery and to either –

❖ provide more time for learners; or

❖ provide different media or materials; or

❖ diagnose which missing prerequisite knowledge or skill the learner must acquire to master the learning material.

In general, the aim of mastery learning is to ensure that learners are given opportunities to be successful at most tasks by providing an enabling environment, and appropriate learning materials and backup guidance. In this regard the educator's input is vital. Hence, mastery learning programmes are correctly described as being educator-controlled and not educator-centred (Van der Horst & McDonald, 1997:12).

2.4.4 Criterion-referenced assessment

In outcomes-based education assessment is one of the educator's most important activities. Therefore, in terms of criterion-referenced assessment, testing is done in which learners' scores are compared to a set standard. For example, in order for a university student to pass an examination of a course or module he/she needs to obtain 50% or higher. The minimum percentage required, which is 50%, is called the minimum standard of proficiency (Van der Horst & McDonald, 1997:12). In this regard Moeca (2000:24) states that the implication is that learning should not be driven by competition, and each learner who is endowed with unique capabilities should be given sufficient time and support to achieve specified outcomes.

Criterion-referenced measurements is appropriate for outcomes-based education because it puts the learner's score on a scale ranging from no proficiency to excellent. Along the scale are tasks that the learner must perform and the performance level that indicates acceptable level of achievement. The educator needs to interpret the results of the criterion-referenced test in order to adapt his/her teaching. Consequently, a criterion-referenced test is an assessment tool which can be used effectively in outcomes-based education. However, criterion-referenced testing should only form a

small part of comprehensive assessment in outcomes-based education (Van der Horst & McDonald, 1997:12).

It is also worth noting that the preferred form of assessment in outcomes-based education is continuous or ongoing assessment. Therefore, assessment forms an integral part of all teaching-learning activities in outcomes-based education. Thus, assessment in outcomes-based education is not done only at the end of a semester or year, but should also be based on classroom observation of learners' answers and responses, in homework, classwork, exercises and assignments, projects, portfolios and other work done by the learner (Van der Horst & McDonald, 1997:13).

In the explanation of the roots of outcomes-based education, its characteristics are clearly discernible.

2.5   CHARACTERISTICS OF OUTCOMES-BASED EDUCATION

Outcomes-based education, like other teaching approaches to education, has charac-teristics that are unique to it. These characteristics are the major reasons why education systems are attracted to it. According to Pretorius (1999:xi), the reasons that make outcomes-based education attractive are –

❖ it is learner-centred as it advocates that all learners can achieve on condition that they are given ample time to do so;

❖ time and help is given to learners to meet their innate potential;

❖ learners focus on what they should learn because they know outcomes in advance;

❖ it allows educators to be flexible in their teaching methods because the emphasis does not lie in the procedure, but on whether the learner reaches the required outcomes;

❖ learners are given multiple chances to demonstrate that they have reached the outcome;

❖ learner advancement is based on demonstrated achievement;

❖ learner achievement is not measured in terms of the achievements of other learners, but only on whether the learner has achieved predetermined outcomes or not;

❖ learners are expected to accept greater responsibility on reaching the required outcomes;

❖ learners who reach required outcomes successfully are given the freedom and flexibility to expand their learning by being allowed to engage in enriching activities;

❖ the culminating demonstrations of significant learning must be of high quality;

❖ it emphasises high expectations for all learners to succeed, though at different times;

❖ it involves a wide range of stakeholders, like parents, educators and business leaders in determining required outcomes. This enables it to address more directly community needs;

❖ the emphasis falls on skills needed in everyday living and requirements of the world of work, but not on memorisation of learning material;

❖ the emphasis also falls on inculcating in learners' problem-solving skills and not memorisation of learning material;

❖ it is focused on the future and can address the ever changing needs of the community;

❖ it is a long-term commitment based on the notion of continuous improvement. Therefore, it creases opportunities for local communities to strive for excellence through strategic planning.

Van der Horst and McDonald (1997:13-14) identify four characteristics of outcomes-based education as follows:

❖ The learning material which must be learned should be stated unambiguously.
❖ The learner's progress should be based on his/her demonstrated achievement.

❖ Different instructional strategies and assessment tools should be used.

❖ The learner is given the necessary time and guidance to achieve optimally.

Firstly, in an attempt to state the learning material clearly, the learning outcomes must be future-oriented; learner-centred; focused on knowledge, skills and values; characterised by high expectations for all learners; and a bias for further instructional decision-making. Furthermore, the learner is facilitated by the educator towards the attainment of required outcomes (Van der Horst & McDonald, 1997:13).

Secondly, the learner indicates achievement by being able to use and apply learned knowledge, skills and values. In addition, learners are advanced from one class to another because they are capable of demonstrating skills for independence and future success (Van der Horst & McDonald, 1997:13).

Thirdly, the educator must cater for the needs of the learner by analysing the needs of the learner. Thereafter the educator should structure his/her instructional method for each learner as a continuous process of observation, reflection and analysis (Van der Horst & McDonald, 1997:14).

Fourthly, in assisting the learner to reach his/her potential, the educator should keep in mind and assist the learners to be –

❖ hard workers;
❖ responsible for their own learning;
❖ independent in learning and thinking; and
❖ able to assess their own work.

Zlatos (1993:12) summarises the characteristics of outcomes-based education as the model that can address future needs more satisfactorily, implement technological inventions and the changes that have taken place in the work environment. Outcomes-

based education has identifiable advantages which will be dealt with in subsequent paragraphs.

2.6   ADVANTAGES OF OUTCOMES-BASED EDUCATION

Understanding the characteristics of outcomes-based education makes it possible to identify particular advantages (Boschee & Baron, 1994:193). One of the major advantages is that it is committed to the learning of all learners. The commitment of outcomes-based education to help each learner to be successful is the desire of every nation. On account of the fact that learners are endowed with different mental abilities, outcomes-based education recognises this fact by giving learners sufficient time and a variety of instructional methods to learn.

Unlike the past where the pace of instruction was controlled by academic year, outcomes-based education advocates that the pace of instruction be determined by the individual needs of the learner (Furman, 1994:1). Educators were under pressure to complete syllabi at specified times. Learners were also adversely affected by this race against time. The educator was forced to cover the syllabi, had to move from one topic to another regardless of the fact that learners mastered the previous topic or not. Outcomes-based education has corrected the anomaly by coming up with instructional design in which learning is the constant and time the variable, and not the other way round (Towers, 1994:2).

On account of an integrated approach to knowledge, related topics are presented and taught together. This encourages educators to work in teams and learners to learn in groups. Therefore, it means that outcomes-based education encourages the spirit of collegiality amongst educators. It also enhances the chances of group collaboration and empowerment, whereby all stakeholders are actively responsible, accountable and committed. Furthermore, learners are afforded as much opportunities as is necessary

for them to successfully master the learning material. Another major advantage of outcomes-based education is that it encourages learners to think for themselves. Learners take responsibility of their own learning, by assessing themselves and others, and by constructing meaning and discovering knowledge. The underpinning philosophy of outcomes-based education as embedded in its roots is supportive of the fact that learners must be helped to develop critical thinking. This idea is also advocated by Carl and Van der Merwe (1998:67) stating that the curriculum and teaching methods should encourage independent and critical thought.

There are particular advantages of outcomes-based education that are specific to the learners and educators. As far as the learners are concerned, they know well in advance what the purpose of their learning is. They also know that they have to demonstrate their competence in a specific learning area. Van der Horst and McDonald (1997:14) concur with this viewpoint by arguing that learners will know what is expected of them and will be in a position to measure their achievement. This implies that learners will feel to be in control of their learning by making use of self-assessment. Besides, learners should at all times be aware of what they should aim to achieve, what criteria will be used to assess their performance, and where they stand in comparison to achieving stated outcomes. To accomplish this aim, learners are provided with more instructional support. In addition, assessment is transparent to the learners as they will be involved in continuous assessment. In turn, the involvement of the learners in assessment as well as clarity of purpose of teaching and learning serve to motivate learners (Pahad *et al.*, *s.a.*:7).

Advantages of outcomes-based education that are related to the educators is that it affords them an opportunity for more precise planning of their teaching. Educators' selection of content and strategic planning should be guided by outcomes. In addition, educators do not only focus on completion of the syllabi, but on whether learners have mastered contents, concepts, skills and values (Van der Horst & McDonald, 1997:15).

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Moreover, it also gives them a wider choice about the content, methods of teaching and organisational procedures that will enable them to achieve their desired outcomes. With the freedom of educators to choose appropriate content and methods of teaching, comes the responsibility to achieve outcomes (Pahad, *et al.*, *s.a.*:7).

Other advantages of outcomes-based education which are based on an instructional approach, according to Van der Horst and McDonald (1997:15), are –

- ❖ failure is avoided because learners who have not achieved required objectives are given further opportunities;
- ❖ memorising is reduced and understanding of content is encouraged;
- ❖ learners are encouraged to contextualise their understanding; and
- ❖ learners are provided with knowledge, skills and values that prepare them for the world of work.

Understanding the advantages of outcomes-based education necessitates also descriptions of different types of outcomes-based education.

2.7   TYPES OF OUTCOMES-BASED EDUCATION

There are three types of outcomes-based education which are in an evolutionary sequence. The three outcomes-based education designs are –

- ❖ traditional outcomes-based education;
- ❖ transitional outcomes-based education; and
- ❖ transformational outcomes-based education (Pretorius, 1999:x).

Outcomes for traditional outcomes-based education are defined as instructional objectives based on the subject matter content (Spady, 1994:19). It advocates that the

demonstration of specific learner competencies in a particular school subject or topic should be determined at the end of small segments of instruction (Malan, 1997:15). Here the focus is on the mastery of content, with the emphasis on remembering and understanding.

Although the traditional outcomes-based education can assist learners to improve their learning, it has the following shortcomings –

❖ it does not spell out clearly to learners and educators why learning is important;
❖ it focuses mainly on recalling content and not on linking or integrating skills, knowledge and values;
❖ educators do not change the learning environment much;
❖ although teaching and learning may be clearly focused, it is highly unlikely that traditional outcomes-based education may transform schools significantly (Pahad *et al.*, *s.a.*, 17).

Transformational outcomes-based education focuses on higher level competencies such as critical thinking and problem solving (Department of Education, 1996:17). The outcomes of transitional outcomes-based education are complex and generalisable across content areas. In the case of lesson planning, the starting point is critical outcomes which focus on skills, knowledge and values. These outcomes require integration, synthesis and functional application of content (Spady, 1994:19).

Transitional outcomes-based education has characteristics in common with traditional outcomes-based education because both stress that educators need to be clear about what they want to achieve. Conversely, the two approaches have some elements of difference such as –

❖ critical outcomes come first and not the other way round;

❖ it questions whether the outcomes are valuable in society contrary to being helpful in teaching and learning;

❖ it aims at integrating knowledge, doing and feeling and not attending to them individually or separately; and

❖ it encourages change in the learning environment (Pahad *et al.*, *s.a.*:19).

Transformational outcomes-based education arises out of the need to assist learners to develop attitudes, knowledge and skills that will enable them to participate fruitfully in the world of work on completion. Pretorius (1999:29) concurs with this fact that learners must become competent future citizens. Malan (1997:16) also shares the same sentiments when she writes that the outcomes of transformational outcomes-based education are formulated in terms of the roles which competent, well-adjusted adults might be expected to perform in the world after completing school education. This approach of outcomes-based education also interrogates the existing school system and syllabus to determine whether they are amenable to meet the needs of the new social order as well as the needs of learners (Pahad *et al.*, *s.a.*:19).

This form of outcomes-based education is commonly used where there is a need for an accelerated social change. In this regard politics play a prominent role in restructuring the education system in such a manner that it will be used as a means of preparing citizens for a new social order. Such an education system will serve as an agent of change by producing learners who will fit into the vision of the new social order (Pahad *et al.*, *s.a.*:19).

Transformational outcomes-based education in its pursuit to prepare learners for the new social order is guided by the following question: "What sort of qualities – both as workers and as human beings – do we want citizens to have?" Appropriate critical outcomes will have to be formulated. That is, listing of the package of knowledge, skills and attitudes that will equip learners to function as useful members of the community

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become determinants of a new curriculum. In this regard schools are encouraged to select any content and to use a variety of methods of teaching which will enable them to achieve the agreed upon critical outcomes. This exercise makes it possible for educators to relate teaching to the immediate environment and also to change the syllabus frequently (Pahad *et al.*, *s.a.*:19).

Establishing the theoretical basis of outcomes-based education as explained above, would facilitate a better understanding of the origin and major policy directives of out-comes-based education within the South African context. The latter will be described in the following paragraphs.

2.8   ORIGINS AND POLICY DIRECTIVES FOR SOUTH AFRICAN OUTCOMES-BASED EDUCATION

After the Union of South Africa was established in 1910 the arrangements for the education of the population were re-organised repeatedly in search of appropriate education systems for the various population entities and specific areas. However, it was obvious that all the existing educational arrangements would have to be adapted to provide for the new Republic of South Africa established in terms of the provisions of the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), many years later.

Before Parliament finally passed Act 108 of 1996 it had already passed the *South African Qualifications Act*, 1995 (Act 58 of 1995); the *National Education Policy Act*, 1996 (Act 27 of 1996); and the *Schools Act*, 1996 (Act 84 of 1996). Act 27 of 1996 is particularly relevant here because it provides specifically that the Minister of Education "should determine national education policy in accordance with the provisions of the Constitution and this Act". When giving effect to this directive the Preamble of the Constitution Act 108 of 1996 had to be borne in mind. According to its Preamble the aims of the Constitution as the supreme law of the Republic are to –

Heal the divisions of the past and establish a society based on democratic values, social

CHAPTER 2

> justice and fundamental human rights;
> Lay the foundation for a democratic and open society in which government is based on the will of the people and every citizen is equally protected by law;
> Improve the quality of life of all citizens and free the potential of each person; and
> Build a united and democratic South Africa able to take its rightful place as a sovereign state in the family of nations.

The curriculum of every school subject – indeed of all educational programmes – would obviously have to respect these basic aims/outcomes of the Constitution and contribute to their realisation.

The *National Education Policy Act*, 1996 (Act 27 of 1996), was passed by Parliament "... to provide for the determination of national policy for education: and related matters". Section 3(4) of the Act provides that "... the Minister of Education shall determine national education policy in accordance with the provisions of the Constitution and this Act". Section 7 provides that the Minister must within 21 days after determining policy in terms of section 3

> (a) give notice of such determination in the Gazette and indicate in such notice where the policy instrument issued with regard thereto may be obtained;
> (b) table the policy instrument referred to in paragraph (a) in Parliament within 21 days after the notice has appeared in the Gazette, if Parliament is then in ordinary session, or, if Parliament is not in ordinary session, within 21 days after the commencement of the first ensuring ordinary session of Parliament.

The Minister of Education gave notice in the *Government Gazette* of 23 December 1998 that he had in terms of section 3(4) of Act 27 of 1996 determined national policy in respect of curriculum frameworks, core syllabus, education programmes and other relevant matters in relation to outcomes-based education. Outcomes-based education is described "... as a learner-centred, result-oriented approach to education and training that builds on the notion that all learners need to and can achieve their full potential, but that this may not happen in the same way or within the same period".

Outcomes-based education policy was introduced in South Africa by Professor Sibusiso Bengu, who was the Minister of Education from 1994 until 1999. His task was not easy as it involved policy formulation, adoption, advocacy and implementation at a time during which both educators and learners were unprepared for extensive transformation of the education. Other stakeholders, such as parents and education officials, were not well conversant with outcomes-based education. Hence, the role of Minister Bengu was to lay a foundation. Professor Kadar Admal's role as the Minister of Education from 2000 until 2004, was that of consolidation and strategising outcomes-based education policy.   Relevant resources were made available for the implementation of outcomes-based education as well as appropriate education and training provided for the educators. The roles played by both Ministers may be described as complementary and supplementary to each other.

2.8.1 Objectives of the national education policy

Section 4 of Act 27 of 1996 prescribes extensively the objectives for the national education policy envisaged by section 3 of the Act. The policy must, according to subsection 4(a) of the Act, provide for:

(a)   the advancement and protection of the fundamental rights of every person guaranteed in terms of Chapter 3 of the Constitution, and in terms of international conventions ratified by Parliament, and in particular the right –

(i) of very person to be protected against unfair discrimination within or by an education department of education institution on any ground whatsoever;

(ii)   of every person to basic education and equal access to education institutions;

(iii)   of a parent or guardian in respect of the education of his or her child or ward;

(iv)   of every child in respect of his or her education;

(v)   of every student to be instructed in the language of his or her choice where this is reasonably practicable.

(vi)   of every person to the freedoms of conscience, religion, thought, belief, opinion, expression and association within education institutions;

(vii)   of every person to establish, where practicable, education institutions based on a common language, culture or religion, as long as there is no discrimination on the ground of race;

(viii)   of every person to use the language and participate in the cultural life of his or her choice within an education institution.

(b)   enabling the education system to contribute to the full personal development of

each student, and to the moral, social, cultural, political and economic development of the nation at large, including the advancement of democracy, human rights and the peaceful resolution of disputes;

(c) achieving equitable education opportunities and the redress of past inequality in education provision, including the promotion of gender equality and the advancement of the status of women;

(d) endeavouring to ensure that no person is denied the opportunity to receive an education to the maximum of his or her ability as a result of physical disability;

(e) providing opportunities for and encouraging lifelong learning;

(f) achieving an integrated approach to education and training within a national qualifications framework;

(g) cultivating skills, disciplines and capacities necessary for reconstruction and development;

(h) recognising the aptitudes, abilities, interests, prior knowledge and experience of students;

(i) encouraging independent and critical thought;

(j) promoting a culture of respect for teaching and learning in education institutions;

(k) promoting enquiry, research and the advancement of knowledge;

(l) enhancing the quality of education and educational innovation through systematic research and development on education, monitoring and evaluating education provision and performance, and training educators and education managers;

(m) ensuring broad public participation in the development of education policy and the representation of stakeholders in the governance of all aspects of the education system;

(n) achieving the cost-effective use of education resources and sustainable implementation of education services;

(o) achieving close co-operation between the national and provincial governments on matters relating to education, including the development of capacity in the departments of education, and the effective management of the national education system.

Objectives of the national education policy is to protect the fundamental human rights of individuals enshrined in the Constitution. These rights, amongst others, include: no discrimination; equal access to educational institutions; learners be taught in their preferred language; and freedom to choose an educational institution. All learners must also benefit from opportunities that are created by the implementation of outcomes-based education policy.

Other objectives of the national education policy are: development of the individual in full; provision of equal educational opportunities to develop the individual's potential optimally; to encourage lifelong education; equip individuals with knowledge and skills to contribute to the reconstruction and development of South Africa; and to cultivate a

culture of respect for teaching and learning in educational institutions. These democratic education objectives may be realised through the implementation of out-comes-based education policy which major aim is to improve the quality of education.

Research plays a prominent role in any educational system. In fact, the need is more acute when it involves the re-engineering of the entire education system countrywide. For change to be effective, it is crucial to ensure broad public participation in educational policy development, implementation, and monitoring and evaluation. This will contribute to achieving cost-effective use of educational resources. As the implementation of outcomes-based education policy is throughout the country, it is essential to achieve co-operation between and amongst the national and provincial departments of education. Thus, the objectives of the national education policy will contribute to the successful implementation of outcomes-based education policy.

2.8.2 Policy preparation requirements

Section 5 of Act 27 of 1996 provides that the policy must be determined by the Minister after consultation with appropriate consultative bodies established for that purpose in terms of any applicable law. There must be consultation with –

(a)   the Council [of Education Ministers(consisting of the Minister of Education, the Deputy Minister of Education and every provincial political head of education)];
(b)   such national organisations representing college rectors as the Minister may recognise for this purpose;
(c)   the organised teaching profession;
(d)   such national organisations representing parents as the Minister may recognise for this purpose;
(e)   such national organisations representing students as the Minister may recognise for this purpose;
(f)   such other national stakeholder bodies as the Minister may recognise for this purpose.

The policy shall be determined by the Minister with the concurrence of the Minister of Finance in so far as it involves expenditure from the State Revenue Fund. However, nothing shall limit the discretion of the Minister to consult whomsoever he or she

wishes for advise on the determination of national education policy, but section 6 of the Act provides that legislation on a matter referred to in section 3 shall be introduced in Parliament or, in the case of regulations, be published in the *Government Gazette* only after consultation with the Minister of Education and –

(a) the Council [of Education Ministers], in respect of education at education institutions; and

(b) all the parties in the Education Labour Relations Council established by section 6 of the *Education Labour Relations Act*, 1993 (Act 146 of 1993), in respect of any matter falling within the objectives of that Act.

Section 7 of Act 27 of 1996 provides that the Minister shall within 21 days after determining policy in terms of section 3 –

(a) give notice of such determination in the Gazette and indicate in such notice where the policy instrument issued with regard thereto may be obtained;

(b) table the policy instrument referred to in paragraph (a) in Parliament within 21 days after the notice has appeared in the Gazette, if Parliament is then in ordinary session, or, if Parliament is not in ordinary session, within 21 days after the commencement of the first ensuing ordinary session of Parliament.

Thus, it could be deduced that the Minister of Education has to consult broadly established national educational bodies with regard to the implementation of outcomes-based education policy. Educational bodies that the Minister is legally bound to consult on policy issues are: the Council of Education Ministers; national organisations representing college rectors; parents; students; stakeholder bodies; and parties in the Education Labour Relations Council. It is imperative for the Minister to consult these bodies because they are all involved in the implementation of outcomes-based education policy.

Apart from consulting established national educational bodies, the Act provides that the Minister shall determine the policy instrument and table it in Parliament. Hence, the determination and implementation of outcomes-based education policy was approved

by the Minister. As the Act provides, outcomes-based education policy was tabled in Parliament and approved.

2.8.3 Monitoring and evaluation of education

It is essential to determine whether a public policy is doing what it is supposed to do. To this end monitoring and evaluation are necessary policy processes to be implemented. Hence, the need to monitor and evaluate outcomes-based education policy.

Section 8 of Act 27 of 1996 provides that –

(1) The Minister shall direct that the standards of education provision, delivery and performance throughout the Republic be monitored and evaluated by the Department annually or at other specified intervals, with the object of assessing progress in complying with the provisions of the Constitution and with national education policy, particularly as determined in terms of section 3(3).

(2) Each directive issued in terms of subsection (l) shall comply with the provisions of any law establishing a national qualifications framework, and shall be formulated after consultation with the bodies referred to in section 5(l).

(3) The Department shall undertake the monitoring and evaluation contemplated in subsection (1) by analysis of data gathered by means of education management information systems, or by other suitable means, in co-operation with provincial departments of education.

(4) The Department shall fulfill its responsibilities in terms of subsections (1) to (3) in a reasonable manner, with a view to enhancing professional capacities in monitoring and evaluation throughout the national education system, and assisting the competent authorities by all practical means within the limits of available public resources to raise the standards of education provision and performance.

(5) The Department shall prepare and publish a report on the results of each investigation undertaken in terms of subsection (3) after providing an opportunity for the competent authority concerned to comment, which comment shall be published with the report.

(6) If a report prepared in terms of subsection (5) indicates that the standards of education provision, delivery and performance in a province do not comply with the Constitution or with the policy determined in terms of section 3(3), the Minister shall inform the provincial political head of education concerned and require the submission within 90 days of a plan to remedy the situation.

(7) A plan required by the Minister in terms of subsection (6) shall be prepared by the provincial education department concerned in consultation with the Department, and the Minister shall table the plan in Parliament with his or her comments within 21 days of receipt, if Parliament is then in ordinary session, or, if Parliament is not in ordinary session, within 21 days after the commencement of the first ensuing ordinary session of Parliament.

It is obvious from the legislation that the Minister is responsible for ensuring that the provision, delivery and performance in the Department of Education as well as provincial departments of education adhere to prescribed standards of monitoring and evaluation. Provincial departments of education as delivery sites of education should be consulted in determining and implementing standards of monitoring and evaluation. The aim is to empower provinces to perform monitoring and evaluation of approved education policies. Hence, it is essential that the implementation of outcomes-based education policy be monitored and evaluated, and reports be prepared and published. In the event that anomalies are detected, remedial measures must be formulated and applied. This will ensure successful implementation of outcomes-based education policy.

2.8.4 Council of Education Ministers

Section 9 of Act 27 of 1996 provides that the Council of Education Ministers, consisting of –

    (a)   the Minister, who shall be the chairperson;

    (b)   the Deputy Minister of Education, if such Deputy Minister is appointed, who in the absence of the Minister shall be designated by the Minister as chairperson; and

    (c)   every provincial political head of education.

The Director-General of the national Department of Education must attend meetings of the Council in order to report on proceedings, and to advise on any other matter relating to the responsibilities of the Department. The chairpersons of the Portfolio Committee on Education in the National Assembly and the Select Committee on Education in the Senate may attend meetings of the Council.

The purposes and functions of the Council are prescribed by sub-section 9(4) of Act 27 of 1996, as follows –

    (a)   promote a national education policy which takes full account of the policies of the government, the principles contained in section 4, the education interests and

       needs of the provinces, and the respective competence of Parliament and the provincial legislatures in terms of section 126 of the Constitution;

(b)   share information and views on all aspects of education in the Republic; and

(c)   co-ordinate action on matters of mutual interest to the national and provincial governments.

The Council may make rules for the convening of its meetings, the frequency of its meetings, the procedure at its meetings, including the quorum for its meetings, and any other matter it may deem necessary or expedient for the proper performance of its functions or the exercise of its powers.

Thus, it is obvious that the Minister shall hold meetings with the Council of Education Ministers because they are responsible for all matters educational at the provinces. This will ensure that education policy adopted will be uniformly applied throughout the country. Therefore, the Council of Education Ministers is an essential body that will facilitate the successful implementation of outcomes-based education policy.

2.8.5 Heads of Education Departments Committee

Section 10(1) of Act 27 of 1996 provides for the Heads of Education Departments Committee consisting of –

(a)   the Director-General, who shall be the chairperson;

(b)   the Deputy Directors-General of the Department; and

(c)   the heads of the provincial education departments.

Sub-section 10(2) provides for the functions of the Committee as follows –

(a)   facilitate the development of a national education system in accordance with the objectives and principles provided for in this Act;

(b)   share information and views on national education;

(c)   co-ordinate administrative action on matters of mutual interest to the education departments; and

(d)   advise the Department on any matter contemplated in sections 3, 4, 5, 6, 7, 8 and 11 in respect of education, or on any other matter relating to the proper functioning of the national education system.

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Sub-section 10(3) provides that the Committee may establish subcommittees to assist it in the performance of its functions, and –

    (a)   may appoint persons who are not members of the Committee to be members of a subcommittee: Provided that the organised teaching profession shall be invited to nominate representatives as members of each subcommittee;

    (b)   designate the chairperson of a subcommittee or direct that the chairperson be appointed by the subcommittee from among its members.

Subsection 10(4) provides that –

    (a)   meetings of the Committee shall be held at such times and places as the chairperson of the Committee may determine;

    (b)   the proceedings of the Committee shall not be invalid merely by virtue of the fact that there is a vacancy in the Committee; and

    (c)   if the chairperson of the Committee is absent from a meeting of the Committee, one of the Deputy Directors-General designated for this purpose by the chairperson shall take the chair at that meeting.

Subsection 10(5) provides that the Committee may draw up rules regarding the procedure at its meetings, including the quorum for its meetings, and any other matter it may deem necessary or expedient for the proper performance of its functions or the exercise of its powers: Provided that not less than four meetings per year shall be held.

The Heads of Education Departments Committee is a co-ordinating mechanism. Its functions and powers are prescribed by the Act. As such it is endowed with the authority to perform its functions and to demand that it is consulted.

2.8.6 Consultative bodies

In a democratic state it is imperative to consult statutory bodies on public policy matters. For this to happen, consultative bodies must be established to give advice in areas of their responsibility. As these bodies are constituted by representatives from all interested parties, they contribute to public policy formulation, implementation,

monitoring and evaluation.

Section 11 of Act 27 of 1996 provides as follows:

(1)   The Minister may, subject to any applicable law, by regulation establish such bodies as may be necessary to advise him or her on matters contemplated in section 3: Provided that the Minister shall establish-

    (a)   a body to be known as the National Education and Training Council, whose membership shall reflect the main national stakeholders in the national education system, 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;

    (b)   such other bodies as may be necessary to represent the interests of particular sectors of the education system.

(2)   The composition, qualifications for membership, duties, powers and functions of a body established in terms of subsection (1), and the term of office of its members, shall be as prescribed by regulation: Provided that the bodies referred to in section 5(1)(c), shall be invited to nominate representatives to any such consultative body within their respective spheres of interest.

(3)   Different regulations may be made in respect of different bodies established under subsection (1).

Section 12 of Act 27 of 1996 provides for allowances and remuneration of members of subcommittees and consultative bodies.

[Every] member of a subcommittee or a consultative body, who is not in the full-time employment of the State may, in respect of the services rendered by that member in connection with the affairs of the subcommittee or consultative body, from money appropriated for that purpose by Parliament, be paid such travelling and subsistence and other allowances, as the Minister, with the concurrence of the Minister of Finance, may determine.

Section 13 of Act 27 of 1996 provides for administrative functions of the Council, Committee, and consultative bodies as follows:

(1)   The administrative functions of the Council, Committee and each consultative body shall be performed by officials of the Department [of Education] who are designated by the Director-General for that purpose.

(2)   The Director-General shall in respect of the Council, Committee and each consultative body designate a Secretary under whose direction the other officials shall perform their functions.

Consultative bodies by nature and character are made up of interested stakeholders as well as experts in the relevant area of study. Such an arrangement facilitates public participation, which leads to ownership, in public policy implementation. Thus consultative bodies are instrumental to the implementation of outcomes-based education policy.

2.8.7   Implementation policies

The Republic of South Africa consists of nine provinces, namely, Eastern Cape, Free State, Gauteng, KwaZulu-Natal, Mpumalanga, Northern Cape, Limpopo, North West and Western Cape. Section 104 of the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), prescribes the legislative authority of the provinces. One of the *Functional Areas of Concurrent National and Provincial Legislative Competence* (listed in Schedule 4 of Act 108 of 1996), is, as quoted before, "Education at all levels, excluding tertiary education". However, as described in the preceding sections of this chapter the provinces will be principal providers of education subject to the directives of Parliament and the relevant state departments.

In terms of the provisions of the Constitution the national Department of Education published the *Revised National Curriculum Statement Grades R-9 (Schools)* as *Government Gazette* (23 406, Vol. 443, May 2002). The *Statement* is in fact published as *nine* separate documents, namely, an *Overview* and "Eight Learning Area Statements" (Languages, Mathematics, Natural Sciences, Technology, Social Sciences, Arts and Culture, Life Orientation, Economic and Management Sciences).

In the first paragraph of the Preface of the *Overview* the Minister of Education explains that "The development of a national curriculum is a major challenge for any nation". Nevertheless, the Revised National Curriculum could be regarded as an *overall (national) fundamental policy* for the application of outcomes-based education for the Republic of South Africa. The policies of the provinces would be subordinate to the

national policies. In the *Review* (p. 10) it is explained that *Outcomes-based Education* regards the *process* of learning as important as the *content* of education. Therefore both the process and the content of education are emphasised by spelling out the outcomes to be achieved at the end of the process.

2.8.8 Outcomes of outcomes-based education

The *critical outcomes* are proclaimed to be the ability to –

❖ identify and solve problems and make decisions using critical and creative thinking;
❖ work effectively with others as members of a team, group, organisation and community;
❖ organise and manage themselves and their activities responsibly and effectively;
❖ collect, analyse, organise and critically evaluate information;
❖ communicate effectively using visual, symbolic and/or language skills in various modes;
❖ use science and technology effectively and critically showing responsibility towards the environment and the health of others;
❖ demonstrate an understanding of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation (Department of Education, 2001:17).

The *developmental outcomes* should be learners who are able to –

❖ reflect on and explore a variety of strategies to learn more effectively;
❖ participate as responsible citizens in the life of local, national, and global communities;
❖ be culturally and aesthetically sensitive across a range of social contexts;
❖ explore education and career opportunities;
❖ develop entrepreneurial opportunities (Department of Education, 2001:17).

For the realisation of its objectives the *Revised National Curriculum Statement* attempts to bring about a democratic vision of the society to be realised by citizens who emerge from the school system.

With the *Learning Area Statements*, the Revised National Curriculum Statement identifies the goals, expectations and outcomes to be achieved with related learning outcomes and assessment standards. The learning outcomes for each *Learning Area* are explained along with assessment standards which should emphasise participatory, learning-centred and activity-based education. Outcomes-based education should stimulate the minds of young people to participate fully in economic and social life. Thereby the learners should be able to develop and achieve to their maximum ability and to practise lifelong learning.

Outcomes-based education aims at the development of a high level of knowledge and skills for all.

2.8.9 Monitoring directives

Section 8 of Act 27 of 1996 provides that the Minister of Education shall direct that the standards of education provision, delivery and performance throughout the Republic of South Africa be monitored and evaluated annually or other specified intervals to assess whether the provisions of the Constitution Act 108 of 1996 and the national education policy are being observed. The results of the monitoring activities must be published. Where necessary the provincial authorities must be directed to take remedial activities.

2.8.10 Outcomes-based education: South Africa's choice

(a) *Status of outcomes-based education in South Africa*

Pursuant to the objective of introducing a system of education based on democratic principles to meet the needs of the Republic of South Africa, it was decided to introduce outcomes-based education. This decision necessitated that debates on outcomes-based education and training should be held throughout the country. All compulsory teaching and learning, from Grade 1 to Grade 9, should be outcomes-based by the year 2003. Unfortunately, not all the required processes had been put in place to implement as planned this paradigm shift in education and training. However, a number of structures, guidelines and criteria had been formulated to pave the way for implementation. In this regard nine identifiable steps had been constructed in an attempt to introduce outcomes-based education in South Africa (Malan, 1997:18).

The first step was taken in 1995 by the government. A task team was appointed by the Minister of Education to write a discussion document on the development and implementation of a national qualifications framework. The task team produced the document *Lifelong Learning Through a National Qualifications Framework* in 1996. One of the major recommendations of the task team was that the South African Qualifications Authority (SAQA) had to be appointed. Its appointment took place in March 1997. This body's composition was made up of the major stakeholders in education and training. SAQA's main brief was to develop and maintain a national qualifications framework for South Africa (Louw & Du Toit, 2000:14).

The second step is made up of the first set of tasks for SAQA. First and foremost SAQA had to develop critical cross-field outcomes. According to SAQA (1995:6) these outcomes had to be more suitable to meet the needs of the country. Consequently the outcomes had to direct teaching and learning in all the grades and in all subjects or courses. According to SAQA (in Malan, 1997), the critical cross-field outcomes had to be related to the learner's ability to –

- ❖ identify and solve problems through critical and creative thinking;

- ❖ teamwork by individuals, groups, organisations and communities;

- ❖ develop and maintain self-discipline;

- ❖ collect, analyse, organise and critically evaluate information;

- ❖ communicate effectively, orally and in writing;

- ❖ make use of knowledge gained from science and technology in order to improve the environment and to promote health of fellow-citizens; and

- ❖ to demonstrate an understanding that nature is made up of interrelated and inter-twined systems.

Apart from the afore-mentioned envisaged competencies which learners must demonstrate, SAQA recommended that all programmes of learning as well as all teaching and learning practices must have identifiable distinguishing features which make learners aware of the importance of:

- ❖ exploring and thinking more effectively about different techniques of learning;

- ❖ participation as responsible and accountable citizens nationally and internationally;

- ❖ being conscious of culture and appreciative of a wide range of social contexts; and

- ❖ education and training and utilizing career and entrepreneurial opportunities that emanate therefrom (Louw & Du Toit, 2000:15).

The third step is focusing on the identification of fields of learning. In the case of school learning and teaching the fields became known as areas of learning. It is from these areas of learning that the necessary knowledge, skills and attitudes had to be acquired by the learners. In the General Education and Training Band of the National Qualifications Framework (NQF), eight areas of learning are identified (Republic of South Africa, 1998:6).

The eight areas of learning should constitute the core of the General Education and Training Band. Learners in this Band had to acquire the knowledge, skills and attitudes necessary to achieve the prescribed outcomes (Malan, 1997:19).

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Fields of learning could differ from band to band. For instance, in the Higher Education and Training Band subject disciplines and or career fields would be used to contextualise outcomes. Modules which integrate theory and practice in education and training are more suitable as vehicles of teaching and learning in the Further Education and Training Band (Musker, 1997:81).

The fourth step concerns the identification and formulation of specific outcomes for each learning area. Specific outcomes serve to describe demonstrable knowledge, skills and attitudes displayed by learners during assessment.   Hereafter follows some examples of specific outcomes for different areas of learning.

Areas of learning	Specific Outcomes
Language, Literacy and Communication	Learners must show a critical awareness of language usage.
Human and Social Sciences	Learners must demonstrate a critical understanding of how South Africa Society has changed and developed.
Technology	Learners must apply a range of technological knowledge and skills ethically and responsibly.
Mathematical Literacy, Mathematics and Mathematical Sciences	Learners must use mathematical language to communicate mathematical ideas, concepts, generalisations and thought processes.
Natural Sciences	Learners must be able to apply scientific knowledge and skills in innovative ways.
Arts and Culture	Learners must reflect on and engage critically with arts experience and works.
Economic and Management Sciences	Learners must demonstrate managerial expertise and administrative proficiency.
Life Orientation	Learners must understand and accept themselves as unique and worthwhile human beings.

(Malan, 1997:20)

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The fifth step involves the formulation of assessment criteria, range statements and application of performance indicators. The components of this step need explanation. Firstly, assessment criteria must indicate in general terms the observable processes and products which demonstrate learners' achievements. Secondly, range statement relate to the scope and level of complexity expected from learners at different stages of learning and teaching. These statements serve as motivations or explain assessment criteria used in evaluation of learners. Thirdly, and lastly, performance indicators should provide detailed information with respect to the matters which will show that a learner has acquired skills, knowledge and attitudes that will declare him/ her to be competent.   In other words, performance indicators serve to ascertain whether a learner has acquired enough skills, knowledge and values to enable him/her to move from one NQF level to another (Musker, 1997:82).

Step six requires curriculum developers at all three spheres of government to develop learning programmes or syllabi. These learning programmes will be focused on specific outcomes and will thus be critical outcomes. In addition, the learning programmes will be underpinned by the intentions identified by SAQA (Malan, 1997:22).

Steps seven to nine take place at the institutional and classroom level. Educators for-mulate their own lesson objectives and draw up their own institutional programmes and lesson plans. Educators have to assess learners to find out whether they have attained stated learning outcomes or not. In order to make sure that there is uniformity with respect to learning programmes and the provision of learning at institutional level, SAQA appoints quality assurance bodies. The main responsibility of these bodies is to monitor teaching and learning and to conduct and supervise assessment at places of teaching and learning (Malan, 1997:22).

After ascertaining the status of outcomes-based education in South Africa, it is necessary to describe the provisions of the *South African Qualifications Authority Act*, 1995 (Act 58 of 1995). This Act serves as the legal framework within which outcomes-based education must function.

(b) *South African Qualifications Authority Act, 1995 (Act 58 of 1995)*

The major purpose of the South African Qualifications Authority is to provide for the development and implementation of a National Qualification Framework (NQF). Before explaining the establishment of SAQA, it is necessary to know why the NQF was developed.

(i)   *Establishing the National Qualifications Framework*

In order to come to understand the National Qualifications Framework and its con-comitant objectives, clarification of the concept qualifications framework is crucial.

In general, the term *framework* is commonly used to describe conceptual frames of reference. In the context of education and training, the qualifications framework refers to the requirements for obtaining qualifications with outlined procedures and stipulated rules for assessment.   In addition, the framework may include descriptions of standards, course credits and course offerings.   It could also prescribe learning pathways and indicate learning providers (Musker, 1997:85).

Briefly the aim of a national qualifications framework is to provide standardisation and resultant portability of credits and qualifications. Standardisation, on which national qualifications frameworks are based, is premised on the notion that standards should be nationally prescribed. Be that as it may, the means used to achieve the standards could be determined locally, regionally or institutionally. In practice, the national qualifications authority would prescribe the learning outcomes, while the education provider would decide on how to enable the learners to attain the standards (Republic of South Africa, 1997:39).

There is no universal qualifications framework and each country will have to devise its own with appropriate distinguishing features. In this respect it should be borne in mind

that the main aim of a qualifications framework is to standardise qualifications described in terms of unit standards, arranged in a logical, step-by-step sequence of complexity of the competences described.

South Africa, like many other countries, adopted a national qualifications framework and an outcomes-based education system to effect transformation. Consequently the government established the South African Qualifications Authority (SAQA) to ensure effective change in education through the National Qualifications Framework (NQF) (Republic of South Africa, 1997:5). The structure of the NQF is explained in Table 2.1.

TABLE 2.1: THE STRUCTURE OF THE NATIONAL QUALIFICATIONS FRAME-WORK

NQF Level	Band	Types of Qualifications and Certificates	Locations of Learning for Units and Qualifications		
8	Higher Education and Training Band	Doctorates Further research degrees	Tertiary/Research/Professional institutions		
7		Higher degrees Professional qualifications	Tertiary/Research/Professional institutions		
6		First degrees Higher diplomas	Universities/Technikons/Colleges/ Private institutions/Professional institutions		
5		Diplomas Occupational certificates	Universities/Technikons/Colleges/ Private institutions/Professional institutions/Workplace, etc.		
4	**Further Education and Training Certificate**				
3	Further Education and Training Band	School/College/Trade certificates Mix of units from all	Formal high schools (private & state schools)	Technical/ Community/ Police/ Nursing/ Private colleges	RDP & labour market schemes/ Industry training boards/ Unions/ Workplace, etc.
2		School/College/Trade certificates Mix of units from all			
1	**General Education and Training Certificate**				
	General Education and Training Band	Grade 9/Std 7 ABET Level 4 (10 years)	Formal schools (urban/rural/ farm/special schools)	Occupational/ Work-based training/ RDP/ Labour market schemes/ Upliftment programmes/ Community programmes	NGOs/ Churches/ Night schools/ ABET programmes/ Private providers/ Industry training boards/ Union/ Workplace, etc.
		Grade 7/Std 5 ABET Level 3 (8 years)			
		Grade 5/Std 3 ABET Level 2 (6 years)			
		Grade 3/Std 1 ABET Level 1 (3 years)			
		1 Year Reception			

(Source: Malan, 1997:5-6)

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The implementation of the National Qualifications Framework boils down to the creation of a data bank which is kept up to date by the South African Qualifications Authority. Information with respect to the requirements for national qualifications at any level of the NQF is stored in this data bank. According to Gawe (1999:23), information in the data bank could include –

❖ lists of subjects, modules, topics or courses which can be offered to obtain a specific qualification;

❖ rules regulating combination of subjects required for specific qualifications;

❖ learning outcomes to be met before a specific qualification can be awarded;

❖ descriptions of types of assessment to determine proficiency;

❖ descriptions of criteria with respect to performance and assessment which must be satisfied by the learners at all NQF levels for qualifications to be validated by SAQA.

Descriptions of criteria which must be satisfied before a qualification can be awarded are both specific and flexible. On satisfying a specific learning outcome or group of learning outcomes, learners are given credits. This enables learners to accumulate credits from learning institutions as well as at the workplace. If learners have gathered sufficient credits, they may apply for a qualification at a specific NQF level. Learners also have the advantage of deciding for themselves where, when and what to study. On failing to obtain credits on qualifications, learners will be given the necessary support to succeed (Malan, 1997:7). Another major advantage of the NQF is that it enables learners to apply for assessment of the skills, knowledge and understandings they have gained in life without any formal education and training. If successful, learners will be awarded credits concomitant with their competence. This is what is referred to as recognition of prior learning (RPL) in NQF terminology (Gawe, 1999:22-23).

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Lastly, it is necessary to summarise the objectives of the National Qualifications Framework, which are to –

❖ create an integrated national framework for learning achievements;

❖ facilitate access to, mobility and progression within the education system and career paths;

❖ improve the standard of teaching and learning;

❖ address problems created by the old system of education and employability of learners on completion; and

❖ contribute to the human resources development and economic development of the country (*South African Qualifications Authority Act*, Act 58 of 1995, 1995:2).

From the afore-mentioned description and explanation of the NQF, it is clear that there must be a body to administer it. Therefore, the South African Qualifications Authority has been charged with that responsibility as also referred to in paragraph 2.8.10(b)(i).

It could be stated that outcomes-based education policy is not applied in a vacuum. It operates within the context of the *South African Qualifications Authority Act*, 1995 (Act 58 of 1995), and other relevant legislation. Thus, this Act contributes to the implementation of outcomes-based education.

(ii)   *Establishment of the South African Qualifications Authority*

The South African Qualifications Authority was established as a juristic person by the *South African Qualifications Authority Act*, 1995 (Act 58 of 1995). In terms of this Act, the composition of SAQA is as follows:

❖ Chairperson

❖ Executive officer

❖ Persons recommended to the Minister and appointed by him/her as members:

☞ one nominated by the Director-General of Education;

☞ one nominated by provincial MECs;

☞ one nominated by the Director-General of Labour;

☞ one nominated by the National Training Board;

☞ one nominated by labour unions;

☞ two nominated by organised business;

☞ one nominated by the Committee of University Principals;

☞ one nominated by the Committee of Technikon Principals;

☞ one representing Rectors of Colleges of Education;

☞ one representing Rectors of Technical Colleges;

☞ one representing colleges other than colleges of education and technical colleges;

☞ one representing ABET (Adult Basic Education and Training);

☞ one representing the early childhood development sector;

☞ two nominated by teachers' unions;

☞ two nominated by lecturers and trainers;

☞ one member nominated by the special education needs sector;

☞ at most six members appointed by the Minister;

☞ at most two members co-opted by SAQA and appointed by the Minister.

Any institution without specific functions will be superfluous. This appears not to be the case with SAQA. It has well-defined functions in terms of section 5 of the *South African Qualifications Authority Act* , 1995 (Act 58 of 1995), which are dealt with below.

(iii) *Functions of the South African Qualifications Authority*

Section 5 of the *South African Qualifications Authority Act*, 1995 (Act 58 of 1995), empowers SAQA to perform the following functions –

- ❖ oversee the development of the National Qualifications Framework;

- ❖ formulate and publish policies and criteria for the registration of bodies responsible for establishing education and training standards or qualifications as well as accreditation of bodies responsible for monitoring and auditing achievements in terms of such standards or qualifications;

- ❖ be responsible for the implementation of the National Qualifications Framework, including the following tasks –

  - ☞ registration or accreditation of bodies responsible for establishing education and training standards or qualifications as well as bodies responsible for monitoring and auditing achievements in terms of such standards or qualifications;

  - ☞ registration of national standards and qualifications;

  - ☞ ensuring that affected bodies comply with accreditation provisions;

  - ☞ ensuring that standards and registered qualifications satisfy international standards;

  - ☞ advising the Minister of Education on matters affecting the registration of standards and qualifications;

  - ☞ control of and accounting for the finances of the Authority;

- ❖ the Authority is responsible for the achievement of the objectives of the National Qualifications Framework as well as the execution of the functions of the Authority.

The afore-mentioned functions are crucial for the Authority to fulfil its mandate. These functions are not only necessary, but are at the heart of the Authority. They serve as a means to achieve its stated objectives. Hence, the need to observe them and to improve them when necessary.

(iv) *Powers of the South African Qualifications Authority*

Section 7 of the *South African Qualifications Authority Act*, 1995 (Act 58 of 1995), empowers SAQA to –

❖ establish committees and appoint non-members of the Authority to these com-
mittees;

❖ appoint the chairperson of every committee it has established;

❖ dissolve or reconstitute a committee;

❖ delegate some of its powers but still be accountable to the Minister of Education. It
may also withdraw its delegated authority;

❖ accept, reject or amend the decision of its committees;

❖ resolve disputes relating to the performance of its functions;

❖ acquire assets or dispose of unwanted assets;

❖ initiate research to enhance the performance of its functions;

❖ perform any other function delegated to it by the Minister of Education (*South
African Qualifications Authority Act*, Act 58 of 1995, 1995:6 & 8).

A closer look at the *South African Qualifications Authority Act*, 1995 (Act 58 of 1995),
indicates the necessity of a legal framework within which education and training must
take place. Outcomes-based education is introduced, controlled and evaluated
according to the parameters set by the Act.

2.9   CONCLUSION

The chapter commences with motivation for the introduction of the outcomes-based
education policy. Prior to the introduction of Bantu Education, the quality of education
which was provided by the state and missionaries was of a high standard. Quality of
education offered to the blacks deteriorated subsequent to the introduction of the
Bantu Education policy.

In keeping with the democrating principles as enshrined in the Constitution, and the
demands of globalization, South Africa introduced the outcomes-based education policy.
 Definitions of outcomes-based education indicate a radical departure from the
traditional approach of teaching and learning. This led to the change of educators from

teaching to facilitating, and of learners from passive recipients of knowledge to researchers and independent thinkers. Compared to the traditional approach of teaching and learning, outcomes-based education has advantages making it relevant to the South African economic, technical and international needs.

Policy directives that govern the introduction and implementation of outcomes-based education are explained. All the policy directives encourage public participation in educational matters. As service delivery of education takes place at the provincial sphere of government, co-operation between the national and provincial departments of education is encouraged. Hence, uniform standards of monitoring and evaluation are applied throughout the country. This ensures that outcomes-based education policy is uniformly implemented in South Africa.

The next chapter deals with public policy and policy analysis. As the theme of the thesis is on implementation of outcomes-based education policy, it is prudent to explain public policy and policy analysis. To illustrate this statement, a description of public policy and policy analysis ensues.

CHAPTER 3

POLICY AND POLICY ANALYSIS

3.1   INTRODUCTION

Public policy affects the life of citizens in various and numerous ways. For instance, as Cochran *et al.* (1993:1) state that in public colleges and universities learners benefit directly from decisions of policy-makers who dictate whether or not to build and maintain their institutions and to subsidise their tuition. Not only learners who attend public institutions benefit, but also learners attending private colleges, schools, universities and universities of technology do benefit because they are eligible for state tuition loans. Apart from direct benefit by learners, institutions – both public and private – are equally affected, for example, by health and safety laws. Therefore, public policy affect each citizen in not just one way, but in many ways.

Policy analysis, according to Cochran *et al.* (1993:3) is principally concerned with describing and investigating how and why specific policies are proposed, adopted and implemented. Its main focus is on explanation rather than prescription, on searching scientifically for the causes and consequences of policies, and on general explanatory propositions.

3.2   POLICY AND PUBLIC POLICY DEFINED

There is no single definition of policy which is universally accepted. Academic authorities in the field of Public Administration have come up with different definitions. For example, Ranney (1968:7) defines policy as "... a declaration and implementation of intent". Hanekom (1987:7) describes a policy as follows: "... a policy statement is the making known, the formal articulation, the declaration of intent or the publication of a goal to be pursued. Policy is thus indicative of a goal, a specific purpose, a programme

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of action that has been decided upon. Public policy is therefore a formally articulated goal that the legislator intends pursuing with society or with a societal group". Peters (1993:4) defines public policy as the sum of government activities, whether they are undertaken officially or through agents to influence the lives of citizens. Bates and Eldredge (1980:12) define policy as "... a statement that provides a guide for decision-making by members of the organisation charged with the responsibility of operating the organisation as a system". According to Theodoulou and Cahn (1995:201) policy is what the government says and does about perceived public problems.

The aforementioned definition of Ranney implies that consensus has been reached as to what should be done for society. This agreed upon purpose is communicated to the public along with the intention of the measures required to be put into practice.

The statement of Hanekom would mean that government must put in writing its aim with a particular matter. Not only should the aim be stated, but the process or processes to be followed to achieve the stated objective should be clearly spelt out. The aim, which is usually revealed with a pronouncement by a governmental office-bearer, is to address an issue or issues that affect society as a whole or part thereof.

The definition of Peters requires that government should apply its mind to problems that plague society and formulate appropriate steps that will remedy the situation. The implementation of the remedial activities is either done by government itself or agents acting on behalf of government. Actions that are taken should aim at improving the living conditions of citizens.

The definition of Bates and Eldredge means that management of an institution is directed with written statements which will guide the running of the institution. In this context an institution that is run as a particular system may be a private company, a school, a town or a state. With guidelines an institution can be run orderly and

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systematically. The definition of Theodoulou and Cahn (1995:201) means that the whole *raison d' être* of government is seen as identification of public needs and providing appropriate action to alleviate, ameliorate and uplift the standard of living of its citizens. There could be more definitions of public policy. For example, Dunn (1981:46) sees it as a series of choices made by governmental bodies and officials. This implies that policy is more comprehensive than a decision. These definitions differ as the former emphasises public problems while the latter emphasises choices to be made to address problems.

Each of the definitions or approaches implies some aspect of policy. Each looks at policy from a different perspective and define it as such. Features that are described or implied by the definitions are –

❖ authorities are unanimous that something should be done for society;
❖ a policy should be communicated in writing;
❖ every policy is focused on a particular recurring societal problem or problems;
❖ a policy should spell out steps or processes to be followed for its implementation;
❖ a policy is implemented by either government or its agents;
❖ a policy serves as a guide to promote efficiency and effectiveness in governance; and
❖ a policy is the identification by government of a public need and a resolution to do something about it.

From the aforementioned a policy could be defined as a purposeful, intentional and goal-directed statement by a government or one or more of its institutions to attain one or more specific objectives. It could also indicate processes to be followed by all spheres of government through different departments and other state organs to successfully implement it. Its main purpose should be to improve the living conditions of the citizens. Another noteworthy feature of public policies is that they are educative

in nature. In this regard Landy (1993:19) states that policies constitute teaching, in that they instruct the public about the aims of government and the rights and responsibilities of citizens.

After explaining what public policy is, it is necessary to understand why it should be studied. Researchers and students study public policies because they are about issues and decisions that affect them as citizens. Over and above this, studying policy allows for an overview of the workings of the whole political system, including political institutions and the informal elements of the political and public opinion formation. Thus, the study of public policy allows one to view the entirety of the political system, including its output (Theodoulou & Cahn, 1995:2). Another important aspect of public policy is that it is a product of language usage – either written or oral. In both language forms of policy making, argument is central. Discussion goes on in any institution, public or private, and in any political system, even a dictatorship. Discussion and argument are the heartbeats of a democratic politicising and policy making. This is evident in public affairs where political parties, the electorate, the legislature, the executive, the courts, the news media, interest groups, and independent experts are all engaged in a continuous process of debate and reciprocal persuasion (Majone, 1989:1). With the aforementioned understanding of what policy and policy-making is, it is necessary to look at how policies come about.

3.3   POLICY FORMULATION

Policy-making is a system of activities performed to create a policy. As indicated in the definition of a policy, it is the statement of activities to be undertaken to address a public need or a dysfunctional situation. Thus policy-making is the identification of activities to be undertaken to solve a public problem. In this regard Peters (1993:53) states that government has to accept that identification of a public problem is essential for preparation of its agenda for policy-making. Thereafter it has to decide what is to

be done with each identified public problem. He further argues that this stage of policy-making could be called *policy formulation*, which is a mechanism devised by government to solve a public problem. During the policy formulation phase pertinent and acceptable proposed courses of action are developed to deal with a problem. Thus, it is decided what will be done to address the problem (Van Niekerk, Van der Waldt & Jonker, 2001:95).

In the policy formulation phase various alternatives to address the specific problem should be assessed in terms of their benefits, cost implications, and feasibility (Van Niekerk, Van der Walt & Jonker, 2001:95). Furthermore, Bouser, McGregor and Oster (1996:48) state that there are several alternative ways in which one can go about analysing policy options and making rational decisions. They are similar, but each uses peculiar keywords to describe its particular framework and detail. Policy formulation refers to the process followed which culminates in stating a policy, which is distinct from policy analysis, which refers to an activity undertaken to arrive at policy options that are feasible.

Policy formulation is necessary as it indicates how outcomes-based education policy is formulated. It also provides the actual wording of the policy.

The undermentioned matters require specific attention.

3.3.1 Establishment of the context

What is the issue? What is the environmental paradigm that is relevant to the issue? What categories of population are affected by the issue? What are the political interests involved? How does the issue fit into the cultural framework of our society? Are there conflicting goals, and if so, what are they? Are there current issue networks involved in the policy discussion? Who has primary control of action on the issue?

Does the problem have the possibility of an acceptable solution (Bouser, McGregor & Oster, 1996:48)? These questions are necessary as they provide the context of the outcomes-based education policy. In turn it deepens understanding of the purpose of the policy.

3.3.2 Formulation of the problem

Formulating a policy for a specific problem is critical. It deals with such questions as: What are the source and background of the underlying problem? What are the objectives to be accomplished? How can the problem be clarified and constrained? How can it be ensured that the problem has been differentiated from symptoms (Bouser, McGregor & Oster, 1996:48)? Formulation of policy to solve a specific problem indicates the nature of the problem. It also suggests ways and means of the possible solution of the problem.

3.3.3 Search for alternative solutions

The policy analyst needs to be careful to avoid starting with a preconceived idea of the preferred alternatives. It is necessary to consider a variety of factors when one begins the search for possible solutions to a public policy problem. Some of the questions that should be asked are: What further information is necessary to consider relevant alternatives? Is adequate data and other important information about the problem available (Bouser, McGregor & Oster, 1996:49)?

As the saying goes, there are many ways of killing a cat. The same applies to outcomes-based education policy. Hence, the need for a search for alternative solutions to the problem.

3.3.4 Setting the policy

To be effective policy analysis must not only find a proper course of action to obtain determined goals. The findings must be accepted and incorporated into a decision. This stage can involve a number of different levels of approval such as the minister in charge of a government department, the top official of the department or empowered subordinates (Bouser, McGregor & Oster, 1996:51). It is also necessary to describe how public policy is formulated. According to Theodoulou and Cahn (1995:86-87) the commonly agreed on stages of public policy formulation are as follows –

❖ Problem recognition and issue identification: This stage draws the attention of policy makers to a circumstance that could be an **issue** requiring governmental action.

❖ Agenda setting: If the issue is recognised to be a serious matter it requires agenda setting for further action.

❖ Policy formulation: Proposals are formulated for dealing with each issue.

❖ Policy adoption: Proposals are considered to select one to be the approved policy.

❖ Policy implementation: At this stage it must be decided what action should be taken by every sphere of government and even members of the public involved to give effect to the approved policy.

❖ Policy analysis and evaluation: This involves examining the implementation consequences of every policy to establish whether it will deliver envisaged results (Theodoulou & Cahn, 1995:86-87).

The stages of policy formulation are crucial as they contribute to comprehension of the public problem to be addressed. They also offer an opportunity to refine the policy and to prepare for its implementation.

3.3.5 Context of policy-making and implementation

The processes of policy-making and implementation cannot be divorced from the social and physical environments and the contexts within which they take place. It is crucial to understand how specific policies prevail over others. The overall context of contemporary public policy is governed by a number of contexts (Theodoulou & Cahn, 1995:91). The first context is history. The policy history for a specific issue could importantly limit new policy options because policy changes take place in a context provided by past policies. Environmental factors form the second context. From the environment come demands for policy action; namely, support for both the existing overall political system and its parts. However, there could also be proposals for amendments. Such proposals could limit action by the policy-makers. The environmental context is the composite of cultural, demographic, economic, social, and ideological factors. Common values and beliefs help to determine the demands made upon policy-makers. If such values and beliefs are commonly held, then greater public acceptance for policy retentions or amendments could be experienced by decision-makers. Public opinion lays the boundaries and direction of policy while the social system attunes policy-makers to the social forces that are salient in terms of both demands and support. Those who possess economic power through their control of economic resources also possess undeniable political power which raises their demands and support for policies to the level of priority. The institutional context, which involves both the formal governmental institutions and structural arrangements of the system, also affect the formulation and substance of public policies. Finally, the ideological conflict between liberals and conservatives over the nature of governmental action affects policy debates in all areas (Theodoulou & Cahn, 1995:91-92). A final context is the budgetary process, for no public policy can be implemented without spending public money (Theodoulou & Cahn, 1995:92).

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According to Peters (1993:53) a number of policy choices have to be considered by a policy analyst who will apply analytic techniques to justify one policy choice over others. Cloete (1998:139) concurs with this viewpoint where he states that a number of functions have to be performed in policy-making. These functions include identification of dysfunctional situations on which policies have to be made, investigation of matters requiring new policies or policy adaptations. The policy-making process could involve a number of role-players as well as institutions; for example, government functionaries, research institutions, commissions of enquiry, committees of legislatures, advisory institutions attached to legislatures, and executive institutions. Hanekom (1987:20) concurs with Cloete when he states that the initiative for public policy-making is undertaken by legislative institutions, public officials and interest groups, the Cabinet, selected committees, caucus of the ruling party and commissions of enquiry, political office-bearers and the ministers in charge of state departments. Ministers are important participants and initiators in the policy-making process. Public officials – because of their executive roles and expert knowledge – are also important role players in policy-making. Other significant participants in policy-making are the top and middle level public officials who act as advisors on policy, policy formulation, policy implementation and policy monitoring by comparing results with intentions.

It is essential for the members of the public interested in or affected by a proposed policy to participate in policy-making because the people are the major beneficiaries or sufferers of the end product. In this regard Ingram and Smith (1993:8) state that policy can have an important independent effect on political mobilisation and participation. From another perspective Ingram and Smith (1993:95) explain that government can, by design or unwittingly, use policy to trigger consciousness of public problems, create constituencies, and affect the behaviour and influence of individuals and groups. This authority wielded through policy may be helpful or damaging to democratic participation. The ability to mobilise support outside the public sector to influence government policy is of critical importance to citizen independence in a

democracy. This viewpoint is shared by Cloete (1998:139) when he writes that policy-making involves the interaction between the public and political executive office-bearers, legislatures and officials who have to perform the policy-making functions. Cloete and Wissink (2000:27) also reiterate the importance of participation and public choice in policy-making. In addition, they state that policy-making processes should incorporate opportunities to exercise choices and explore rational options. Public participation in policy-making is also in keeping with the democratic principles. Hence, policy-making should make it possible for public participation in all spheres of government

Public participation in policy-making may take place in different places and forms. In this regard Cloete (1998:139) states that the interaction may take place at meetings of the public and political office-bearers, meetings between representatives of interest groups and political office-bearers, public meetings and statements during elections, media campaigns, intimidation brought to bear by interest groups on political office-bearers, and institutionalised interaction for which advisory bodies have been created and attached to public institutions.

In essence public policy-making is a systematic and an orderly process. This nature of policy-making is clearly discernible in the functions involved in obtaining information. For instance, to present information with which the policy to be decided upon can be quantified or qualified. For example, information needed for policy-making to provide housing for the poor will include the exact needs of the poor and their abilities to make their own contributions (Cloete, 1998:139). Peters (1993:54) mentions other ways government may follow to solve public problems. For instance, the United States of America relied on regulation more than on ownership of business. In the case of social policy, the method used to address public problems has been social insurance and the use of cash transfer programmes rather than direct delivery of public services.

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Policy-making processes are not confined to only the public sector. They are also prevalent in the private sector. On account of the different natures of these sectors, their policy-making processes are bound to differ. Be that as it may, the aims of policy-making have the same objective That is, to provide clear guidelines on how to address a public problem and clear guidelines on how to run a private company profitably. Furthermore, Van Niekerk, Van der Waldt and Jonker (2001:90) state another distinguishing feature of a public policy from a private policy. Public policy differs from the policy of private sector institutions in the sense that it is authoritative. This means that public policy can be enforced on specific members of society, specific sections or society as a whole through instruments of coercion.

According to Bates and Eldredge (1980:201) policy formulation can originate from anywhere in an institution. In addition, policies have a high probability of coming into existence without the benefit of rational analysis. For instance, anyone in an institution may propose a policy. One of the primary criteria to test the need for a policy is that it should cover a recurring or repetitive condition. It must address a real need and guide action that will attain objectives. In addition, policy formulation is a costly matter.

Bates and Eldredge (1980:202) identify the following steps for policy formulation –

❖ A draft of a new or revised policy may originate from anywhere in the institution.

❖ The draft policy is evaluated by supervisory institutions and functionaries in relation to strategy, objectives and existing policies.

❖ To determine its applicability the draft policy should be discussed with the originator and other relevant functionaries.

❖ Thereafter the draft policy is routed to the appropriate superior for approval.

❖ If approved, the policy is incorporated in the policy manual; if rejected it is returned to the originator with the reasons for its rejection.

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Every undertaking should have a policy to rationalise its existence. However, established decisions could persist long after the reasons for their adoption and circumstances disappeared. This is known as an established tradition of an institution (Bates & Eldredge, 1980:202).

Policies may also originate as a result of an arbitrary pronouncement of an individual. This is known as policy by fiat. The major disadvantage of such a pronounced policy is that it may lead to frustration because subordinates could need to go to the source of a policy to obtain definition and clarification of its existence and purpose. In addition, it could be regarded as an imposition as no consultation took place; hence, lack of co-operativeness on the part of the subordinates. Be that as it may, if pronounced policies exist for any length of time, they tend to become tradition of an institution (Bates & Eldredge, 1980:203).

Groups of people within an institution who interact in completing given assignments develop internal policies that represent the expected patterns of behaviour within the group. These policies represent conduct norms that have to be observed by everyone. Group norms are not subjected to the rational policy formulation process. Nevertheless, they serve effectively as guides for action and decision-making. Group policies are fluid as they may be modified as the membership of the group change (Bates & Eldredge, 1980:203).

Since policies are formulated for different purposes and in different ways, they may be classified by types. Hence the description of types of policies.

3.4   TYPES OF POLICIES

Policies may be differentiated on the basis of their scope; for example, philosophical or operative. An example of a philosophical policy might be that area suppliers have to be

supported. An operative policy could specify that when two bids for the supply of services or goods to public institutions are not significantly different, the local bidder's offer should be accepted. Furthermore, policies may be classified as originated, developed or imposed. Originated policies are those that stem directly from strategy. They are formulated in anticipation of problems, and the results of planning. Developmental policies are results of encountering unexpected problems. Imposed policies are produced by pressure of groups external to the institution, such as governmental institutions (Bates & Eldredge, 1980:204).

According to Van Niekerk, Van der Waldt and Jonker (2001:91) public policies can be divided into three broad categories; namely, domestic or national, foreign and defence. In terms of domestic or national policy, one can further differentiate between regulatory, distributive and redistributive policies. Lowi (1993:15-16) explain these categories of policies as follows: distributive policies are those that are commonly considered pork barrel projects such as agricultural subsidies; regulatory policies are focused on the control of individual conduct by direct coercive techniques; while redistributive policies require politicians to redistribute resources from one group to another.

A second typology of policy is that of Murray Edelman (in Theodoulou & Cahn, 1995:7), who views policy as a provider of either tangible resources or assigning substantive power to the beneficiaries. It may also impose costs on those who may be adversely affected. Symbolic policies have little material impact on individuals and bring no real tangible advantages or disadvantages.

James Anderson (in Theodoulou & Cahn, 1995:7) argues that policies may be classified as either substantive or procedural. Substantive policies state what government intends to do (actual plans of action), and they state objectives according to advantages and disadvantages, costs and benefits. In contrast, procedural policies

indicate how something will be done or who will do it. A further way of classifying policies is to ask whether a policy provides collective goods or private goods. Collective policy may be viewed as providing indivisible goods, in that if they are given to one individual or group, they must be provided to all individuals or groups. In contrast, private policy may be seen as including divisible goods. Such goods are broken into units and charged for on an individual beneficiary basis.

Because of the political nature of public policy-making, such policies may be classified as either liberal or conservative. Liberal policies seek government intervention to bring about social change, while conservative policies oppose such intervention.

A third way of defining policy is rooted in the assumption that political behaviour is goal-oriented or purposive. Policy hence means a statement of actions calculated to achieve stated goals or purposes (Salisbury, 1995:34).

Turton and Bernhardt (1998:3) distinguish two approaches to policy-making. One is called the rational approach and the other is called the incremental approach. The former approach prescribes procedures for decision-making that would lead to the selection of the most efficient means of achieving policy goals. This approach hinges on the premise that decision-makers will gather all relevant information on the public issue under consideration. Thereafter they will consider all possible solutions available and select the best alternative based on a calculation of potential benefits versus dis-advantages. This approach has two major shortcomings. The first shortcoming is that there are limits to the ability of decision-makers to comprehend alternatives and cal-culate their cost/benefit ratios. The second weakness of this approach is that decisions are made against the background of uncertainty and incomplete information availability.

Ingram and Smith (1993:9) concur with Turton and Bernhardt (1998:3) stating that policy-makers start with the previous year's budget or package of programmes and

then incrementally adjust it upward, with little effort to fundamentally re-evaluate policy priorities. In this sense, previous policies shape the politics of government pro-grammes. In addition Schulman (1995:128) describes incrementalism as a decision model which asserts the propensity of institutions to move in small steps because of disagreement on primary values and policy objectives, and the difficulty of gathering and processing information on which to evaluate a wide range of policy options. Hence, policy-makers arrive at their decisions by assessing with limited comparisons those policies that differ in relatively small degree from policies presently in effect. That is, the strategy of incrementalism is one of continual policy readjustments in pursuit of marginally redefined policy goals.

Criticism levelled against the weakness of the rational approach led to the development of an alternative model which was premised on the assumption of incrementality. Thus it was called the incremental approach. This approach portrays policy-making as a poli-tical process which is characterised by bargaining and compromise amongst decision-makers. In the main the rational approach is driven by self-interest of decision-makers. The rational approach advocates that development of policies is a process of making successive limited comparisons with previous familiar decisions on a step-by-step and in small degrees manner. Hence, decisions arrived at following this approach are marginally different from the existing (Turton & Bernhardt, 1998:3).

The aforementioned types of policies serve various significant aspects of community life. In this regard Ingram and Schneider (1993:69) maintain that different types of policies attract different patterns of political participation. Seen from another per-spective, Weiss (1993:99) consider policies as tools that move society in the direction of desired objectives. For instance, which tool will achieve the most progress toward the objective? Which tool will be least expensive? Which tool can be implemented most reliably? Which tools are compatible with the ideology of powerful political leaders, can attract the requisite support among elected officials to be adopted in the political

process, or will master enthusiastic support from the personnel of the government agencies who will administer the resulting policies? Answers to these questions could enable policy-makers to envisage the effectiveness, efficiency and relevance of policies to address public problems.

Types of policies give guidance on where to place outcomes-based education policy. It also contributes to the nature of their problem or issue to be addressed.

3.5   ROLEPLAYERS AND FACTORS IN POLICY FORMULATION

On account of the fact that policies affect the whole spectrum of the community, people from different walks of life should and could contribute to policy formulation. This state of affairs requires that policy formulation should take care of the needs and aspirations of different categories of people. For instance, farmers, sportsmen and sportswomen, religious groups and academics have different interests and aspirations regarding different kinds of policies. Therefore they could request that policies be viewed from different angles to cater for the needs of all.

Many individuals and groups take part in policy formulation. Some are more important participants in this respect than others. Policy formulation is by nature a political activity. Hence, politicians play both leading and prominent roles in policy formulation. On the negative side, politicians are not as good at formulating solutions to public problems as they are at identifying problems and presenting lofty ambitions for society to solve the problems. Expertise is essential in policy formulation as the success or lack of success of a policy depends to some degree on its technical characteristics, as well as its political acceptability (Peters, 1993:54).

According to Cloete (1998:113-137) and Peters (1993:54-58) the following institutions and factors influence policy formulation –

❖ Public bureaucracy

❖ Think tanks

❖ Interest groups

❖ Members of legislative bodies

❖ Circumstances or the environment

❖ Needs and expectations of the population

❖ Political parties.

3.5.1 The public bureaucracy

Peters (1993:54) states that the public bureaucracy (i.e. appointed officials) is responsible for translating lofty aspirations of political leaders into attainable concrete proposals. That is, governmental bureaucracies are central to policy formulation. Cloete (1998:136) states that political executive office-bearers are well placed to influence the policies of the institutions entrusted to them. These office-bearers have at their disposal expert officials to advise them. In addition, these office-bearers are leaders in the legislative institutions which have a final say in policy matters.

When the role of officials in policy-making is considered it should be borne in mind that bureaucracies are masters of routine and procedure, which are both strengths and weaknesses. On the positive side, government bureaucracies know how to use procedures and how to develop programmes and procedures to achieve goals. On the negative side, knowledge of routine and procedure have a tendency to stifle creativity (Peters, 1993:55).

Government has developed formulas for responding to public issues. Over and above that, there are agencies that are responsible for policy formulation (Peters, 1993:55). Cloete (1998:136) also indicates the role played by research institutions on policy formulation. However, he cites one of these institutions' weakness as placing their own

wills, wishes and aspirations above those of the legislatures or the elected represen-
tatives. That is, these institutions could acquire a position of power and ignore the
actual needs of citizens. This unfortunate state of affairs occurs because the legis-
latures and the executive officer-bearers delegate their responsibilities due to the fact
that they do not have sufficient time and requisite knowledge of policy matters. Be that
as it may, the administrative executive institutions by and large take the initiative in
drafting legislation, with the aim of adapting their activities to meet new circumstances.

Peters (1993:55) states that an increasing number of the federal government em-
ployees have professional qualifications. With their expertise government bureaucrats
help agencies to formulate more effective solutions to public problems. Professional
training tends to be more focused and narrows the scope of expertise. Hence, a
concentration of professionals in an agency will tend to produce only incremental
departures from existing policies. Moreover, public management itself is becoming
more professionalised. Consequently, the major reference group for public managers
will be other public managers. Unfortunately, this will narrow the range of bureaucratic
responses to matters needing policy adaptations.

Cloete (1998:137) identifies the contribution made by government officials to policy
formulation. He agrees with Peters (1993:55) that some officials are experts in their
work. He further states that these officials are well positioned to notice weaknesses in
either the public policy or in the implementation thereof. They will then bring their dis-
coveries to the attention of their supervisors so that omissions or discrepancies can be
rectified.

In the public policy formulation process there are institutional as well as non-
institutional actors. This is confirmed by Ripley and Franklin as quoted by Theodoulou
and Cahn (1995:201) stating that policy is what the government says and does about
perceived problems. They argue that policy-making is how the government decides

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what will be done about perceived problems. That is, policy-making is a process of interaction among governmental and non-governmental actors. Therefore, policies are formulated by government officers as well as by people who are not employed by government. In this regard, Majone (1989:9) states that citizens, legislators, administrators, judges, experts, and the media – all contribute their particular perspectives to policy formulation. Their different viewpoints are not only significant in a pluralistic society, but are necessary for the vitality of a system of government by discussion.

'Think tanks' are the next factors that influence policy formulation as explained in the following section.

3.5.2 Think tanks and shadow cabinets

Significant sources of policy formulation are 'think tanks'. These institutions usually consist of professional policy analysts and policy formulators who usually work on contract for a client. The 'think tanks' tend to be more creative and innovative than public institutions. A 'think tank' could be requested by a public institution to solve a specific problem. Reports produced by a 'think tank' have an element of respectability attached to it as it is produced by one or more experts. Moreover, these reports are paid for by the public institutions who could be tempted to apply their findings/ proposals. Hence, the reports could have substantial impact on policy formulation.

These 'think tanks' have an inherent weakness in that the experts who constitute them have an unfortunate tendency to tell their clients what they want to hear. This state of affairs poses a serious ethical problem: What are the boundaries of loyalty to truth and loyalty to the client? Notwithstanding this shortcoming, 'think tanks' could play a crucial role in policy formulation and their influence could undoubtedly be significant (Stone, 1996:9).

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Of the three important 'think tanks' in the United States of America on policy formu-lation, two dominant ones are the Brookings Institution and the American Enterprise Institute. These institutions published extensively on policy matters in an attempt to influence elite public opinion. The third 'think tank' is the Heritage Foundation, which gained prominence during the term of office of President Reagan (Peters, 1993:56). In South Africa we have the Institute for Democracy in South Africa (IDASA) and the Steven Friedman's Institute as think tanks.

Universities also serve as 'think tanks' for government. This is as a result of the grow-ing number of public policy schools and programmes across the country. Universities train existing and future officials the art of governance. As an added advantage, programmes provide a place where scholars and former practitioners can formulate new solutions to public problems. Reference can be made to developments in the United States of America. In addition to the policy programmes, specialised institutions such as the Institute for Research on Poverty at the University of Wisconsin and the Joint Centre on Urban Studies at Harvard University, develop policy ideas concerning their specific policy areas. On account of the fact that bureaucrats take expert advice from these institutes seriously, their influence on policy issues is enormous (Stone, 1996:10).

Interest groups is the next factor which influences policy formulation and can be described as follows.

3.5.3 Interest groups

Interest groups could also influence policy formulation. Numerous associations have been created by members of the population with similar interests, for example, workers, traders and industrialists. These groups from time to time approach govern-ment on policy matters, either to propose a new policy or an amendment of an existing policy or the scrapping of an unfavourable policy. The aim of the interest groups is to

secure tangible benefits for their members through policy adaptations. In particular instances interest groups are represented in policy formulating bodies where their vote could count. This representation enables them to be a force to be reckoned with because they are in a position to bring pressure to bear on legislators, e.g. Treatment Action Campaign (Cloete, 1998:136).

Interest groups participate in policy formulation by identifying public problems and applying pressure on government to attend to these problems. Apart from the afore-mentioned activities of the interest groups, they also provide solutions for identified public problems. It is up to authoritative decision makers to accept or reject policy proposals of interest groups. In general, policy choices advocated by interest groups tend to be conservative, incremental, rarely produce sweeping changes, and serve self-interest (Peters, 1993:57).

Some American interest groups have broken away from the traditional model of policy formulation. These are the public interest groups such as the Common Cause, the Centre for Public Interest, and a variety of consumer and taxpayer institutions. These groups broaden the range of interests represented in the policy-making process and are also inclined to pursue reform policy and policy-making. They are inclined to advocate sweeping reforms as opposed to incremental changes, provide a balance to the policy process, and provide a strong voice for reform and change (Peters, 1993:57).

3.5.4 Members of legislatures

Members of legislatures are significant functionaries in policy formulation. A number of them involve themselves in serious policy formulation activities. Just like the public interest groups, parliamentarians have interest in reform rather than in incremental changes. They use formulation and advocacy as means of furthering their careers by adopting roles as national policy makers instead of emphasising constituency service (Peters, 1993: 57-58).

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In the United States of America there has been a continuing growth in the size of congressional staff, both personal staff of congressmen and the staff of committees and sub-committees. These employees help Congress in undertaking research and drafting for policy formulation. Thus, they contribute to rectify a serious imbalance between the power of Congress and that of the executive branch (Cochran *et al.*, 1993:2).

Circumstances and the political, economic, social and international environments in which a policy is formulated has an influence on it. How this influence comes about is explained hereunder.

3.5.5 Circumstances or the environment

Circumstances refer to the environment as a whole in which the government operates. The environment includes the state of community life with respect to economic, technological and social matters. Apart from the aforementioned factors that have an influence on policy formulation, geographical and climatic conditions also have a role to play. For example, the Minister of Finance could introduce a compulsory savings levy to fight inflation; or request more money to assist farmers during a drought. The Minister of Education may introduce abolishment of school uniforms. Economic policies could be introduced to protect the balance of payments, bring about import control, and allocate quotas for import and export purposes. Dry climatic conditions and land that is not arable have necessitated the formulation of policy with respect to conservation of water and forestry. Other factors that influence policy on the state of community life and call for adjustment of education policy are technological developments; population increase and urbanisation; crises, natural disasters, war and depression; international relations; and economic and industrial development (Cloete, 1998:133-134).

Each technological development has its own influence on policy formulation. For example, the motor car. The ever-increasing number of motor vehicles on the roads

have forced the Ministry of Transport to formulate policies that relate to licensing of vehicles and drivers, compulsory insurance, traffic control, tarred roads and tollgates. An increase in population and urbanisation also necessitates formulation of appropriate policies to deal with health services, housing, water, protection against pollution of food, as well as water and air, and slum clearance (Bulmer *et al.*, 1986:1). Such policy adjustments for the stated matters could necessitate adaptation of education policies.

Government is duty-bound to take action to prevent or at least relieve suffering and hardship during crisis periods. For example, the government should take precautionary measures to avoid an economic decline. During floods and after powerful thunder-storms, the government has to provide assistance to the communities adversely affected. War also forces government to come up with policies on price control, the rationing of food and fuel (Cloete, 1998:134). International relations influence a number of policies. For example, South Africa takes part in the following international institutions: United Nations, the International Civil Aviation Organisation, the Universal Postal Union and the International Monetary Fund. The activities of these institutions influence national policies of each member state.

In a similar way technological developments require a properly educated and trained public personnel corps. Technology, for example, demands the ability to read, write, use the computer and be able to communicate with counterparts in the business sector. Therefore policies are required to capacitate members of society to participate in developing the public service sector to provide technologically driven services.

Economic and industrial development also influence policy formulation. A community that is economically and industrially developed could require more public services than a developing community. Hence, policies must be formulated in keeping with the demands of economic and industrial development (Cloete, 1998:134).

Factors which self-evidently influence policy formulation are the needs and expectations of the population as described below.

3.5.6 Needs and expectations of the population

Public institutions are established to address specific needs and justified expectations of the population. Normally, the public will become aware of a need and then the public or an interest group will make representations to government for the need to be satisfied. For example, churches may request that alcoholics be treated, commerce may request the lifting of restrictions on imported goods and requests for the introduction of a state lottery. To address all these needs and expectations, policies must be formulated to give effect to appropriate activities (Bulmer *et al.*, 1986:4-5).

For government to address public needs and expectations, money is needed. In other words, the more the public demands are acknowledged, the more money is needed to pay for consequential public services. Since the major source of income of the government is tax, taxpayers will have to pay more tax to pay for increasing public services. This is a paradox because the population prefers to pay less tax, but satisfying every demand will bring about expenditure. Responding to public needs and expectations could necessitate increases in tax (Cloete, 1998:135).

State departments have been established to address diverse needs and expectations of the population. For example, the Department of Health looks after the health of the population while the Department of Police Services fights crime. To respond to needs and expectations of the population, numerous public corporations and research institutions have been established to cater for the needs of the population which cannot be met by state departments. It is also worth noting that the activities of state departments, corporations and research institutions are governed by policies which could even have been substantiated by law. Therefore, it could be concluded that recognised

human needs and expectations influence policy formulation (Bulmer *et al.*, 1986:12). The education policies could have to be adjusted to provide for the needs of the adapted public sector.

3.5.7 Policies of political parties

Both in democratic countries and one-party states the leaders of political parties govern. The ways in which they govern their countries are based on their policies. It, therefore, follows that when a new political party wins an election and thus comes into power, it could introduce policy changes. The changes could affect the activities of various public and private institutions (Cloete, 1998:135).

Although policy changes could be introduced by a new political party when it comes into power, most public institutions could continue as before the election or even *coup d'etat*. This is the case particularly with routine work such as the registration of births, marriages and deaths. In addition, police, prison and defence services will always be needed in the same way. However, the policy concerning the provision of the services could change in keeping with the policies of the new ruler(s). Other matters which could change when a new political party or ruler takes over the government, are priorities. Although a new political party will still need police services, its priority might shift from urban to rural areas. It could nevertheless be accepted that the policies of political parties and their leaders will influence policy formulation (Bulmer *et al.*, 1986:48).

Various new policies have to be formulated when a radical change occurs in government. For example, when a fully representative government came into power in 1994, it had to change nearly every facet of the South African society. Amongst others, it had to eradicate injustices of the past, such as differentiated education systems. It could thus be stated that the current educational system could be expected to deviate significantly from past educational policies. Outcomes-based policy is aimed at capacitating

formerly disadvantaged communities, bridging educational gaps and providing a work-force capable of rendering equal services to all members of society effectively and efficiently.

After the description of policy formulation, it is necessary to have a closer look at policy analysis. Hereunder follows an explanation of policy analysis.

3.6   POLICY ANALYSIS

Every field of study has its own history, which explains how, why and by whom it was introduced. Policy analysis is no exception. Hereunder the origins of policy analysis follows.

3.6.1 Origins of policy analysis

According to Mannheim and Rich (1981:321) the origins of policy analysis can be traced back to the attention which was given to causes, content and consequences of government action by political scientists. Research in the areas of government activities culminated in a new subfield of study known as *policy analysis*.

The historical and developmental phases of policy analysis are, according to Wissink (in Cloete and Wissink, 2002:58-59) as follows –

❖ growth of empirical research;
❖ growth and political stability;
❖ professionalisation of the social sciences;
❖ policy science movement;
❖ growth of the analycentric perspective; and
❖ institutionalisation of policy analysis.

These matters are described briefly below.

CHAPTER 3

Growth of empirical research was a result of basic change in procedures followed to understand society and its challenges. In addition, the change came in the form of growth and empirical research, quantitative and policy-related research (Quade, 1975: 7-8).

Growth of political stability was a spin-off of new systems of centralised government. This system of government had a profound influence on science. The new empirical approach to the production of policy-relevant knowledge was in response to the need of reliable information for policy formulation. Consequently the focus on specialised knowledge to solve public problems reared its head (Wissink, in Cloete & Wissink, 2002:58).

Professionalisation of the social sciences which occurred during the 20th century redirected the production of policy-relevant information. The 20th century approach to policy analysis was that knowledge was no longer provided by a heterogenous group made up of bankers, industrialists, journalists and scholars who guided various groups of people interested in statistics. The responsibility to provide relevant knowledge for policy analysis became the responsibility of university professors and professional bureaucrats teaching policy sciences. These groups of experts were called upon from time to time by government to provide professional backing and advice on policy-making (Quade, 1975:9).

The policy science movement which came after World War II can be regarded as a precursor of Policy Analysis. At that stage Policy Analysis was not confined to only the aims of science, but was addressed to practical issues such as decision-making capabilities in democratic societies (Wissink, in Cloete & Wissink, 2002:58-59).

Growth of the analycentric perspective indicates that Policy Analysis was developed not

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by the activities of academics, but by the activities of practitioners in government service, such as engineers, town planners, systems analysts, operations researchers and applied mathematicians. The trust to shape the activities of these practitioners was to develop analytical tools such as planning-programming-budgeting systems, operations research, and systems analysis (Wissink, in Cloete & Wissink, 2002:59).

Institutionalisation of policy analysis was ushered in by Yehezkel Dror. The National Association of School of Public Affairs and Administration declared Policy Analysis as one of the five major subjects. Dror (1986:197-203) made the following three statements which ushered in the institutionalisation of Policy Analysis as an academic discipline:

❖ Systems analysis which emphasises quantitative tools and an economic view of the world is of limited help in government.

❖ Policy Analysis should make use of proven methods of systems analysis with qualitative methods.

❖ Policy Analysis should be institutionalised with a specific function in government, namely, to contribute to policy-making.

After tracking the origin and development of Policy Analysis as a discipline, it is equally important to explore the process of policy analysis.

3.6.2 Defining Policy Analysis

According to the Commonwealth Secretariat (January 1996) policy analysis includes the entire range of activities through which policy is developed and implemented. This process starts with an appraisal of the options, followed by a choice of the preferred alternative, and thereafter consultation with interested stakeholders. Implementation follows formulation. To complete the cycle of policy analysis evaluation and appraisal

of policy outcomes is required. Diagrammatically, the policy-making cycle is depicted
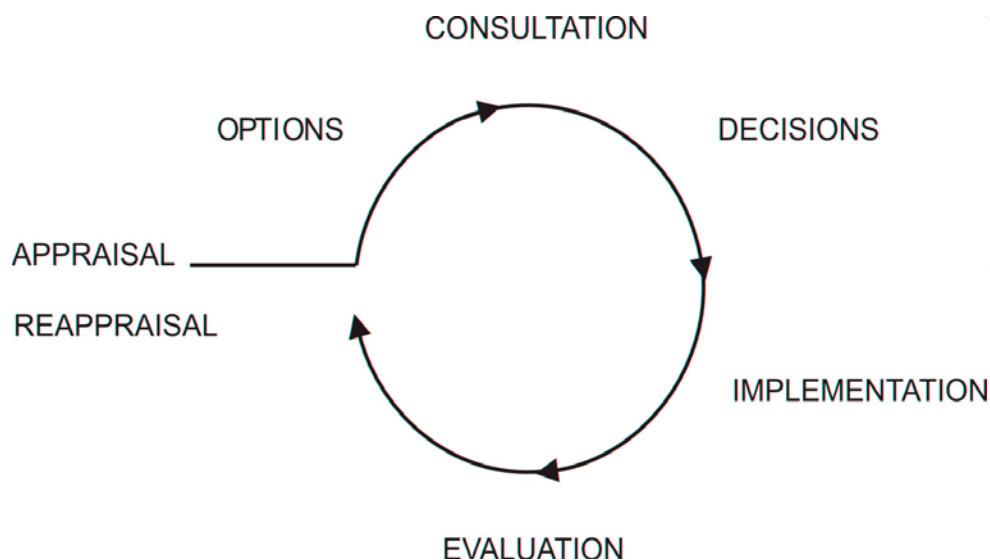
by the figure below.

[Source: Commonwealth Secretariat, 1996:9]

Figure 3.1: Policy-making cycle

Earlier definitions of policy analysis were mainly descriptions of its nature. Dror put forward some criteria of Policy Analysis in an attempt to define the boundaries of this field of study. The criteria in question, according to Carley (1980:24) are –

❖ attention paid to the political aspects of decision making;

❖ a broad description of what decision making is;

❖ emphasis on ability to formulate new policies;

❖ heavy dependence on qualitative methods;

❖ emphasis of thinking with the future in mind; and

❖ a logical step-by-step approach in recognition of the complexity of means-end interdependence, numerous factors that must be taken into account in decision making, as well as the sensitivity of every analysis.

The aforementioned approaches to policy analysis lay emphasis on the political aspects and the qualitative method. In 1969 Wildavsky expanded this view of policy analysis by

arguing that it was equivalent to strategic planning. In other words, policy analysis was concerned with plans with major consequences (Carley, 1980:24).

In 1971 Dror revisited his earlier definition of Policy Analysis as a discipline. He defined it as an approach and methodology for design and identification of preferred policy alternatives. Building on this foundation laid by Dror, Ukeles in 1997 defined Policy Analysis as the systematic investigation of alternative policy options and the justification of the policy alternative chosen. This is a problem-solving approach to the definition of Policy Analysis. The approach encompasses the collection and interpretation of information, and to predict the consequences of alternative courses of action (Dror, 1986:207).

An alternative approach to define Policy Analysis (the Science) is to distinguish it from Policy Science and meta-policy making. Simply stated, Policy Science is discipline research, that is, a focus on academic excellence and the pursuit of knowledge. Meta-policy making is concerned with the characteristics of the policy making system. How-ever, neither of the two approaches is Policy Analysis which usually involves working directly or indirectly for government or private institutions interested in influencing policy making (Carley, 1980:25).

Coleman in 1972 formulated the undermentioned distinguishing features of Policy analysis which also contributed to a more refined definition:

❖ The audience is a set of political actors, ranging from a single client to a whole populace, and the research is designed as a guide to action.

❖ Partial information available at the time an action must be taken is better than complete information after that time.

❖ The criteria of parsimony and elegance that apply in discipline research are not important; the correctness of the predictions or results is important.

❖ The ultimate product is not a contribution to existing literature knowledge, but a social policy modified by the research results.

❖ It is necessary to treat differently policy variables which are subject to policy manipulation, and situational variables which are not.

A more comprehensive and workable definition of Policy Analysis (the science) comes from Walker and Fisher (1994:1), who state that it is a systematic approach to making policy choices in the public sector. It is a process that generates information on the consequences that would follow the adoption of one or other of various policies. Its purpose is to assist policymakers in choosing a preferred course of action from among complex alternatives under uncertain conditions.

Weimer and Vining (1999:27) concur with the first part of Walker and Fisher's definition of Policy Analysis when they state that it is client-oriented advice relevant for public decisions which take into account social values. This indicates that proposed action should take into account possible consequences. Values come into play in the sense that a decision should always take into account the welfare of the population. Hence Policy Analysis should take a comprehensive view of consequences which respect social values.

Another definition of Policy Analysis (the science) is given by Nagel (1995:181) who states that it is the study of nature, causes and effects of ways in which governments attempt to deal with social problems. Systematically evaluating the effects of alternative policies involves processing a set of goals to be achieved, alternative policies for achieving them, and relations between goals and their alternatives in order to arrive at or explain the best alternative, combination, allocation or predictive decision-rule.

The purpose of policy analysis spells out three major characteristics of this field of study. Firstly, it could be used as a tool to help policymakers to make a decision. It could serve as a gauge on which to base the decisions of policymakers. That is, it could help them to choose from many policies a preferred alternative, the affordability of the cost of implementing that policy and clarification of the public problem to be

addressed. Secondly, policy analysis is a complex process as it contains numerous variables, feedback loops, and interactions with stakeholders. In this regard the Commonwealth Secretariat (January 1996) concurs with Walker and Fisher when it states that Policy Analysis is not a one-dimensional activity. Thirdly, it is uncertain about the choices to be made as these are based on incomplete knowledge about policy alternatives and unknown projected consequences in the future. A further uncertainty is brought about by the fact that alternatives must be compared with their expected consequence as well as by the risks of being wrong (Walker & Fisher, 1994:1).

Van Niekerk, Van der Waldt and Jonker (2001:101-102) summarise the four charac-teristics of policy analysis as follows:

❖ Policy analysis utilises the analytical techniques and research methodologies developed in modern democracies, particularly those developed in Economics, and apply them to current government problems.

❖ Policy analysis draws upon any discipline for relevant information and expertise. In particular, theories pertaining to Political Science, Public Management, Sociology and Economics can effectively be utilised.

❖ Policy analysis does not aim to develop theory, but to provide solutions to the current problems of government.

❖ The selection and definition of the problems for study is a product of continuous dialogue between government actors and the policy analyst.

Cloete (1998:145) and Walker and Fisher (1994:2) provide disparate descriptions of the policy analysis process. The processes differ in the sense that the first approach is to study the process by analysing the smallest units that make up policies. The second may be regarded as a holistic approach, as it looks at a complete policy.

According to Walker and Fisher (1994:2), the policy analysis process involves per-

forming the same set of logical steps. These steps may not follow each other in the same sequence. The steps in question are:

Step 1 Identifying the problem. Here issues to be addressed are identified, the contexts within which they are to be analysed and to function. Stakeholders to be affected by the policy decision are also identified. Major operative factors in deciding on the fast approach are discovered at this step.

Step 2 Identifying the objectives of the new policy. In general terms, a policy provides a set of objectives meant to solve a problem. The policymaker has certain objectives that would solve a public problem. With this step policy objectives are determined.

Step 3 Decide on criteria to evaluate alternative policies. The emphasis here is on the measurement of performance and costs because determining the degree to which a policy meets an objective involves measurement. This step involves identifying consequences of a policy that can be measured and that are directly related to the objective(s). It also involves identifying the costs that would be incurred in implementing the policy, and how they are to be measured.

Step 4 Select the alternative policies to be evaluated. The step specifies the policies whose consequences are to be estimated. The current policy in operation should be used as a point of reference in order to determine the improvement to be made by policy alternatives.

Step 5 Analyse each alternative. Here the consequences that are likely to follow if an alternative is implemented are determined. The consequences are measured in terms of the criteria set in Step 3.

Step 6   Compare the alternatives in terms of projected costs and benefits. At this step the alternatives are ranked in order of desirability and choosing the one preferred. If none of the alternatives is chosen, return to Step 4.

Step 7   Implement the chosen alternative. This step involves obtaining acceptance of the new policy from within and outside the government. Training of people who are to use the new procedures and performing other tasks that would help the implementation of the new policy.

Step 8   Monitor and evaluate the results. This step ensures that the policy is accomplishing its intended objectives. Failing which the policy may have to be modified or discarded or a new study performed.

According to Cloete (1998:145) and Van Niekerk, Van der Waldt and Jonker (2001:101) policy analysis and evaluation processes are the following:

(1) Studying the "correct" policy in use or lack of policy.
(2) Identifying a dysfunctional situation that arose because of lack of policy or despite the existing policy.
(3) Studying the current policy in operation to determine what factors contributed to its inability to achieve its objectives.
(4) Forecasting the future.
(5) Preparing new or modified policies for further action by the administrators or the political office-bearers.

The two processes of evaluation described above are different but complementary. Both of them contribute to a deeper understanding of the sequence of events to be followed in analysis of a policy.

In a nutshell, Policy Analysis (the science) can be described as a field of study that

identifies public problems; how those problems could be solved; who is affected by the problems; procedures and methods to be used to solve the problems; resources, both human and material, needed to address the problems; when the public problem should be tackled head-on; and the benefits to be derived from implementing the proposed public policy.

The foregoing explanation of Policy Analysis as a discipline clarifies the main purpose of this study and its scope dealt with below.

3.6.3 The scope of policy analysis

The scope of policy analysis can be defined in terms of the classes of policy problems to which it is applied and by looking at the range of activities that it tackles.   One classification is in terms of the types of analytic activity needed to solve a public problem.   In this regard there are four categories, namely, specific issue analysis, pro-gramme analysis, multi-programme analysis and strategic analysis.   These classes are distinguished by (a) increasingly complex policy questions; (b) increasingly imprecise policy making environment; (c) a wider range of possible alternatives; (d) increasingly broad criteria; and (e) increasingly time to do policy analysis (Carley, 1980:27-28).

The following figure of Policy Analysis by problem type is provided by Carley (1980:28).

SPECIFIC ISSUE ANALYSIS	PROGRAMME ANALYSIS	MULTI-PROGRAMME ANALYSIS	STRATEGIC ANALYSIS
← ──────── -	Problem Complexity		High
Low			
← ──────── -	Decision Environment		Imprecise
Precise			
← ──────── -	Number of Alternatives		High
Low			
← ──────── -	Decision Criteria		Broad

Narrow

⟵───────────   Lead Time   Long
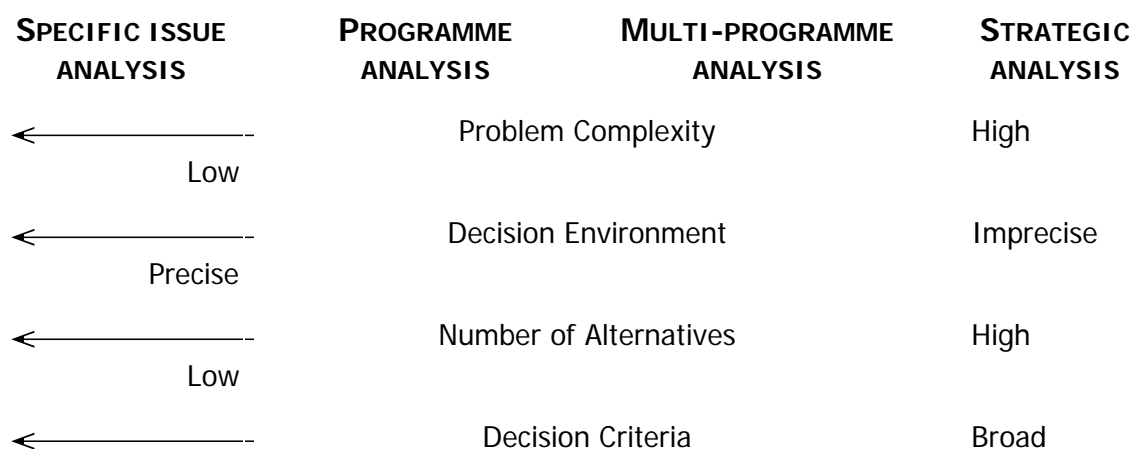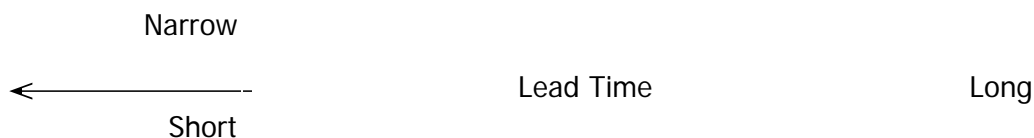
Short

[Source: Carley, 1980:28]

Figure 3.2: Policy analysis by problem type

Specific issue analysis is focused on short-term decision-making for day-to-day manage-
ment. For example, choosing between schemes for street cleansing would require issue
analysis. Programme analysis is concerned with design or evaluation of a programme
that deals with one subject area such as a programme to provide health clinics country-
wide. Multi-programme analysis focuses on the allocation of resources between com-
peting programme areas, for example, the allocation of limited funds to either build a
health clinic or to expand a hospital ward. Lastly, strategic analysis applies to large
scale policy matters such as broad resources allocation, for example, between com-
peting project areas such as housing and health (Quade, 1975:5).

Another mode of studying policy analysis is by distinguishing between analysis done for
the purpose of enlightening or influencing policies and analysis of current policy content
or its construction process. This distinction describes a range of activities within the
dichotomy of 'analysis for' to 'analysis of'. See the following table of policy analysis
(Carley, 1980:29).

TABLE 3:1 POLICY ANALYSIS BY ACTIVITY

	Analysis *for* policy		**Analysis *of* policy**	
Policy advocacy	Gathering infor-mation	Policy monitoring and evaluation	Analysis of policy determination	Analysis of policy content

The five dimensions of policy analysis, according to Carley (1980:29), are:

(1) Policy advocacy which is research that culminates in the direct advocacy of policy

identified by the researcher as serving a valuable purpose.

(2) Gathering information for policy making and adaptation which provides policy-makers with information and advice.

(3) Policy monitoring and evaluation which comes after analysis of policies and programmes.

(4) Analysis for policy determination which is the study of the inputs and transforma-tional processes operating on the construction of public policy.

(5) Analysis of policy content which is the study of the intentions and operation of specific policies.

From the explanation of policy analysis it has become clear that it is crucial to any policy implementation model. The definitions shed light on certain aspects of the policy process that policy analysis focus on. Distinguishing features, steps or stages and scope of policy analysis are described to provide an understanding of its activities. This information is helpful in the search for an implementation model of outcomes-based education policy. Thus, in the case of the thesis the focus will be on the techniques of policy analysis and their contribution to the implementation model.

3.7   POLICY IMPLEMENTATION

Policy implementation is a much more demanding task than policy formulation. There are more impediments blocking intended actions by government than there are to materialise results. This underlines the extreme difficulties of administering and imple-menting public programmes (Peters, 1993:91). This is furthermore explained by the fact that policy implementation is a process which could consist of several stages. According to Sabatier and Mazmanian (1995:167) the stages in question are the decisions and outputs of the implementing agencies; the compliance of target groups with those decisions; the actual impacts of those decisions; the political system's evaluation of a statute in terms of major revisions or attempted revisions in its content.

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The view of policy implementation as a process is also expressed by Majone and Wildavsky (1995:142) when they state that it is not a simple matter; the right implementation activities should be found. In practice, implementing a policy is usually a unitary matter. Bardach (1995:139) also views policy implementation as a process of assembling the elements required to produce a particular outcome. Contrariwise, policy implementation denotes action or a series of activities. In this regard Bouser, McGregor and Oster (1996:43) state that it is action that bring into being the purposes of a policy. The one or more actions culminate in concrete terms in the form of constitutions, laws, court decisions, administrative actions, regulations, budgets, treaties, informal agreements, executive orders, and legislative precedent. Furthermore Bouser, McGregor and Oster (1996:51) regard a policy decision as an intention which needs an implementation plan to achieve its intended purpose. Van Niekerk, Van der Waldt and Jonker (2001:96) also hold the view that the implementation phase entails translation of decisions into actions. This stage could be political in character and involve important decisions about the broad policy guidelines agreed to by Parliament.

According to Brynard and Erasmus (1995:166) research has indicated that policy implementation occurs in phases. Three generations of research in this area are identified.

The first generation was of the opinion that after a policy has been formulated, implementation would happen automatically. The second generation challenged the view of the first generation. Its views were based on studies conducted on challenges in specific cases. It further stated that policy implementation could be a political process which could be much more complex than policy formulation. Peters (1993:91) concurs with this finding when he states that policy implementation is a much more demanding task compared to policy formulation. This is so because there are many more impediments blocking intended actions by government than there are of making results materialise.   In fact, this state of affairs underlines the extreme difficulties of

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administering and implementing public programmes. The third generation, unlike the second one, did not study the specific implementation limitations. Its focus was on the understanding of how implementation works in general and how to improve it (Brynard & Erasmus, 1995:167).

Another view on policy implementation is based on the top-down approach and the bottom-up approach. The top-down approach starts from the authoritative policy decision at the central level of government and asks the following questions:

❖ To what extent were the actions of policy implementers in keeping with the objectives and procedures of a policy?
❖ To what extent were the objectives of the policy realised within a specified period?
❖ Which major factors affected policy outputs and impacts?
❖ How was the policy reformulated in order to make it more effective? (Brynard & Erasmus, 1995:169).

The bottom-up approach was a reaction to the top-down approach. It studied weaknesses and proposed alternatives to eradicate the shortcomings. For instance, the fact that the policy-makers had to exercise direct and determinant control over policy implementation was vehemently approved. Furthermore, it was preferable that analysis should be the responsibility of policy implementors and not of policy-makers. Policy implementors, because of their location, are in a better position to propose modification of policies to suit the local needs (Brynard & Erasmus, 1995:169).

A closer look at these two approaches to policy implementation reveals that they are not mutually exclusive. In fact, both provide useful insight into policy implementation. It must also be stated that both approaches have strengths and weaknesses. Therefore, the identification and utilisation of the strengths of the top-down and the bottom-up approaches could lead to an improved policy implementation process.

Policy implementation has its own shortcomings or problems. According to Milward and Provan (1993), one such difficulty is experienced in a federal government system when the relation between levels of government is based on bargaining rather than hierarchy. They state another problem of policy implementation which could be encountered when non-public entities implement public policy. The major difficulty experienced is how to control the behaviour of people who are not public servants and whose loyalty, in addition to serving their clients, is either to the prosperity of their own undertakings or to their non-profit calling.

Understanding policy implementation is crucial for this thesis as it is about implementation of outcomes-based education policy. For successful implementation of any public policy, the theory and practice of policy implementation is essential. Hence, the description of policy implementation is relevant to the thesis.

3.7.1 Factors to be considered in policy implementation

There are specific factors which contribute to the limited success of public policies. According to Peters (1993:91-92) the factors in question are –

- ❖ legislation;
- ❖ policy issues;
- ❖ political setting;
- ❖ interest group;
- ❖ institutional setting;
- ❖ institutional disunity;
- ❖ standard operating procedures;
- ❖ institutional communication;
- ❖ time problems;
- ❖ incomplete and inaccurate public planning; and

❖ interinstitutional politics within public institutions

These matters are dealt with seriatim below.

(a) *Legislation*

The first factor that could affect the suitability of a public policy for effective imple-mentation is the nature of the legislation. Laws differ according to their specificity, clarity and the area to be addressed. Another dissimilarity of laws is the extent to which they bind individuals and institutions that have to implement them (Peters, 1993:92). These views are also shared by Weimer and Vining (1999:396-397) when they state that the logic of a policy is a chain of hypotheses. These hypotheses are determined by the characteristics of the policy and the circumstances of its adoption. In general terms, the greater the legal authority the adopted policy gives implementors, the greater their capacity to compel hypothesised behaviour. Furthermore, the stronger the political support an adopted policy enjoys, the greater the capacity of the implementors to achieve intended objectives.

Outcomes-based education policy is a product of the legislation. It is the South African government, through its Department of Education, that decided that outcomes-based education be adopted as policy in terms of appropriate legislation.

(b) *Policy issues*

At times legislators choose to legislate for policy areas where there is a lack of infor-mation about causal processes to enable them to make effective policy choices. Regardless of their intentions, such efforts are bound to fail. It is only when legislators have possible combinations of knowledge of causation and information that there is a strong likelihood of effective implementation of legislation (Cochran *et al.*, 1993:1-2).

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An example of large-scale policy formulation and implementation based on inadequate knowledge of patterns of causation was the war on poverty in the United States of America. Many theories were postulated about the causes of poverty. However, these theories were not based on the economic and social dynamics producing the problem of poverty. Hence, an erroneous decision was taken which declared war as the enemy. This wrong policy decision was described by Daniel P. Moynihan (Peters, 1993:92-93) as follows:

> *This is the essential fact: The government did not know what it was doing. It had a theory. Or rather a set of theories. Nothing more. The US government at this time was no more in possession of a confident knowledge as to how to prevent delinquency, cure anomic, or overcome that mind morning sense of powerlessness than it was the possessor of a dependable formula for motivating Vietnamese villagers to fight Communism.*

Another factor which may serve as an impediment to policy implementation is the political setting. This is dealt with in the following paragraphs.

(c) *Political setting*

For legislation to be adopted, the majority of the members in the legislative must support it. This implies that participating political parties must come to a common or shared understanding. This is a difficult process because of competing interests of political parties which will entail trade-offs and coalitions that have to be entered into for the legislation to be passed. Unfortunately this political process may plant in legislation the seeds of its own destruction (Peters, 1993:93-94).

In order to accommodate the concerns of political parties, legislation is bound to be written in general language. By phrasing legislation in general and inoffensive

language, legislators run the risk of making their intention unclear to those who must implement the law. This misinterpretation of the intention of the policy may result in implementors altering the entire meaning of the programme to address a public problem substantially (MacRae & Pitt, 1980:17-18).

Politics plays a pivotal role in the formulation of legislation. However, the political process followed to come to a political decision makes the implementation of the legislation ineffective. The compromises made by political parties in the formulation of the legislation contribute to the vagueness and lack of clarity of purpose. Consequently, implementation may be inhibited.

Interest groups also influence policy formulation as well as the resultant policy implementation as explained below.

(d) *Interest group*

Government could experience problems with its efforts to regulate human behaviour through legislation. This severely complicates the implementation of a law. In addition, it is equally difficult to hold government accountable when it administers ambiguous legislation. The interest group liberalism inherent in the United States of America's politics also contributes to the vagueness and lack of clarity of intention of the laws. On account of public interest being defined in terms of many private interests, implementation of legislation could differ from the intentions of the legislators. Furthermore, implementation could be undertaken to serve the interest of the grouping (political party or executive institution) to which it owes allegiance at the expense of the intentions of the legislators. Hence interest group liberation could contribute to adverse policy implementation (MacRae & Pitt, 180:38-39).

In particular instances the law itself makes room for interest groups to be consulted

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and afforded an opportunity to make an input during a policy-making process. For example, section 5 of the *National Education Policy Act*, 1996 (Act 27 of 1996), states that the Minister of Education must determine the national education policy after consultation with appropriate bodies. This creates an opportunity for the interest groups to either support or reject the proposed policy. In other words, interest groups may become a stumbling block for policy implementation if it does not serve their interest (Cloete, 1998:148).

Government could request a specific public and/or private institution to implement policy on its behalf. The social, political or geographic setting of such an institution could influence the policy implementation.

(e) *The institutional setting*

An institution to which a policy has been referred for implementation, may pose as an implementation threat. In the context of this thesis the institution is the Department of Education. This is not because of the venality of the institution or its bureaucrats, but its particular setting. Its internal dynamics often limit the ability of an institution to respond to policy changes and implement specific views or altered programmes (Peters, 1993:96).

Chris Hood (in Peters, 1993:96) proposes five characteristics of perfect administration of public programmes, which requires –

❖ unitary performance where it would be like an army marching to the same drummer;

❖ uniform norms and rules throughout the institution;

❖ no resistance to commands;

❖ perfect information and communication. and

❖ adequate time to implement the programme (Peters, 1993:96).

The abovementioned requirements for successful implementation of a policy by a public or private institution are often absent or not fully present. Since a government usually relies on large institutions to implement its policies, difficulties arise in administration and implementation. In the case of education the provincial departments of education are responsible for implementation. These difficulties need not be insurmountable, but they must be understood and provided for, if successful implementation must take place.

It is prudent at this stage to look at the characteristics and difficulties in institutional structure that lead to difficulties in implementation.

(f) *Institutional disunity*

Public institutions rarely have unitary administrations. Indeed a number of causes of disunity are inherent in institutional structures. There could be disjunction between a central office and its regional institutions. Decisions taken by a central office must be implemented by field staff at the local level. Regional offices of the provincial Depart-ment of Education are in charge. If members of the field staff do not share the values and goals of the administrators in the central office, implementation problems are bound to occur. This disjunction of values could take several forms. For example, a change in the values and programmes could be required as a result of a change in the head of state or ministers, but the field staff could remain loyal to the older policies (Stone, 1996:74).

A more common disparity may occur between the goals of the central office and those of field staff because the latter could be more loyal to the clients. Field staff are usually close to their clients and may adopt the perspective of their clients with respect to policy and its implementation. The bond between the field staff and its clients could be stronger than their relationships with the central office because of frequent contact,

sympathy, empathy and devotion to a common mission. Hence, the identification of the field staff with the clients could complicate the implementation of centrally formulated policy. Educators who are responsible for policy implementation should always be informed (Stone, 1996:78).

Community participation in decision-making lessens the control of central offices over the implementation of programmes. Developing community institutions that would facilitate participation is a major cause for pressure to divert the programme from centrally determined priorities to locally determined priorities. Undoubtedly, community participation have made policy implementation less successful. Another implementation problem originates from field staff who are compelled by local conditions not to follow centrally determined directives in order to perform a given task. Field staff, in order for them to get substantive compliance, may be compelled not to comply with procedural directives. Indeed rigidities resulting from strict central controls could actually produce less compliance in policy implementation. For instance, from time to time regional and provincial offices of the Department of Education issue circulars and guidelines to schools (Peters, 1993:97).

(g) *Standard operating procedures*

Institutions have developed standard operating procedures to respond to policy pro-blems. When a client asks for assistance at a social service agency, the agency follows a standard pattern of response. For instance, specific forms must be filled out, par-ticular personnel must interview the client, and prescribed criteria must be applied to determine the prospective client's eligibility for benefits (MacRae & Pitt, 1980:20).

Standard operating procedures are essential for the smooth running of an institution. They reduce the time spent processing new information and developing response. In fact, standard operating procedures are the learned response of the institution to certain problems. From the clients' point of view standard operating procedures are

adopted to ensure equality and fairness for clients (MacRae & Pitt, 1980:20).

Although standard operating procedures are certainly important and generally bene-
ficial, they could become impediments to realistic policy implementation. This is evident
when a new policy or a new approach to a current policy is being considered. In such a
case institutions are likely to continue in defining policies and problems in their standard
manners, regardless as to whether the old definition or procedure no longer helps to
implement the policy successfully. In addition, standard operating procedures also tend
to produce inappropriate or delayed responses to crises. Consequently the Department
of Education authorities issue guidelines and circulars to schools (Peters, 1993:99).
It is necessary to note that standard operating procedures are helpful in the implemen-
tation of established programmes. However, they are likely to be barriers to change
and to the implementation of new programmes. Likewise, they may be stereotyped to
allow response to non-standard situations or non-standard clients, thereby being
useless to novel situations.

(h)   *Institutional communication*

Communication plays a central role in any institution. Similarly, communication is vital
in policy implementation.   Hence the role played by communication for policy
implementation needs close scrutiny.

Effective policy implementation requires the proper flow of information to, from and
within every public institution. Accurate information is required without interruption for
successful running of every public institution (Waugh & Manns, in Bergerson, 1991:61).

Public institutions tend to develop into bureaucracies in which information tends to be
concentrated at the bottom. The field staff and the technical experts of an institution
are in close contact with the environment but are at the bottom of the institutional
structure. Thus, to provide for every change in its environment and to make appro-

priate policy and implementation decisions, there must be continuous reliable up and down transmission. The more levels through which information is to be transmitted, the greater the probability that the information will be distorted. This distortion may come from random error or from deliberate distortion. Selective distortion comes about when at each level of the institution officials decide to transmit only information they believe their superiors wish to hear or the information which will boost the image of the subordinates. Furthermore, the superiors may assume distortion by their subordinates and on their own decide to correct the distortion. The result of the transmission of information through a hierarchical institution more often than not is rampant distortion and misinformation that limits the ability of an institution to implement policies success-fully. In the case of schools information is sent from provincial offices to districts, to circuits and then to schools (Waugh & Mann, in Bergerson, 1991:133).

Another impediment to effective communication within an institution is secrecy or classified information. It is understandable that there must be a need for secrecy within some government institutions. Be that as it may, secrecy may inhibit both communication and implementation (Peters, 1993:101).

Free flow of information gathered from the environment of an institution is crucial to its performance. Therefore, the management of communication within an institution is an important component matter requiring reliable gathering of raw information and pro-cessing the results for implementation purposes. Internal hierarchical structures, differential commitment to goals, differences in the command of professional languages, all conspire to complicate institutional communication. This could hamper effective implementation of policies.

(i) *Time problems*

There are two time problems that inhibit the ability of institutions to respond to needs

in their policy environment.   One of them is a linear time problem in which the responses of implementing institutions tend to lag behind needs. This happens where institutions base their responses on lessons learned in the past rather than on current conditions. Institutions tend to lag behind by implementing programmes to deal with a crisis that has just passed, rather than the crisis they currently face or are about to face (La Plante, in Bergerson, 1991:73).

Other time problems are cyclical and delayed implementation. A typical example of this problem occurs in making and implementing a macroeconomic policy in which, even if the information available to a decision maker is timely and accurate, a delayed response may exaggerate economic fluctuations. Therefore, it is not sufficient merely to be right; an effective policy must be both correct and on time if it is to have the desired effect.   In the case of outcomes-based education the timing is correct as the main purpose is to teach learners democratic principles and values (La Plante, in Bergerson, 1991:73).

(j) *Incomplete and inaccurate public planning*

A major challenge relating to the implementation of policy could arise when institutions plan their activities incompletely and inaccurately. Problems of this nature could be encountered because institutions could plan for implementation without access to relevant information and lack of cues to necessary choices. For example, clients might be required to fill out forms, but the institutions may forget to print the forms. More often than not textbooks are not available when a school term commences (Quade, 1975:250).

For the sake of effective management and implementation, planners must beforehand identify crucial potential blockages in the relevant institution and come up with possible solutions.   It is not unusual for unexpected problems to arise especially with the

introduction of a new policy. Hence, some planners prefer using smaller pilot projects instead of embarking upon large projects at once. This has the advantage of reducing costs should the project fail, and preparation of the institution to implement full-scale projects (Qudae, 1975:251).

Some projects will not require a pilot project before full-scale implementation. Their nature dictates that for them to be effective from the onset, they must be tackled full-scale and comprehensively. For example, a programme like a space programme which is designed to reach a major goal within a limited time and with an implementation instead of a pure research focus must be tackled full-scale and comprehensively to be effective. Outcomes-based education should be applied on the same principle – countrywide (Newcomer, in Bergerson, 1991:74-75).

In a democracy policies could be based on conditions affecting many parties and could have to be implemented by many interrelated public institutions. This could affect the implementation of policies adversely. Hence, a discussion on interinstitutional politics with respect to policy implementation ensues.

(k) *Interinstitutional politics within public institutions*

Normally public policies are designed for and implemented by a number of public and/or private sector institutions. Problems could then be encountered during implementation of the policies as the process could require the implementation structures of the institution or the pattern of interactions among institutions as they attempt to implement the public policy. Problems become more compounded when there is institutional and communication disunity as well as when the implementors of the public policy are not bound by loyalty to a single institution. The competing loyalties of relevant institutions and lack of interest in the effective implementation of a particular programme also serve as impediments to successful implementation. The

situation might be worse if private contractors play a leading role in implementation because their goals of profit and contract fulfilment may conflict with goals of service delivery and accountability in the public sector (Ventriss, in Bergerson, 1991:148).

Within an institution or between implementing institutions there are specific clearance points, which are individual decision points that must be agreed to before any policy intention can be translated into action. Besides the problem of clearance points there may be impediments to the agreement, such as legal problems, budget problems or problems of building coalitions with other institutions. Statistically it has been proven that if each decision point is independent of others and if the probability of any decision maker's agreeing to the programme is 90 per cent (.9), then the probability of any two agreeing is 80 per cent (.9   .9); and for three points, the probability would be 73 per cent (.9   .9   .9); and so forth. Apart from the problems associated with the clearance points, there are also limited political resources. All these factors, individually or jointly, pose a problem for the implementor succumbing to the pressures encountered in the implementation system (Peters, 1993:104-105).

Notwithstanding the problems stated above, chances of successful implementation are high if there can be persistence at each clearance point. As each clearance point is not independent of others, success at one may pave the way for success at others. Although policy implementation is a difficult task, it can be manipulated to enhance the chances of success (Ventriss, in Bergerson, 1991:150).

Identification of factors to be considered in policy implementation are necessary because they could influence a public policy from its formulation up to its implementation. Unless a thorough study is made of the impact of relevant factors on policy implementation, chances of successful implementation are slim. Taking into account the limited resources of public institutions necessary to satisfy numerous public needs, it is imperative to do everything possible to implement every public policy successfully.

Thereto, it is crucial to know how each of these factors could affect outcomes-based education policy.

From the above description it is clear that there are critical variables for studying policy implementation. A description of them follow hereunder.

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3.8   CRITICAL VARIABLES FOR STUDYING POLICY IMPLEMENTATION

Policy implementation is a complex and broad process with political implications. The process of public policy implementation travels through a maze of unique situations. As the implementation process unfolds, there are critical variables that shape the directions that implementation might take. Scholars, from divergent perspectives (top down or bottom up) working on different issues like environment of education, in different political systems (federal or unitary state) and in countries at various levels of economic development have identified five critical variables for studying policy implementation. These five variables are also known as the 5-C protocol. The variables in question, according to Brynard (in Cloete & Wissink, 2000:178-179), are –

- ❖ content;
- ❖ context;
- ❖ commitment;
- ❖ capacity; and
- ❖ clients and coalitions.

3.8.1 Content

Policy content may be distributive, regulatory or redistributive. Distributive policies create public goods for the general welfare and are non-zero-sum in character; regulatory policies specify rules of conduct with punitive measures for non-compliance; and redistributive policies aim at changing allocations of wealth or power for some groups at the expense of others (Bulmer *et al.*, 1986:1-5).

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3.8.2 Context

Policy implementation does not take place in a vacuum. Policies are implemented under specific political, social, economic and legal settings. The context under which a policy is being implemented may impact on the process positively or negatively. Hence, the contextuality of policy implementation is an important factor to be studied for policy implementation (Banting, in Bulmer *et al.*, 1986:148-149).

3.8.3 Commitment

Firstly, successful policy implementation depends, to a large extent, on the commitment of the implementors. Even if a policy satisfies all the requirements of cost-benefit analysis and is satisfactory in terms of policy content, and all the resources required are available, it will not be implemented if its implementers are not committed. It is further stated that commitment is essential at all levels through which the policy passes. Secondly, commitment influences will be influenced by the four remaining variables; namely, content, capacity, context, as well as clients and coalitions (Brynard, in Cloete & Wissink, 2000:181).

3.8.4 Capacity

A government's aim to deliver public service and goods should be declared in relation to capacity which relates to its structural, functional and cultural ability to achieve set goals. Furthermore, capacity includes access to tangible resources such as human, financial, material, technological, logistical and others. Apart from tangible resources, capacity also refers to intangible elements such as leadership, motivation, commitment, willingness, courage, endurance and others. Besides the tangible and intangible factors of capacity, the political administrative, economic, technological, cultural and social environments within which a policy is implemented must be conducive to successful

implementation. Education is about people and is meant to enlighten them; therefore, both tangible and intangible factors will be helpful (Brynard, in Cloete & Wissink, 2000:181-182).

Authorities in this field of study are unanimous about the need of effective implementation capacity. Therefore it is crucial to know how capacity is created and utilised to reach stated policy objectives (Quade, 1975:255).

It is common knowledge that every state has limited resources at its disposal to produce and provide public goods and services. Consequently, it is advisable for government to structure its policy implementation in keeping with its capacity. In addition, the government is not compelled to produce all functions and services on its own, especially when it lacks capacity. It may resort to the so-called alternative service delivery mechanisms to customise and maximise the success of delivery in a given context. It follows that the role of the state in goods and service delivery can be that of a promoter, facilitator, regulator, observer or participant. In other words, there are alternative goods and service delivery mechanisms which the state may adopt in a policy implementation programme. The mechanisms in question, according to Brynard (in Cloete & Wissink, 2000:182-183), are –

- ❖ decentralisation;
- ❖ corporatisation;
- ❖ outsourcing;
- ❖ joint ventures;
- ❖ partnerships and alliances;
- ❖ regulations; and
- ❖ assistance and privatisation.

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It is necessary to measure the effectiveness of capacity. In the absence of objective criteria to match the role of capacity, the following questions have proved to be helpful.

Firstly, according to Brynard (in Cloete & Wissink, 2000:183), it should be asked whether the traditional public service agency concerned can provide the service –

❖ at the required level in terms of quantity, quality and cost-effectiveness?

❖ in the required way, that is, by participatory or people-centred manner?

❖ with the required legitimacy and controls?

Secondly, a government can improve its policy implementation strategy by reducing big public bureaucracies to smaller ones. This may take place by deciding that selected policy implementation functions should be taken over by institutions which are outside the public sector (Quade, 1975:255).

Thirdly, a government can improve the effectiveness of its policy implementation by moving away from separate and isolated policy and financial planning and implementation to integrated and co-ordinated strategic management practices at all levels of an institution (Brynard, in Cloete & Wissink, 2000:184).

Fourthly, government may change from an input, resource-focused administration to an input, result-based management system to improve capacity implementation (Brynard, in Cloete & Wissink, 2000:184 and Bulmer *et al.*, 1986:14).

Fifthly, government may change from a closed bureaucracy-dominated work environment to a transparent, accountable and participatory public policy process (Brynard, in Cloete & Wissink, 2000:184 and Bulmer *et al.*, 1986:16).

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Sixthly, and lastly, in order to improve its policy implementation capacity, government may change from simple cash budgeting and accounting methods and annual financial planning cycles to more complex accrual budgeting and accounting practices and multi-year financial planning cycles (Brynard, in Cloete & Wissink, 2000:184).

According to Bulmer *et al.* (1986:28-30), experiences of the South-East Asian countries; namely, Malaysia, Thailand, Phillipines and Indonesia, indicate that there are pre-requisites for successful policy implementation, which have the following characteristics –

❖ committed, strong, competent and honest political and administrative leadership and direction;

❖ the existence of and consensus on a clear, national vision and attainable action plans in strategic policy sectors;

❖ the availability of resources and the creative, pragmatic and co-ordinated utilisation thereof in the public, private and voluntary sectors of society;

❖ appropriate design, implementation of monitoring evaluation and review of policies;

❖ a developmental social and institutional culture with a strong work ethic;

❖ responsive or amendable democratic and economic environments; and

❖ a substantial measure of good luck.

3.8.5 Clients and coalitions

In the interest of efficiency, cost-effectiveness and transparency, government has to join forces with coalitions of interest groups, opinion leaders and other parties who support a particular policy and its implementation. A change of power from one group to another could produce a corresponding shift in the implementation plan. It follows that the support of clients and outsider coalitions could be important factors in policy implementation. In implementing outcomes-based education it is essential that there

must be closer co-operation and collaboration between provincial departments of education, regional offices, circuits, school governing bodies and schools (Brynard, in Cloete & Wissink, 2000:185).

On account of the fact that clients and coalitionists could influence policy implementation favourably or unfavourably, the influence of each need to be determined. This exercise will help to ascertain which clients and coalitions need to be taken seriously in the policy implementation process. Similarly, it will also indicate insignificant clients and coalitions that may be relegated or totally ignored for implementation of a particular policy (Quade, 1975:263-267).

After a closer assessment of public policy implementation, it should be possible to evaluate its measure of success.

Critical variables for studying policy implementation such as content, context, commitment, capacity, and clients and coalition provide valuable information that will contribute to successful policy implementation. For example, it is necessary to know the content of the public policy; the context within which the policy must be applied is essential, commitment of policy-implementors for successful implementation is crucial; capacity of both policy implementors and clients will contribute to successful implementation; and the needs and influence of clients and coalitions may determine the success or failure of the public policy being implemented. Hence, it is crucial to take into account critical variables for studying policy implementation for the implementation of outcomes-based education policy.

3.9   MONITORING POLICY OUTCOMES

Monitoring is the policy-analytical procedure which is utilised to extract information about causes and effects of public policies. As a result, monitoring is a primary source

of knowledge about policy implementation because it describes relationships between policy programme operations and their outcomes. Therefore, monitoring is useful in the sense that it describes and explain public policies; that is, monitoring is primarily concerned with establishing factual premises about public policies. Furthermore, monitoring produces results during and after policies have been adopted and implemented. On the contrary, forecasting seeks to establish factual premises before implementation (Dunn, 1994:335). In this regard Starling (1979:697) concurs when he states that monitoring is an activity that evaluates continuously the feedback of an operation against established criteria or standards.

Dunn (1994:335-336) maintains that monitoring performs at least four major functions in policy analysis. These functions are compliance, accounting, auditing and explanation.

❖ Monitoring helps to determine whether the actions of the participants in public policy implementation are in compliance with relevant standards, procedures and legislation.

❖ Monitoring is instrumental in determining as to whether resources and services provide intended results for specified target groups and beneficiaries – that is, it performs an auditing function.

❖ Monitoring provides information that is helpful in accounting for social and economic changes that occur due to public policy implementation over time.

❖ Monitoring also generates information that helps to explain why the outcomes of implementation of programmes could differ from those envisaged by public policies.

For successful monitoring of public policies in any given area, information that is relevant, reliable, and valid is required. For instance, in implementing outcomes-based education policy, relevant information that would enhance successful implementation is required. Information acquired through monitoring must be relevant and reliable. This

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implies that observations of evaluation of public policy and its implementation should be reasonably precise and dependable. The implementation of a public policy is the performance of a particular task to satisfy a felt need. Thus, it is essential to determine whether information about policy outcomes actually test what it is supposed to measure – that is, whether it is valid information (Van der Waldt & Du Toit, 1999: 279).

In monitoring policy outcomes, it is imperative to differentiate between two kinds of consequences; namely, outputs and impacts. Policy outputs could be goods, services, or resources provided for target groups and beneficiaries. On the one hand, the bene- ficiary could be a group for whom the effects of policies are beneficial or valuable. On the other hand, a target group could be persons, communities, or organisations on whom a public policy or programme is expected to have an effect. Policy impacts, contrariwise, are actual changes in behaviour or attitudes that come about as a result of policy implementation. In the case of the implementation of outcomes-based educa- tion policy outputs is effective teaching while policy impacts are creative and indepen- dent thinking learners (Dunn, 1994:338, 396-397).

Starling (1979:99) provides another explanation of monitoring which is not contrary to the aforementioned viewpoints, but supplementary as well as complementary to them. He states that monitoring should accept uncertainty about the meaning and rate of change of unfolding developments. He continues that monitoring includes search, consideration of alternative possibilities and their effects, selection of critical parameters for observation, and a conclusion based on synthesis of progress and implications.

One important and widely applied form of evaluation is describing how a programme is being operated and assessing how well it is performing with its relevant intended functions. This form of evaluation does not involve a single distinct evaluation pro- cedure; on the contrary, it involves a number of approaches, concepts, and methods that are used in different contexts and for different purposes. In this form of

evaluation the focus is on the enacted programme itself – its operations, activities, functions, performance, component parts and resources. Although there are differing viewpoints on the name of this family of evaluation approaches, it is generally referred to as programme monitoring (Rossi, Freeman & Lipsey, 1999:192).

Programme monitoring is defined as the systematic document of key aspects of programme performance that are indicative of whether the programme is functioning as intended or according to some appropriate standard. It generally involves programme performance in the areas of service utilisation, programme organisation and outcomes. Monitoring service utilisation involves examining the extent to which the intended target population requires comparison of the plan for what the programme should be doing with regard to service provision, and what is actually done. Monitoring programme impact entails a survey of the status of programme participants after they have received service to determine if it is in line with what the programme intended to accomplish (Quade, 1989:350).

Other than the aforementioned primary domains of service utilisation, programme monitoring may include information about resource expenditures that indicate whether the benefits of a programme justify its cost. Furthermore, monitoring may include an assessment of whether programme activities comply with legal and regulatory requirements; for example, whether affirmative action requirements have been met in the recruitment of staff (Strong & Robinson, 1990:78-79).

According to Rossi, Freeman & Lipsey (1999:192-193), programme monitoring specifically aim at answering such evaluative questions as:

❖ How many persons are receiving services?
❖ Are those receiving services the intended targets?
❖ Are they receiving the proper amount, type and quality of services?

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❖ Are there target groups that are not receiving services?

❖ Are members of the target population aware of the programmes?

❖ Are necessary programme functions being performed adequately?

❖ Is programme staff sufficient in numbers and competencies for the functions that must be performed?

❖ Is the implementation programme well organised? Do staff members work well as a team?

❖ Does the programme co-ordinate effectively with relevant existing programmes and organisations with which it must interact?

❖ Are programme resources, facilities and funding adequate to support basic pro-gramme functions?

❖ Are programme resources used effectively and efficiently?

❖ Are beneficiaries satisfied with the services they receive?

❖ Do beneficiaries engage in appropriate follow-up behaviour after receiving services offered by the programme?

❖ Are beneficiaries satisfied with the conditions, status and functionary results?

❖ Do participants retain satisfactory conditions, status or functioning for an appro-priate period after completion of services?

From the aforementioned questions it is possible to deduce evaluative themes in programme monitoring. Virtually all themes involve adjectives such as appropriate, adequate, sufficient, satisfactory, reasonable, intended, and other phrases that indicate that an evaluative judgement is required. In answering these questions an evaluator or other responsible participants must not only describe the programme performance, but assess whether it is satisfactory. This, in turn, demands that there should be a basis for making a judgement. Hence the need for some defensible criteria or standards to apply (Strong & Robinson, 1990:123-124).

It is crucial that the implementation of outcomes-based education policy be monitored

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during and after implementation. This should take place at regular intervals on a continuous basis. As monitoring is goal-directed, it should also address questions raised by Rossi, Freeman and Lipsey (1999:192-193). Answers to the questions will indicate clearly whether outcomes-based education policy has achieved intended objectives, whether there are sufficient resources to implement it, whether there is co-operation amongst staff members who implement it, are all role players participating in their respective roles? Are the recipients of the service and goods provided satisfied or not?

Monitoring is also helpful in generating information about the implementation of outcomes-based education policy that is relevant, reliable and valid. That is, monitoring will indicate how beneficial the implementation of this public policy is or not. In addition, monitoring could encompass specific functions as accounting, auditing, compliance and explanation. These functions as explained by Dunn (1994:335-336) will determine the utilitarian value of the implementation of outcomes-based education. Therefore, monitoring is essential in providing information that indicates to what extent the implementation of outcomes-based education is successful.

3.10   POLICY EVALUATION

Policy evaluation is needed to determine whether to continue with implementation of a policy or programme, or to curtail, terminate or expand it (Cloete, in Cloete & Wissink, 2000:210). Furthermore it is essential to know what policy evaluation is, how it is done and what constraints it.

3.10.1 Defining policy evaluation

Policy evaluation is a process of actions to determine the value or effectiveness of a policy with the aim of changing or rejecting it. It implies that the impact of the policy on its target should be established. This process consists of systematic description and

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judgements of programmes and determining whether the intended results are being achieved or not. Stated differently, policy evaluation is the use of a policy-analytic research method to measure the effectiveness of a policy project or programme with the intention of continuing, adjusting or terminating it (Cloete, in Cloete & Wissink, 2000:211).

Bouser, McGregor and Oster (1996:43) advance the view that policy evaluation should be concerned with assessing what actually happened as a result of the policy and its implementation. The question is whether the purposes of the policy are being met and how implementation might be improved. The evaluation might result in the policy being changed or even abandoned. Valelly (1993:262) concurs with the aforementioned views about policy evaluation stating that policies are usually evaluated as to whether they get the job well done and at what price.

Evaluation could be a management tool. In this regard Nachmias (1995:178) writes that evaluation may be a means to reduce or eliminate conflict in management. He continues that evaluation may be an indication that the policy is subject to negotiation and modification once the research findings become available. Moreover, evaluation may also serve the function of complacency reduction and thereby enhancing the chances of successful policy implementation.

Policy evaluation is used for assessing both the effectiveness and the impact of a policy. Van Niekerk, Van der Waldt and Jonker (2001:98) concur with this view arguing that policy evaluation is the continuous assessment of the outcomes. It focuses primarily on the output of policy. They further state that questions to be asked include: Did the policy work? Was it effective – if not, why not? Was it practical? What difference did it make?

Policy evaluation may be regarded as both the end and the beginning of the policy process. According to Bouser, McGregor and Oster (1996:51) this stage is regarded as the end in that it follows all of the previous steps that led to the adoption and implementation of the new policy. They also argue that the purpose is to evaluate the success of the new policy to determine whether it accomplished the goals for which it was accepted. Furthermore, they state that evaluation procedures should be prepared well in advance of the implementation of the policy in order to include the collection of the necessary data and information in the implementation plan.

Evaluation can be seen as a beginning. In this regard Bouser, McGregor and Oster (1996:51-52) state that if evaluation is properly accomplished, the information gained from the evaluation sets the stage for commencing the succeeding policy process anew. They elaborate by stating that it can result in fine-tunning the existing policy or in the conclusion that an entirely new policy approach is needed. Consequently, some states have passed sunset legislation to ensure that public programmes for policy implemen-tation do indeed receive periodic evaluation.

It is crucial to define and to understand both the meaning and implication of evaluation. This is necessary because the thesis is about the successful implementation of outcomes-based education policy. To determine its success it is imperative to evaluate the total purpose and implementation of outcomes-based education policy.

3.10.2 Reasons for policy evaluation

Research, according to Cloete (in Cloete & Wissink, 2000:212), indicates that policy evaluation is undertaken

❖ to measure progress made towards the achievement of envisaged objectives;

❖ to learn how to programme policy review, redesign or implementation strategies;

❖ to test the feasibility of an assumption, principle, model, theory, proposal or strategy;

❖ to ensure political or financial accountability; and

❖ for public relations purposes.

Closely related to the reasons for undertaking policy evaluation are the benefits to be derived therefrom (Cloete, in Cloete & Wissink, 2000:212):

❖ It will provide precise evaluation of the nature and extent of the impacts that can be expected. Thus, it will help planners to identify projects or programmes that are likely to give value for money.

❖ It will indicate whether the unsatisfactory situations are due to internal or external factors. This will help to avoid projects or programmes that are likely to produce undesired results.

❖ It will single out factors contributing to project or programme impact. This will help planners to improve project or programme design.

❖ It will identify groups that stand to benefit least from certain kinds of projects or programmes. This will ensure that special measures be taken to encourage these groups to participate.

❖ It can estimate the time period during which the impacts are likely to occur. By so doing it will increase the precision of project analysis procedures.

Policy evaluation is by nature goal-directed; it focuses on a specific societal institution or technologies, processes or behaviour changes. Thus, it is necessary to understand the reasons for policy evaluation. This will contribute to the implementors of outcomes-based education policy taking their task seriously.

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3.10.3 Policy evaluation foci

Policy evaluation may focus on one of the following aspects (Cloete, in Cloete & Wissink, 2000:213):

❖ A goal free or value free evaluation which is a description of intended and un-intended changes in or impacts on structures, processes or behaviour patterns.

❖ The degree of success in achieving objectives; that is, the goal-effectiveness or adequacy of the project or programme.

❖ Cost-benefit ratios, efficiency and cost-effectiveness of performance and resource utilisation, as well as the level of productivity achieved.

❖ Participation, representativity, empowerment and satisfaction of the stakeholders or target audience.

❖ Equality and equity.

❖ The sustainability of the project or programme in one or more sectors such as financial, social, political, administrative, technological and so on.

Evaluation should not take place suddenly or abruptly or haphazardly, but should be a continuous function. Evaluation can be useful for problem definition, understanding of prior initiatives, community and institution receptivity to particular programmatic and policy approaches, and the impacts, both intended and unintended, that might occur as a result of different intervention strategies. These matters could be relevant for policy evaluation (Rist, 1995:xx).

Vedung (1997:101) identifies accountability, intervention and basic knowledge advancement as areas that evaluation may focus on or may be seen as purposes of evaluation. The key purpose for accountability evaluation is to find out whether educators have exercised their delegated powers and discharged their duties properly and that school principals evaluate their work. Accountability embraces the responsibilities of both the

principal and the educator. The responsibilities of the principal are to issue orders and directives that the educators have to follow, while the responsibilities of the educators are to implement the instructions of the principal. That is, the agent does the accounting and the principal passes judgement. The aim is to improve performance. This is confirmed by Palumbo and Hallett (1995:38) when they state that the evaluator's role is to lead to agreement on intended performance and to come up with actions needed to improve and maintain performance.

According to Vedung (1997:102) evaluation may be seen as fundamental research that seeks to increase the general understanding of reality. Albaek (1995:15) also regards evaluation as research. This research tests the ways agencies function, the coping strategies of front-line service deliverers, or the effects of particular interventions. Such research may be devoid of practical implications in the immediate future or even in the long term. It seeks knowledge for knowledge's sake.

Evaluation is by nature goal-directed or focused on a particular matter. The aim is to assess the impact of the policy being implemented. The same applies to outcomes-based education policy. Teaching and learning are the outcomes-based education policy foci.

3.10.4 Evaluation decision

Evaluations could contribute to decisions with diverse objectives. Firstly, evaluations are undertaken to confirm what the administrators already know, and to provide authoritative arguments for doing what was envisaged originally. Secondly, this approach is essential to legitimate decisions. Thirdly, dialogue between ministry and executive public institution commonly occurs where a department argues against a proposed cut or for an increase in funds. Fourthly, evaluation could serve as corporate memory (Nyden, 1992:168).

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On account of its complex nature, evaluation needs thorough planning and implementation. Otherwise it will consume or waste resources. Hence, according to Cloete (in Cloete & Wissink, 2000:213-214), the following questions should be asked before a decision is taken to conduct an evaluation:

❖ Is there clarity about what is to be evaluated?

❖ Is the reason for evaluation clear and justified?

❖ Will the results influence future policy-making?

❖ Is there sufficient time for the evaluation?

❖ Is the evaluation feasible? Stated differently, can the information needed be obtained, causality determined and results reported in time?

❖ Are sufficient evaluation resources available?

❖ Is the evaluation worthwhile? Stated differently, is the project or programme significant enough and will the anticipated evaluation results be sufficiently important to justify the costs – direct, indirect, hidden and opportunity costs?

The evaluation should be embarked upon on condition that all these questions are answered in the affirmative or positively. Moreover, evaluation should not only be an orderly function, but should also be systematic and consequential.

Evaluation generates information that is crucial to the policy-maker to make informed decisions about the retention or amendment of existing policy and implementation processes. It provides justification for allocation of resources by the government to perform specific tasks by implementing public policies. In the case of outcomes-based education policy, evaluation should provide essential information as to whether the government is getting value for money.

3.10.5 Evaluation design

Evaluation design should apply for every evaluation decision. The following questions help to guide the evaluation design (Cloete, in Cloete & Wissink, 2000:214-215):

❖ What type of evaluation should apply and at what stage of the policy life cycle?

❖ What should be done to achieve the evaluation objectives?

❖ How should the evaluation results be measured and assessed?   (What criteria, standards, values and indicators should be used?)

❖ Who should do it – insiders or outsiders?

❖ How will the conclusions be disseminated and utilised for maximum effect on the policy process?

The evaluation design indicates that there are different types of evaluation. These evaluation designs may be used in planning for evaluation of outcomes-based education. This is helpful as the evaluation design will contribute to making the evaluation process to be focused and relevant.

3.10.6 Types of evaluation

Policy evaluations arise under a number of circumstances. Researchers may choose to study the implementation of government policies. However, a programme manager may wish to better understand the relation between his/her activities and the ensuing impacts on society. From another perspective, governing bodies and the government might wish to have evidence in a particular case on whether or not the intended effects of government expenditure are meeting intended aims. In specific instances, there may be the need for research to produce a rationale for a particular programme or to demonstrate that the programme embarked upon is rationally managed. In each of all these cases, a particular form of evaluation is called for by an interested party. All or parts of the majority of evaluations have their origins under these circumstances

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(Mayne, 1992:3). This view of multiple purposes of evaluation is held by Lippincott and Stoker (1995:328) writing that to implement change it is necessary to coordinate the actions of numerous, autonomous actors with divergent interests. Contrariwise, Majone (1989:170) shares the aforementioned viewpoint by arguing that multiple evaluation starts with two basic questions, which are: "Evaluation by whom?" and "Evaluation of what?" The first question emphasises the importance of accounting for the presence of different evaluative roles, while the second question directs attention to the three basic modes of evaluation; namely, inputs evaluation, outcomes evaluation and process evaluation.

There are different types of evaluation which may be undertaken. The types of evaluation are policy stages and foci, time-frame and scope (Cloete, in Cloete & Wissink, 2000:215) as explained below.

(a) *Policy stages and foci*

This type of policy evaluation is divided into three distinguishable phases, which are planning or design stage, implementation stage and completion stage.

At the planning stage the feasibility study of the different policy options that may be chosen is undertaken. Herein factors like potential costs, benefits, constrains and the impact the policy may have on the existing ones are identified. In addition, feasibility studies may focus on policy of different sectors; for example, political, social, economic, technological. Techniques made use of in each phase could be statistical and projection, modelling, scenario-building, cost-benefit analysis and others (Cochran *et al.*, 1993:4).

At the implementation stage a policy has to be monitored in order to keep track of the time-frame, the spending in the programme, the progress towards objectives and both the quantity and quality of the outputs. Here project management techniques, which

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focus on the effectiveness, efficiency and levels of public participation are employed (Cochran *et al.*, 1993:4).

After the completion of the policy project or programme evaluation is undertaken to assess either the progress made towards achieving policy objectives or the results of the policy. The results should relate to positive or negative changes to the state of affairs before the policy was implemented. Thereafter causes to the changes are determined. Techniques used at this stage include a wide variety of approaches to data gathering and analysis. Summative oral evaluation should concentrate on the end product and the impact of the changes (Cloete, in Cloete & Wissink, 2000:216).

It is crucial to evaluate the impact of outcomes-based education. This will indicate whether the objectives of the policy have been met or not. Hence, the relevance of policy stages and foci to the thesis.

(b) *Time frame*

Any evaluation may be undertaken over either a short-term, medium-term or long-term period. Quantitative policy outputs may be easily assessed; for example, number of schools built. Intangible outputs or impact are difficult to measure, especially over a short-term period; for example, improved quality of life of a community once schools have become operational. Intangible outputs evaluation needs to take place over medium or long periods, e.g. increase in people formally employed after completing a particular number of years of education or having attained a particular educational standard (Cloete, in Cloete & Wissink, 2000:216).

Time is of the essence especially in policy evaluation. Considering the magnitude of the implementation on outcomes-based education, it is crucial to evaluate it in phases – short-term, medium-term and long-term.

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(c) *Scope*

Evaluation can be narrowly designed for one policy sector only or comprehensively to focus on the integrated assessment of several policy sectors simultaneously. Evaluations can be undertaken for a single policy project or a combination of different policy projects. However, it should be noted that any increase in the scope of an evaluation will also increase the complexity, the cost, and the project life of the evaluation (Cloete, in Cloete & Wissink, 2000:216-217). Policy evaluation is a complex, and at times, a time-consuming exercise. Therefore, it must be properly managed to yield desired results. Hence, a discussion on policy evaluation management ensues.

There are mainly two approaches to tacking or embarking on an assignment. It may be done in piece meal or in full, that is atomistically or holistically. Evaluation of outcomes-based education may be done atomistically or holistically.

3.10.7 Evaluation management

Amongst other considerations, the administrative culture appears to be essential for explaining why a number of countries took the lead in integrating evaluation of the administrative process and in professionalising it (Bemelmans-Videc, 1992:17). In addition, evaluation must have the support and commitment of supervisory functionaries and it requires information on programme performance to ensure that supervisors are accountable and can report to the office-bearers, Parliament and the public. It is support and commitment and the credibility of the findings and recommendations that ensures acceptance of evaluation by line managers. Evaluation results have been significant inputs in the development of new policies and programmes and in efforts to make existing programmes cost-effective. The acceptance within the institution that improved performance is a constant goal to be strived for, has resulted in the acceptance of critical findings as part of the search for how programmes and policies should

be improved (Midgley, 1992:87).   Hence the need for management processes of evaluation.

Factors that play significant roles are the building-blocks of evaluation management: examples are baseline and culmination data; plan and budget for evaluation; and evaluation approaches, methods and aids (Cloete, in Cloete & Wissink, 2000:217-218).

Since evaluation entails determining, measuring and assessing changes that occur in specific target groups, regions and sectors; one needs both a starting and an ending point. That is, evaluation depends on the availability of evaluation data for both the *status quo* at the beginning and at the cut-off point that signals the end of the evaluation period. The better the quality of the baseline and the culmination data, the more accurate the evaluation will be. Another significant aspect of evaluation management is the plan and budget for evaluation. At the inception of the policy project or programme different types of evaluation must be identified. This will make it possible to generate data systematically and effectively as well as monitoring resources, systems and procedures. This will ensure that an accurate estimate is made of the financial resources needed to undertake the evaluation. This will form part of the approved budget for the policy project or programme evaluation (Newcomer, in Bergerson, 1991:58).

No rule is available to determine the size of the evaluation budgets. This will depend on the information and other needs, as well as the scope, depth and methodology to be used. Scholars have suggested, as a rule of thumb, 1% of the project or programme budget to be a realistic starting point (Cloete, in Cloete & Wissink, 2000:218).

The third aspect of evaluation management is the selection of evaluation approaches, methods and aids. The following table contains a summary of the main approaches and methods that may be considered for performance of the policy analysis process (Cloete, in Cloete & Wissink, 2000:219-220).

TABLE 3.2: BASIC METHODS BY STEPS IN THE POLICY ANALYSIS PROCESS

Steps in the process	Method
All steps	Identify and gather data Library search methods Interview for policy data Basic data analysis Communicate the analysis
Verifying, defining and detailing the problem	Back-of-the-envelope calculations Quick decision analysis Creation of valid operational definitions Political analysis The issue paper/first-cut analysis
Establishing evaluation criteria	Technical feasibility Economic and financial possibility Political viability Administrative operability
Identifying alternatives	Research analysis No-action analysis Quick surveys Literature review Comparison of real-world experiences Passive collection and classification Development of typologies Analogy, metaphor and synectics Brainstorming Comparison with an ideal Feasible manipulations Modifying existing solutions
Evaluating alternative policies	Extrapolation Theoretical forecasting Discounting Sensitivity analysis Allocation formulas Quick decision analysis
Displaying alternatives and selecting from them	Paired comparisons Satisficing Lexicographic ordering Non-dominated-alternatives method Equivalent-alternatives method Standard-alternatives method Matrix display systems Political analysis Implementation analysis Scenario writing
Monitoring and evaluating policy outcomes	Before-and-after comparisons With-and-without comparisons Actual versus planned performance Experimental models Quasi-experimental models Cost-oriented approaches

[Source: Cloete, in Cloete & Wissink, 2000:219-220]

In addition to the aforementioned list of research methods, there are a few qualitative data collection methods for formative evaluation that are effective. They are listed hereunder (Cloete, in Cloete & Wissink, 2000:220-221).

TABLE 3.3: DATA COLLECTION METHODS FOR FORMATIVE EVALUATION

Method	Description	Examples
Focus groups	Small group discussion is held with programme delivery staff or recipients, focusing on their reactions to a proposed intervention or their experiences during pilot delivery.	Convene focus groups of teachers who tried out a new curriculum module. Use focus groups of local public housing officials to predict the workability and likely impact of a proposed new programme regulation.
Observation	Evaluator observes actual pilot delivery or video recording of initial delivery.	Observe teacher delivery and student classroom reactions during pilot delivery of a new curriculum module. Observe videos of physicians trying out a counselling intervention to stop patient smoking.
Open-ended interviews	Evaluator asks probing questions of prototypical recipients or deliverers, using an interview protocol without preset response categories.	Briefly interview shoppers after their taste tests of new food for a low-cholesterol diet. Interview Head Start directors by telephone to assess their reactions to a new programmatic use for Head Start funds
Ethnographic analysis	Evaluator uses methods from anthropology (including observation and interviews) to obtain in-depth understanding of recipients' cultures.	Observe the study habits and strategies used by students of various ethnicities learning calculus, by having evaluators like in college dormitories. Attend meetings of local hospital officials to learn how they make decisions to purchase new medical technologies.
Message or forms analysis	Evaluator probes pilot recipients for their understanding of and reactions to specified aspects of a written or media communication.	Interview taxpayers after their first exposure to proposed new IRS forms and instructions. Talk to sample recipients about the meaning, acceptability and likely response to an Aids prevention pamphlet.
Expert judgement	Panel of individuals with extensive prior experience in the content area is convened to offer opinions on proposed programme components.	Convene panels of scientists for opinions on the appropriateness of a new strategic plan for the research grant programme of the National Institute of Health.
Equipment trial	Equipment to be used in intervention is tried out to check its feasibility in an intended situation.	Try out the pilot version of hardware and software for a computerised job search programme for unemployed teenagers in a video arcade or shopping mall.

[Source: Cloete, in Cloete & Wissink, 2000:221]

Evaluation needs to be properly managed. For this to occur basic methods are required to ensure success. Collection of data is crucial in evaluation – hence the need to make use of data collection methods for formative evaluation. These evaluation methods will be helpful in evaluating outcomes-based education policy.

After explaining evaluation management it is prudent to look at the requirements for effective policy evaluation.

3.10.8 Requirements for effective policy evaluation

The following criteria have been suggested as requirements for effective policy evaluation:

❖ Relevance: The evaluation should be relevant for the purposes of resolving an existing policy issue.

❖ Significance: It must make a difference to an existing situation.

❖ Originality: It must generate new information that was not available before the evaluation was undertaken.

❖ Legitimacy: It must enjoy the support of the major stakeholders involved in the policy issue area.

❖ Reliability: The data used must be accurate.

❖ Validity: The findings and conclusions must have effective causal linkages with the descriptive, factual component of the evaluation.

❖ Objectivity: The evaluation should be undertaken in an impartial and unbiased way.

❖ Timelines: The evaluation should be in time to influence future policy decisions about the specific project or programme.

❖ Usability: It should be written in a user-friendly way, with a practical, problem-resolving focus (Cloete, in Cloete & Wissink, 2000:222-223).

Evaluation of a public policy is an essential undertaking. Results obtained from evaluation indicate whether the purpose of the policy has been achieved or not. To ensure successful evaluation, there are certain requirements that must be met. The evaluation of outcomes-based education policy must satisfy these requirements.

After explaining the requirements for effective policy evaluation, it is necessary to look at the impact policies make on the target areas. Hence follows an explanation of assessing policy outcomes or impacts.

3.10.9 Assessing policy outcomes or impacts

Political or real impact assessment is one of the objectives of evaluation. The aim of policy impact assessment is to determine and measure changes in policy target areas, groups or sectors which occurred due to policy implementation. This is, to determine the effect policy will have or has had on the *status quo* where policy intentions can be identified. Where policy intentions cannot be identified, assessment will be of an explanatory nature and will attempt to determine the extent of change, what caused it and why (Cloete, in Cloete & Wissink, 2000:223-224).

There are many outcomes for evaluation which occur throughout the implementation process, from the onset of planning, through the intermediate steps of implementation, and until the last steps of analysis and reporting of outcomes. Laymen in policy analysis will automatically mistake the evaluation report as the main outcome for an evaluation. Although the evaluation report may be a significant outcome, it is certainly not the only evaluation outcome neither is it the most important outcome. There are many outcomes for an evaluation which should be borne in mind throughout the evaluation process, for example, changes in methods of teaching, curriculum development and assessment (Bemelmans-Videc & Conner, 1992:243).

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It is necessary to measure the policy outcomes or impacts. These are set procedures to assess the impacts.

(a) *Impact assessment procedures*

The procedures used for impact assessment are the ones that are used in project management processes. These procedures are designed to achieve clearly specified evaluation results within a specified time period and budget, using specified resources (Cochran *et al.*, 1993:5).

There are two types of impact assessment procedures; namely, social impact assessment procedures and environmental impact assessment procedures.

Social impact is a significant improvement or deterioration in peoples' well-being or a significant change in any aspect of community life. Social impacts are intangible phenomena that cannot be measured directly. To measure them, indicators are used; both subjective and objective indicators. Subjective indicators may be described as results or perceptions interpreted or perceived by those affected. Objective indicators are those that can be measured objectively and directly, regardless of the fact that the affected people agree with them or not. Environmental impact assessment procedures are similar to those used for social impact assessment. Here assessment starts with a scoping exercise. During this phase of assessment issues are identified along with alternatives and procedures to be followed. Hereafter follows the investigation phase during which scoping guidelines are implemented (Cloete, in Cloete & Wissink, 2000:224-225).

The social assessment process is described in Tables 3.4 and 3.45, *infra* (Cloete, in Cloete & Wissink, 2000:226-227).

TABLE 3.4: SOCIAL IMPACT ASSESSMENT: GENERAL METHODOLOGY

Assessment steps	Analytic operations
Scoping How big a problem is it? How much is enough?	Set level(s) of assessment (policy/programme/project). Determine impact area boundaries. Establish time horizons. Develop study design.
Problem identification What is the problem? What is causing it?	Formulate policy goals and planning objectives. Identify publics and concerns. Perform needs assessment. Determine evaluative criteria.
Formulation of alternatives What are the alternatives?	Define a set of 'reasonable' alternatives (corresponding to identified concerns). Determine change agents, instruments. Characterise and describe technical systems; analyse for social (institutional/behavioural) components and correlates. Analyse economic and environmental impacts for secondary social impacts.
Profiling What are the alternatives?	Dimensionalise impact categories. Select impact categories. Assign impact indicators. Perform indicator measurements. Compile a social profile.
Projection What is it causing?	Explicate 'state of society' assumptions. Perform trend impact analysis. Construct dynamic system models. Estimate impact indicator values for alternative plans ('with or without' implementation).
Assessment What difference does it make?	Perform sensitivity analysis for alternative outcomes of alternative plans. Perform a cross-impact analysis. Describe and display 'significant' impacts.
Evaluation How do you like it?	Reidentify publics and concerns. Reformulate evaluative criteria. Rank and weight preferences for alternatives. Perform a trade-off analysis. Identify preferred alternatives.
Mitigation What can you do about it if you do not like it?	Review unavoidable adverse impacts. Identify possible mitigation measures. Perform sensitivity analysis of possible measures.
Management Who is in charge here?	Devise management plan. Adjust planning objectives, operating procedures, design specifications.
(Bottom line) Who benefits and who loses?	(All of the above.)
Now, associate and integrate methodologies, specific techniques and relevant data.	

[Source: Cloete, in Cloete & Wissink, 2000:226]

TABLE 3.5: THE REVISED SOCIAL ASSESSMENT PROCESS

Scoping	Identification of issues, variables to be described/measured, likely areas of impact, study boundaries.
Profiling	Overview and analysis of current social context and historical trends.
Formulation of alternatives	Examination and comparison of options for change.
Projection and estimation of effects	Detailed examination of impacts of one or more options against decision criteria.
Monitoring, mitigation and management	Collection of information about actual effects, and the application of this information by the different participants in the process to mitigate negative effects and manage change in general.
Evaluation	Systematic, retrospective review of the social effects of the change being assessed, including the social assessment process that was employed.

[Source: Cloete, in Cloete & Wissink, 2000:227]

Being familiar with the impact assessment procedures, it is necessary to explain the instruments used to measure observable impacts.

(b) *Indicator*

An indicator is used to measure observable impacts. It is described as a measuring instrument used to give a concrete, measurable but indirect value to an otherwise unmeasurable, intangible concept (Michael, in Bulmer *et al.*, 1986:150).

Indicators can be devised for particular policy sectors like social, environmental, cultural and financial. It gives an approximate value or indicator for an intangible concept. An indicator is not independent, but it is inextricably intertwined with the abstract or intangible concept that it has been designed to clarify (Michael, in Bulmer *et al.*, 1986:151-152).

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There are five main types of indicators that can be used to analyse policy impacts in different sectors. According to Cloete (in Cloete & Wissink, 2000:228-229), these types of indicators are:

❖ *Demographic impact indicators*, which are subjectively perceived or objective changes in a population, size, distribution, and composition. Demographic impacts are analysed by means of estimates, polls, census data, projections and forecasts.

❖ *Geographic and environmental impact indicators*, which are subjectively perceived or objective changes in nature, climate and the quality of the natural and the living environment, including air, soil, noise, water, sea, flora, fauna and topography.

❖ *Social impact indicators*, which are subjectively perceived or objective changes in individual or community profiles. They measure aspects like status, value, institution and behaviour patterns, personal development levels, conflict, cohesion, networks, mobilisation, participation, mobility, stability, family life, youth development, crime, and so on.

❖ *Institutional and technological indicators*, which are subjectively perceived or objective changes in administrative agency size, budget, composition, scope and functions, services and facilities, distribution, accessibility, quality, quantity, effectiveness, efficiency, technology and so on.

❖ *Financial and economic impact indicators*, which are subjectively perceived or objective changes in income and expenditure patterns, taxation, economic growth and decline, inflation, exchange rates, types of economic activity and inactivity, employment, production and consumption patterns, living cost, productivity, and so on.

It is essential to determine the impact policy makes on its beneficiaries. Therefore impact assessment is one of the objectives of public policy evaluation. There are different procedures and methods prescribed to determine the impact of a public policy. These procedures and methods could be applied to the evaluation of outcomes-based education policy to assess its impact.

After explaining instruments to measure observable impacts, it is necessary to look at who is competent to do policy evaluation.

3.10.10   Responsibility for evaluation

In order to do evaluation, specific skills and experience are needed. Evaluation can be done in depth or superficially depending on the availability of funds and time. In depth evaluation is both time consuming and expensive, whereas superficial evaluation does not take too much time and is relatively inexpensive. Evaluation may be undertaken by internal implementation staff, special internal research, planning or evaluation units, independent evaluators and special multi-disciplinary evaluation teams (Cloete, in Cloete & Wissink, 2000:229-230).

Evaluation by the internal implementation staff is cheaper, faster and more cost-effective because they know the project or programme concerned well. The dis-advantage of using internal implementation staff is that they are not experts, they may have vested interest in positive results and they have other assignments to attend to especially when one considers enormous responsibilities of officials of the Department of Education (Bowden, 1988:65). Therefore, special internal research, planning or evaluation units should have specialised research and evaluation skills, which make them suitable to undertake evaluation. However, as they may have designed the policy, they may favour it (Hogwood & Gunn, 1984:235).

Independent evaluators have one major advantage, which is that they may be less biased towards the policy. On the contrary, they could, as outsiders, have less know-ledge and experience of the specific project or programme. In addition, they lack knowledge of the details that may be relevant for the purposes of the evaluation. Finally, they may be more expensive than the internal officials of the Department of Education (Posavac & Carey, 1980:21).

Special multi-disciplinary evaluation teams are preferred as they are usually made up of internal operation staff, or planning staff and external experts from different disciplinary backgrounds (Cloete, in Cloete & Wissink, 2000:230).

Once it is known who should undertake evaluation, it is necessary to identify impedi-ments on evaluation.

3.10.11   Evaluation constraints

Evaluation requires dealing with challenges. There are constraints or impediments that could impede the validity of an evaluation process. To promote the validity of policy evaluation, structural and procedural methods should be considered to stimulate the institutionalisation of evaluation to regulate political interests in evaluations and secure external scientific evaluation research. In addition to the evaluation of evaluation, which is known as meta-evaluation, the evaluation of the evaluation research policy, evaluation processes and evaluation structures also deserve attention. Vedung (1997) states that meta-evaluation might refer to three different operations; namely, evaluation of another evaluation either ongoing or completed; a procedure for summarising and synthesising the findings of several evaluations of the same programme or of any array of similar programmes; and evaluation of the general evaluation function of an institution or unit. Therefore, it would be prudent to allocate part of the research funds to evaluations of evaluation. This could rightfully be

regarded as a worthwhile investment from the point of view of the quality of public administration (Hoogerwerf, 1992:225-226).

To better understand the aforementioned identified problems and possible solutions, it is vital to specify the problems and constraints of evaluation. Factors that complicate, prevent or obstruct effective policy evaluation are the following:

❖ Insufficient planning for and monitoring of the compilation of baseline or culmination data (Hogwood & Gunn, 1984:226).

❖ Absence of policy goals and objectives, as well as unclear or purposefully hidden objectives which could be changed during the implementation of a project or programme (Vedung, 1997:43).

❖ Criteria or indicators for measuring change are sometimes insufficient (Hogwood & Gunn, 1984:224).

❖ Unintended consequences, spillover and side effects may complicate the evaluation process (Vedung, 1997:45).

❖ The cumulative impacts of different but inseparable projects or programmes made as sensible conclusions about cause-and-effect relationships are very difficult or impossible (Hogwood & Gunn, 1984:226).

❖ On account of the fact that evaluation results may be politically or otherwise sensitive, evaluations are either not done, done partially or superficially, or done in a biased manner (Hogwood & Gunn, 1984:227).

❖ One sometimes encounter difficulties in trying to achieve different policy objectives which result in creating an impression of different degrees of policy success. This culminates in evaluation not being embarked upon (Cloete, in Cloete & Wissink, 2000:230).

❖ Insufficient resources for evaluation sometimes prevent evaluation from being done well or not at all (Cloete, in Cloete & Wissink, 2000:230).

❖ Unrealistic or tight time-frames usually prevent thorough evaluations or account for evaluations not being done at all (Cloete, in Cloete & Wissink, 2000:230).

❖ The manner in which evaluation results are written may make them unacceptable; for instance, if they are too academic and impractical, too technical and thus incomprehensible to decision-makers, ambiguous, too late for specific purposes, and too critical of decision-makers or managers and therefore unwanted (Cloete, in Cloete & Wissink, 2000:231).

On account of the massive nature of the implementation of outcomes-based education policy which is countrywide, the probability is high that its evaluation might have constraints. In this regard, meta-evaluation, which is evaluation of evaluation, may prove to be helpful in evaluating the impact of outcomes-based education policy. Meta-evaluation will also help to identify possible constraints and corrective measure put in place to overcome the impediments.

3.10.12   Utilisation of evaluation results

Evaluations are useful in a number of ways beyond the narrow focus on implementing recommendations or making concrete, specific decisions about immediate courses of action. A beneficial spinoff of participative evaluation is that it could positively affect ways of thinking about a programme. Stated differently, utilisation of evaluation results may help to clarify goals, increase or decrease particular commitments and reduce uncertainties. Over and above, the process can stimulate insight, which could reveal consequences which may not have become evident until some time in the distant future (Qvortrup, 1992:272). Kordes (1992:128) concurs with respect to the usefulness of the evaluation results where he states that utilisation of the findings is necessary.

Rist (1992:155) states that he prefers what he terms utilisation focused evaluation. That is, evaluation that begins with the intent of fostering use and doing all that one can to ensure that eventuality.

Evaluation is both demanding and expensive. Therefore, it is imperative that its results be put to good use. For this to happen Arvidson (1992:260) states that clear answers, acceptable for all the parties and documented, will help to decrease the probability of ending with unused or misused evaluation results. Indeed chances are better if the evaluation process will be a source of successive and mutual learning; exactly the outcome anticipated by the public sector and all evaluators.

Evaluation results must be written and summarised in a simple, clear and intelligible manner so that they can persuade policy-makers of their validity and usefulness. Clear evaluation reports will contribute to co-operation between evaluators and future policy-makers (Hendricks & Handley, 1990:109).

There are various guidelines for the preparation of an effective evaluation report. For instance, the reporting method for the diffusion-centred strategy could be as follows:

❖ Reports should be striking and thought-provoking.
❖ Reports should not beat around the bush.
❖ A report should deal trenchantly with an issue; if complex, it should be presented in several reports.
❖ Reports should contain a comprehensive but brief executive summary.
❖ Potential evaluation clients should be identified in advance.
❖ Written reports should be couched in simple and comprehensible language.
❖ Reports should have diagrams.
❖ Important points should be highlighted by means of clear headings, sub-headings, and an inclusive overall analysis.
❖ Methodological considerations should be appended.
❖ Findings, insights and recommendations should be continually disseminated to many audiences before the final edition is completed.

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❖ Every report should have a section on recommendations for action.

❖ Reports should be prompt and timely.

❖ Relevant or affected managers and stakeholders should receive written copies of the preliminary papers and the final issue.

❖ Results should be communicated in person.

❖ Evaluators should be involved in selling their findings.

❖ Evaluators must be available to assist managers, if need be.

❖ Evaluators should be brief and to the point when talking.

❖ Evaluators should tell performance anecdotes to illustrate points.

❖ Evaluators should engage in public debates (Vedung, 1997:281).

Finally, evaluation results should have a direct and discernible effect on discrete political and administrative decisions (Albaek, 1995:6).

Evaluation results of outcomes-based education policy may have several positive spin-offs; for example, it will bring about better understanding of the intended and un-intended benefits. These results should be well reported and documented, and schools be provided with copies. By so doing, educators, who are the main roleplayers in implementing outcomes-based education policy, will be able to refine their teaching methods so that the policy may have optimum impact.

3.11 POLICY ANALYSIS INSTITUTIONS

Issues around and about public policy have become complex and demanding to such an extent that government functionaries cannot cope with them independently. This led to the establishment of policy analysis institutions and policy analysis units within government units. Rieper (1992:249) concurs with these developments where he states that evaluation research should be highly institutionalised. Therefore, it is necessary to discuss functions and tasks of these institutions, possible contributions of

research to policy, contributions of policy analysis institutions to public policy, and the use of research by policy analysis institutions.

According to Weiss (1992:1), in the 20th century a new institutional form emerged; namely the specialised analytic agency. These agencies were staffed by experts where primary responsibility was to provide policy information and advice to government. These analytic units were expected to mobilise intellectual resources for social problem solving, and to help government to think.

A count on the United States of America policy analysis institutions outside of government, including those based on universities, came up with a figure of 1 000. In South Africa the Human Science Research Council is responsible for this task. There was a clear indication that the number of these institutions were on the increase. It is worth while to account for the pervasiveness of these policy analysis institutions or analytic units (Nagel, 1980:87).

According to Hoogerwerf (1992:217), it is impossible to realise a reasonably democratic, balanced and efficient use of the capacity of government without afterward evaluation of existing tasks and evaluation beforehand of new ones. Consequently, the strengthening of evaluation of policy effects deserves the highest political and administrative priority. One way of ensuring that governments implement policies to obtain optimum results is through the use of audits. In this regard Leew (1992:138) states that government-wide audits in the Netherlands are becoming an important instrument to assess the efficiency and effectiveness of government institutions and policies. Firstly, they provide comparative state-of-the-art findings. Secondly, the findings mirror the different departmental units that are part of the audit. Therefore it can be assumed that the results encourage institutional learning by these units. Finally, by performing audits of a comparative nature, given their large scale nature, it is possible to perform secondary analysis on the collected material.

In South Africa it would be convenient and beneficial if universities could be given the responsibility of serving as policy analysis institutions. The added advantage would be that universities have both faculties of education, and economics and management sciences and would be best able to give advice on the evaluation of outcomes-based education policy.

3.11.1 Functions of policy analysis institutions

Policy analysis institutions help policy-makers to understand and cope with complex problems. On account of an increase of government's tasks and complexity, more information is needed to evaluate past performance, to consider future alternatives, and to foresee secondary effects and interactions with policies and objectives. Hence, it is necessary that someone has to take on the challenging work of amassing relevant information and to translate it into a policy framework (Weiss, 1992:4). In this regard Baehr and Wittrock (1981:30) concur with Weiss (1992:4) arguing that the responsibility of the Council for Government Policy is to develop an integrated long-term framework that the government can use to decide on priorities and to make a coherent policy. In South Africa the Human Sciences Research Council and public universities may perform the task.

On account of declining public confidence in government institutions, political leaders seek to demonstrate the reason and rationality for their actions. Policy analysis provides an answer to the question whether politicians and bureaucrats have followed proper procedures to reach correct outcomes (Weiss, 1992:4). Baehr and Wittrock (1981:30) refer to the aforementioned as the usefulness of policy analysis.

Analytic units give officials at the top of public institutions sufficient understanding to exert greater control over subunits. In addition, they also give central bureaucrats more knowledge of what is going on in the field. This knowledge is especially

important since the federal government is responsible for funds given to state and local governments, as well as other corporate entities to administer. Therefore, policy analysis help central government officials and legislators to develop detailed procedures, structures, and systems of incentives to constrain the manner in which policy is implemented (Weiss, 1992:4-5).

Government sought independent research and analysis for a variety of reasons, for instance, if it did not have the requisite skills in-house; if large-scale work would require more staff than government would allow; if its need for certain kind of work was sporadic; if it wanted the imprimatur (approval for something to be printed) of outside authority; if it wanted to impress sceptical citizens about the validity of its analytic work; and if it wanted to be allied to prestigious policy analysis institutions (Weiss, 1992:5).

Think-tanks proliferated as a result of huge demand. Furthermore certain interest groups felt that their needs were overlooked; hence, they established their own policy analysis units (Weiss, 1992:5). Appropriate examples of the aforementioned is the Social and Cultural Planning Office in the Netherlands and the Human Sciences Research Council in South Africa. One of its main functions was to prepare scientific surveys in order to obtain a coherent description of the condition of social and cultural well-being in the Netherlands (Baehr & Wittrock, 1981:29).

It is worth noting that some of the expectations for policy analysis units were unreasonable. According to Weiss (1992:5) they were out-of-left-field or pie-in-the-sky. Be that as it may, it is essential to take note of specific steps when embarking upon an evaluation assignment. According to Arvidson (1992:259-260) those steps or recommendations are:

❖ Choose and communicate a perspective and a focus for the evaluation; clarify the purpose; control, validation or innovation.

❖ Establish whether the evaluation will be worthwhile. Will any of the potential outcomes of the evaluation make a difference concerning the future operations? If not, why evaluate?

❖ Ascertain whether it is possible to do a meaningful evaluation, that is, conduct an evaluability assessment before the assignment is made.

❖ Clarify the roles in the evaluation process of the politicians, the managers, the field staff, the evaluator, and the beneficiaries.

❖ Specify the proper timing and form of presentation, especially if decision makers are not actively engaged in the evaluation process.

❖ Set out in a contract: letter of agreement or memorandum of understanding, the decision on each of the above issues and any others that are critical to the evaluation, such as costs, access to files, and administrative support.

Policy analysis institutions are beneficial to governments because they give guidance on public policy implementation and evaluation. On account of the fact that the South African government since the dawn of democracy is prolific in producing new policies, it is imperative that it should have a number of policy analysis institutions. In this regard public universities could fulfil the role of policy advisory institutions admirably and outcomes-based education policy should be referred to one of them.

The thrust of the work of policy analysis institutions or units is to undertake research on policy-related matters. Therefore, it is necessary to discuss the possible contributions of research to policy.

3.11.2 Possible contributions of research to policy

There are five possible contributions of research to public policy making and the results thereof. Firstly, it assists in the analysis of social problems. A problem is described as a discrepancy between a goal or some criterion and the perception of an existing or expected situation. Research can provide knowledge and insight regarding existing situations, expected situations both with their causes and effects, and the criteria for the evaluation of existing and expected situations (Baehr & Wittrock, 1981:30-31).

Secondly, research assists in the analysis of existing policy. Policies, by nature, are concerned with the achievement of certain goals with certain means and in a certain time sequence. Initially, researchers can analyse the means-end-structure of a policy. Thereafter, the underlying causal factors can be analysed and compared with scientific theories or with research results. Finally, researchers can compare and select a policy content with one or more of that of other policies. Analysis of policy content can be undertaken looking at the following aspects: finality, level of abstraction, priorities and time sequences (La Plante, in Bergerson, 1991:58).

Thirdly, research can concentrate on the analysis of policy processes. This involves the analysis of the preparation, determination, implementation, evaluation and adaptation of policies. The major emphasis in this contribution falls on evaluation of policy, policy processes and policy effects. In the case of evaluation, the main question to be answered is: To what extent does policy implementation contribute to the achievement of specific goals? Stated differently, evaluation research is dominated by the demand for policy effects and particularly by the demand for effectiveness (La Plante, in Bergerson, 1991:58).

Fourthly, research can contribute to the design of policies, that is, policy development. There are four distinguishable policy design types. Firstly, a policy design can be for-

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mulated in terms of final goal(s), intermediate goals, and instruments. A final goal is defined as a goal that the policy-maker intends to achieve via one or more goals. An intermediate goal is a goal that a policy-maker intends to realise in order to achieve a further-reaching goal (Baehr & Wittrock, 1981:31).

Furthermore, a policy can also be designed in terms of ordering goals according to the level of abstraction, that is, main goals, sub-goals and singular goals. A main goal is the ultimate situation or development that is strived for in a certain policy area. In the process of goal analysis, sub-goals intervene as transitions from abstract main goals to concrete singular goals. Main goals may be specified in terms of functions, for instance, preventive versus curative. Singular goals are deduced from sub-goals. In addition, policy design may be in terms of priorities. In this context, priority means that the achievement of one goal is more important for the policy-maker than the achievement of another. The policy-maker prefers priority goals because they yield larger returns than other goals (Baehr & Wittrock, 1981:32 and La Plante, in Bergerson, 1991:59-60).

Fifthly, a policy design can be formulated in terms of a time sequence. In this regard differentiation can be made between primary, secondary and later goals. A primary goal is a goal that a policy-maker wants to achieve first. Secondary goals are goals that the policy-maker wants to achieve after primary goals (Baehr & Wittrock, 1981:32).

Research may contribute significally to the implementation of outcomes-based education policy; because it analyse the social problems or issues, existing policies, and the policy process. It contributes to the design of the policy and the differentiation of policy goals. Information gained from the analysis of the policy process will assist, in particular, the implementation evaluation of outcomes-based education policy, which is what the thesis is all about.

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Apart from contributions made by research to policy analysis, policy analysis institutions or units also do contribute to public policy. The following example of a research unit will shed more light on this matter.

3.11.3 Centre for Policy Research in Education: An overview

The Centre for Policy Research in Education was established in 1985 in the United States of America in the Department of Education. Its overarching goal was and still is to provide research that is useful to state and local policies to improve schooling. Its overarching goal is to provide research results that are useful to the state and local policy-makers. That is, research that meets the needs for information and is readily accessible. The centre's research is intended to provide advice about policy options to enhance learning. It is not supported by clients it serves, but by the Federal Government (Bulmer *et al.*, 1986:63).

The Centre for Policy Research in Education has the following distinguishing features: a research agenda built around client concerns; a national consortium structure that unites education policy researchers at various institutions and facilitates contact with state and local policy-makers; and an emphasis on creating dialogue between the producers and users of research results (Bulmer *et al.*, 1986:69).

Contrariwise, the development of policy evaluation in the United States of America has been categorised on the basis of focus, that is the subject; locus, that is the institution performing the evaluation; and modus, that is the methodology (Hoogerwerf, 1992: 215).

CHAPTER 3

(a) *Building research around client concerns*

Although the mission of the Centre for Policy Research in Education is determined by the Federal Government, the centre's researchers desire that the work of the centre be responsive to the needs of its primary constituents, namely, state and local policy-makers. This is confirmed by Sabatier and Mazmanian (1995:178) when they state that evaluative research may indicate which issues policy-makers consider to be worthy of serious attention. Consequently, from its inception its role has been to provide research capacity around issues of interest to state and local policy-makers. Later on, a need was felt to redefine the mission of the Centre, which was confined to meet the needs of professional education. Therefore, the new mission focused on both the needs of the educators and public officials to implement policy decisions (Weiss, 1992:82-83).

In the interest of being focused and relevant, the Centre invited suggestions about new problems and emerging solutions to study from its clients. The Centre has a governance structure which is made up of an Executive Board, Research and Dissemination Advisory Committees, affiliated institutions, and a Management Committee. The Executive Board is the primary mechanism for sensing the information needs of the policy community. The board is made up of elected and appointed policy-makers and other participants in the policy-making and implementation process, including teachers, parents, and business leaders. Other members of the board are scholars with significant research experience in education policy. At an annual meeting and through information communication throughout the year, board members advise the centre about framing research so that it is most useful to policy-makers (Weiss, 1992:83).

Members of the Research Advisory Committee are outside scholars from state and local research agencies and universities. Its function is to serve as a mechanism for ensuring the integrity, quality and coherence of Centre research. By including research members

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who are not associated with the Centre for Policy Research in Education, the Centre gains the perspective of users of its research and benefits from the expertise of colleagues who perform similar work. On the other hand, the Dissemination Advisory Committee is composed of six members who are outside scholars who specialise in knowledge utilisation, journalists, and experts in public relations. The function of this Committee is to provide advice on the basis of its assessment of dissemination performance and prospects. Furthermore, it serves as a mechanism for ensuring integration of dissemination strategies (Bulmer *et al.*, 1986:79).

There are 19 national associations that are affiliated to the Centre. These associations represent key policy-makers, practitioners, and interested participants from the education policy community. The associations provide the Centre with important advice about information needs. At regular meetings and through frequent consultation, their staff advise on the Centre's research agenda, dissemination plans, and progress. Over and above that, the associations also help in the dissemination of the Centre's products (Weiss, 1992:84).

It is essential to build research around clients' needs. Research by nature is goal-directed to generate knowledge, to test the validity of existing knowledge, and to address social issues and problems. Therefore, knowledge gained from research may assist educators to implement outcomes-based education policy successfully.

(b) *The national consortium structure of the Centre for Policy Research in Education*

A second distinguishing feature of the Centre for Policy Research in Education is its structure as a consortium. Research centres, which are members of the consortium, conduct systematic, programmatic research. They address major educational issues like the relationship between educational policy and student learning. These centres

attract senior researchers and provide leadership in both substantive and methodological areas. Moreover, research centres have mechanisms for disseminating findings and creating long-term interaction with practitioners and researchers (Bulmer *et al.*, 1986:3-4).

As it is impossible for one institution to fulfil the broad mission of the Centre focused on educational policy, an institution consisting of core institutions was created. The Centre for Policy Research in Education is housed at six institutions, namely, Rutgers University, Michigan State University, Stanford University, University of Wisconsin-Madison, Harvard University and the University of Southern California. Each institution is a full partner in all research and dissemination activities. As a member of the consortium, each institution is represented on all governance and management structures (Weiss, 1992:86).

The operation of the Centre for Policy Research in Education is greatly enhanced by its consortium structure. Firstly, the location of the six institutions in different geographical regions facilitates dissemination and collaboration with regional, state, and local participants; it also lowers the cost of conducting national research. Secondly, the Centre can draw on many of the most talented education policy researchers in the country. Thirdly, the consortium structure means that several institutions are strongly committed to the Centre and provide it with resources and experience that a single institution cannot match. Fourthly, and finally, a consortium structure takes advantage of technological advances that overcome many of the drawbacks of geographic dispensation (Bulmer *et al.*, 1986:13-16).

Constructing and operating a successful consortium is not only a matter of linking interested researchers electronically, but also consortium institutions must be compatible on a number of dimensions to sustain a collaborative research endeavour. These dimensions include beliefs about governance, the priority of centre-wide con-

cerns, appropriate division of labour, and shared institutional support. Compatibility on these dimensions may be maximised in alliances among institutions of the same type, for example, among universities, among contract research centres, and among government research agencies (Weiss, 1992:88).

With regard to the first dimension of centre governance, the partners need to develop decision-making mechanisms for the Centre that reflect shared beliefs about how the Centre should be run. Partner institutions must agree on fundamental issues: for example, which and how much of the Centre's activities are subject to democratic governance; how institutional partners are represented; whether institutional partners should be equally represented; and how centre governance may be modified. As a second dimension, consortium members need to be compatible on the relative priority placed on centre-wide, as opposed to institutional concerns. For example, decisions about the nature of the research dissemination programme take centre needs into account first. A third dimension in which institutional partners must reach agreement is the issue of division of labour. Finally, a fourth dimension of a successful consortium is shared institutional support. For example, the support of the universities to the Centre is that they value policy research and that they accord priority to applied research and public service (Bulmer *et al.*, 1986:14-16).

A consortium is a sensible and cost-effective arrangement for running a national policy research centre focused on state and local issues.

Unlike the United States of America which has many policy analysis institutions, South Africa has the Human Sciences Research Council. Public universities could be requested to play the role of policy analysis institutions. As the Department of Education has more responsibilities than other departments, especially when the number of schools, learners, educators, school governing bodies, other office-bearers, and auxiliary services are taken into account. This implies that the needs of the Department are

many and varied. Therefore, the structure of the unit within a university responsible for policy analysis should be such that each facet of the Department is represented.

(c) *Creating a dialogue between producers and users of research*

Researchers need to be accountable for the various ways in which research is used in order for it to be useful. It is a known fact that social science research has few direct effects on policy, especially policy-makers as they make their decisions. Research influences policy at the Centre during policy deliberations, shapes debates and spurs public discussion. The Centre contributes to policy deliberations by identifying the conceptual issues underlying policy problems and clarifying the assumptions of alternative policy solutions (Weiss, 1992:91). In fact, research is considered to be a distinguishing feature of a process approach to analysis. At this phase of policy analysis a variety of alternative options, relative to the social problems are then put forward for consideration (Carley, 1980:41). Majone (1989:21) concurs when he states that the policy analyst's job is only to determine the best means to achieve given goals.

For research to influence policy as intended, it must be presupposed that an appropriate dissemination strategy will be formulated. The strategy in question should be built on the following principles: dissemination is continuous, dissemination is an integrated endeavour, dissemination relies on existing channels to the extent possible, and dissemination is multifaceted (Weiss, 1992:93-94).

Dissemination is continuous in the sense that information about research is made known, not only at the end of research, but as it progresses. That is, researchers select, translate, and deliver knowledge that already has been produced. On the other hand, dissemination is an integrated endeavour as it is not separate from other activities. This means that users of research results are involved in the planning and production of information. An advantage of this approach is that it encourages users to use research results. Another advantage of the approach is that it engenders a sense

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of ownership through the process of dissemination. Besides, dissemination is also used to solicit ideas for research from policy-makers, as well as supplementing the meetings of the advisory structures of the centre. Individuals who conduct research are the ones who deliver it to the users. This procedure is important because it ensures that researchers are exposed to ideas and suggestions from the people on the ground, and it helps prevent distortion of information in the passage from researcher through intermediaries to policy-makers (Weiss, in Bulmer *et al.*, 1986:39).

Dissemination relies on existing channels to the extent possible. The primary channels for disseminating policy research are the national institutions to which policy-makers and participants, that is researchers, belong. These institutions have a responsibility for providing information, technical assistance, and other services to their members. In fact, evidence suggests that, in a large part, education policy-makers look at their own professional associations for information (Weiss, 1992:93-94).

Dissemination is also multifaceted as it often relies on only a few ways, but mainly in written form. However, in keeping with the viewpoint that different audiences are receptive to different communication forms, the Centre for Research Policy in Education uses multiple information activities, both written and person-to-person. Written materials range from reports to policy briefs and press releases. On account of the fact that literature on research utilisation has found translation or interpretation to be a major problem, hence the Centre places great emphasis on succinctness and clarity. It has also been found that policy-makers create files by topic; for example, dropouts, retention in grade, restructuring schools, and so on. Hence, the Centre's policy briefs concern a single issue, making it easier for users to store research results in specific files for future reference (Bulmer *et al.*, 1986:15).

Closely related to dissemination of research results are public information campaigns. Weiss (1993:100-101) stressed their importance when she stated that they have

attracted some attention from social scientists outside of policy studies.

Public information campaigns serve as effective and efficient communication tools. For instance, they offer an interesting case for the analysis of political consequences because they attempt to change what people think and what they talk about. Unlike policies which are directed at government or business, public campaigns are directed at individual members of the public (Bulmer *et al.*, 1986:46).

Public information campaigns, like many other matters that deal with community life, have their own shortcomings for purposes of obtaining democratic participation. First, campaigns may weaken and distort the competition of ideas in a free and open market-place. Second, public information campaigns may threaten the democratic process by circularity of democratic control and self-aggrandizement by government agencies. Third, public inequalities to access information between well-educated and poorly educated citizens. Fourth, public information campaigns may constrict the roles of citizens by closing off opportunities for choice or autonomy, promoting passivity in political discussions, or denying the legitimacy of the citizens' own understanding of social circumstances (Weis, 1993:103-104).

Researchers embark on research to produce or create knowledge that is useful. Research results may be geared to solve certain public problems, or shed light on certain issues, or be solely for the creation of knowledge. For these results to be optimally utilised, there must be a free flow of communication between researchers and those who make use of research results. Sharing of information should not be confined to the end of a research project, but as the research is in progress. This applies to research on outcomes-based education policy. It is crucial that information gained from the implementation of outcomes-based education policy be made available to schools and officials of the Department of Education.

CHAPTER 3

3.12   CONCLUSION

From the explanation of public policy and policy analysis it is evident that information gained is useful in policy implementation. It is essential to know what a public policy is, the process of policy formulation, types of policies and who policy-makers are and the factors that influence their decisions. The study of these factors indicate that the formulation of a public policy is a complex and intricate process which calls for insight, skills and innovation. Outcomes-based education policy is no exception.

Policy analysis is mainly concerned with identification of social problems and issues and how to address them. Furthermore, it provides tools that would help politicians whether a public policy is cost-effective, affordable, beneficial or unrealistic and hence worthless. In the case of outcomes-based education policy, policy analysis would play a pivotal role in determining, in monetary terms, its impact as well as its worth. Stated differently, policy analysis would help to determine whether the implementation of outcomes-based education policy is beneficial or not.

From the study of policy analysis it has emerged that it is essential in helping govern-ments implementing public policies successfully. It is for this reason that it is imperative for the South African government to establish policy analysis institutions. Public universities, which are mainly state-funded, are in a better position to fulfil this role because they are sites of academic excellence. In the case of the implementation of outcomes-based education policy, public universities are in an ideal position to help because they have expertise in the Faculties of Education and Economics and Manage-ment Sciences. The establishment of policy analysis institutions at universities will contribute positively to the implementation of outcomes-based education policy.

The public policy under consideration is outcomes-based education policy. In keeping with the relevant policy directives, there are certain activities that are unique to the

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implementation of outcomes-based education policy. These activities can be regarded as distinguishing features of practising outcomes-based education policy. Stated differently, outcomes-based education policy instructs educators and learners as the main role players in education to behave in certain peculiar ways, and to perform the tasks of teaching and learning in accordance therewith. The peculiarity of the implementation activities and roles of educators and learners is described in the following chapter.

CHAPTER 4

ROLES OF EDUCATORS AND LEARNERS IN THE IMPLEMENTATION OF EDUCATIONAL ACTIVITIES

4.1   INTRODUCTION

Implementation of outcomes-based education finds expression in the roles played both by educators and learners. As the educator makes use of different approaches to assist the learners achieve learning objectives, there are certain ways in which he/she has to behave that conforms to the outcomes-based education approach.

The theme of the research is the implementation of outcomes-based education policy. Educators and learners are the main roleplayers in the implementation process. It is therefore essential to indicate how the implementation of the policy impacts on them. This impact finds expression in the implementation activities with respect to the roles played by educators and learners. Hence, the need to explain the implementation activities performed by educators as well as learners to obtain successful implementation of outcomes-based education policy. The matters that the educator may be concerned with or in which he/she may be participating are –

❖ reflective teaching practice;
❖ multicultural classrooms;
❖ possible outcomes of learning;
❖ teaching strategies;
❖ lesson planning and preparation; and
❖ roles of educators and learners.

These matters are dealt with below.

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4.2   REFLECTIVE TEACHING PRACTICE

Broadly stated, reflective teaching is thoughtful teaching. This approach to teaching requires teachers to question their classroom practices, their beliefs about teaching, forces that influence the subject matter and methods of teaching which will satisfy set moral and ethical principles of teaching. Stated differently, reflective teaching practice, according to Van der Horst and McDonald (1997:118), is a process of interrogating ones teaching in relation to –

❖ purpose;
❖ focus;
❖ methodology; and
❖ supportive environment.

Purpose refers to the need to improve some aspects of teaching. It may be general or specific. A statement of purpose needs answering the following question: "Why do I want to reflect on my teaching?" Focus follows on the purpose. In order to stay focused the educator must ask: "What will I be reflecting on?" To obtain clarity about focus and purpose, there is a question the answer of which serves as a guiding star that leads to the selection of suitable methodology. To choose a correct methodology, the educator must ask: "How can my reflection be guided to help me achieve my desired purpose?" (Van der Horst & McDonald, 1997: 118 & 119).   The aim of ongoing evaluating of one's teaching is to evaluate one's teaching with the constant aim of improving it. The process is continuous throughout the educator's career – that is, to be self-critical about one's teaching, and trying out new ideas (Petty, 1995:361).

A supportive environment refers to a teaching and a learning milieu that lures educators to teach effectively and learners to learn effectively. Such a conducive teaching and learning environment will be subject to constructive criticism, institutional norms of

collaboration and structural arrangements that promote essential joint ventures by colleagues (McIntyre & O'Hair, 1996:2).

The major aim of reflective teaching is to encourage teachers to be open about problems they encounter in teaching and to discuss them with their colleagues. This creates opportunities for educators to think about teaching, with the aim of improving it. The more educators think and talk about their teaching practice, their teaching ceases to be routine and becomes reflective (McIntyre & O'Hair, 1996:3).

Reflective teaching practice dictates to educators how they should behave and which role to play. That is, it spells out a package of activities which educators must engage in while implementing outcomes-based education. Therefore, reflective teaching practice serve as a means of implementing outcomes-based education policy successfully.

Another factor that needs to be taken into account in a teaching and learning situations are learners. The composition of the classes, its homogeneity or multiculturalism will influence the educator's teaching. Multicultural classrooms, as far as outcomes-based education is concerned, will be explained in the following section.

4.3   MULTICULTURAL CLASSROOMS

Unlike in the past, before the birth of the new South Africa which was ushered in by the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), schools were provided racially. Learners attended schools which were racially segregated according to the policy of separate development. Nowadays multiracial classrooms are a common feature of the school system. Learners, from different racial groups and cultures, are in the same classroom. In such a classroom learners are exposed to one another's culture and are expected to respect their cultures as valuable educational resources (Coutts, 1990:5).

In fact, multicultural classes are a product of multicultural education. As implicitly stated before, South Africa is a multicultural and a multiracial country. It is also affectionately known as the rainbow nation to emphasise the multiplicity of its cultures. Therefore, it makes sense to utilise multicultural education in such a setting. In this regard Squelch (1991:14) states that a multifaceted educational approach aims at preparing learners for life in a multicultural society.

Van der Horst and McDonald (1997:119-120) explain the concept of multicultural education in terms of its essential features, which are –

- ❖ it recognises and accepts different cultural groups;
- ❖ it sees multiculturalism as an asset and not a liability;
- ❖ it advocates a just and democratic society;
- ❖ its meaning is broad and it encompasses age, sex, language and learning style;
- ❖ it is inclusive and not divisive;
- ❖ it is committed to and encourages democratic processes and practices; and
- ❖ it is opposed to racism and prejudice in society.

In order to understand the present, we need to know the past. As it is commonly stated that one cannot know where one is going unless one knows where one comes from. It is therefore necessary to understand that in the past the South African school system was based on racial grounds. The differences of racial groups were emphasised. This practice denied learners of different cultural groups to learn from one another. Coutts (1992:40) describes this setup as a schooling dispensation that emphasised cultural identities and which structured its schooling to affirm and transmit such identities.

One of the intended or unintended outcomes of the systems of education is that blacks despised their own languages. Frederickse (1992:122) illustrates this point by saying that in South Africa most of the former white state schools did not teach any of the

African languages. The result was that learners learned and wrote only English and Afrikaans. Unfortunately this tendency of ignoring African languages deprived English and Afrikaans speaking learners of knowledge of the cultures of their black classmates. That is, the multicultural classrooms did not accommodate all the cultures of their learners. Lemmer (1993:18) acknowledges that the problem faced by South Africa was that the majority of educators were trained in segregated colleges of education and lacked experience of multicultural education.

The other side effects of racially segregated education were inferior education and un-skilled and semi-skilled workers. Mathunyane (1996:45) describes the result of the separate school system as responsible for most blacks being undereducated, under-skilled and underdeveloped. Consequently they were unable to participate profitably in the social, economic and civic life of their country.

This state of affairs necessitated the need of transformation in the education system; to transform the educator's role from that of monocultural to multicultural classroom. Educators had to be provided with tools or techniques to engage in productive trans-formation. This will enable them to acknowledge and respect that different cultural experiences of learners are useful resources of teaching and learning. In this regard Munsamy (1999:80) confirms the need to acknowledge cultural differences in teaching. Le Roux (1997:63) also echos the sentiments expressed about cultural differences.

From the above it is clear that successful teaching should take into account that both the learners and the educators could have different cultures. Culture is of paramount importance and must be respected in teaching and learning. The nature of culture, which is described by Arends (1994:135) as a way of seeing, perceiving, and believing, demands that it must be accorded special place in education. From another perspec-tive, Le Roux (1997:11) maintains that it is the responsibility of the school to transmit culture. Therefore, by implication, education should not be culturally biased. It thus is the responsibility of educators, especially in a multicultural society like South Africa, to

present lessons in a culturally neutral fashion. Besides, multicultural classrooms dictate that all cultures represented by the learners and the educator in a classroom must be treated as equally important. Stated differently, educators in the multicultural South Africa have no choice but to acknowledge multiculturalism in teaching.

On account of the significant presence of culture in a classroom, educators must utilise teaching styles that are appropriate to multicultural classrooms. In fact, each learner brings into the classroom experience and knowledge that has been coloured by his/her culture. The prior learning knowledge that the learner has acquired influences his/her learning style. It is therefore important that the educator must take into account cultures that are present in his/her classroom and to select and apply an appropriate teaching style. In this regard Dekker en Lemmer (1993:43) maintain that educators should take into account culture when evaluating and selecting an appropriate teaching style. Munsamy (1999:148) concurs with the above because he also reiterates that educators should be aware of the cultural background of their learners and take the same into account when considering the manner in which learners should learn.

It follows from the central role played by culture in teaching and learning that for teaching to be effective, it must be cultural sensitive. As a result of the presence of diverse cultures in the classroom, educators must accommodate the multiplicity of cultures in their teaching styles. Van der Merwe (1997:27) confirms this point of view when he states that educators must design their teaching styles to accommodate multiculturalism in their classrooms. Lemmer and Squelch (1993:63) express the same feeling when they state that by employing a diversity of teaching styles educators can help to enhance learners' classroom behaviour, and their attitude towards school and academic achievement.

CHAPTER 4

Other authorities who advocate the influence that culture has on teaching and learning include Van der Merwe (1997:12) as he writes that schools must adapt to their environment and respect the characteristics of the local community. In pursuance of their belief on the sensitivity of learners' cultural backgrounds, Wlodwski & Ginsberg (1995:17) state that to be effective in the multicultural classroom, educators must relate teaching content to the cultural background of the learners. Thirdly, Irwin (1997:2) states that in implementing multicultural education and addressing diversity issues calls for educators to equip themselves with pertinent knowledge, skills, and attitudes that are congruent with behaviours indicative of acceptance, respect, and awareness. He further states that the role of educators in the classroom is vital for the success of multicultural education. That is, educators have the authority and the means to create classroom climate that will enhance positive attitudes, values, beliefs and positive expectations among all learners.

Pursuant to its objectives of seeking to bring about reform in the school system, multicultural education makes use of many teaching styles. On account of the fact that teaching methods are culturally influenced, some methods are more effective for some learners than others. To counteract or eliminate the cultural inclination of teaching styles, many teaching styles must be utilised to cater for the different cultural groups. Some of the teaching styles that the educator may employ in teaching include role playing, games, independent study, project work and group work. Over and above this, the teaching styles must be modified to be in harmony with the different learning styles of the learners (Van der Horst & McDonald, 1997:120).

From the foregoing argument it is evident that teaching must be conducted in ways that will neutralise the effects of cultures present in a classroom. A set of guidelines have been formulated and recommended for implementation in order to assist educators to teach effectively in their classrooms. In this respect, Van der Horst and McDonald (1997:120-121) identified general guidelines which, when applied, will enhance the chances of effective teaching in multicultural classrooms, which are –

❖ to make room for alternative modes of response, visual or graphic rather than verbal;

❖ shortening of assignments given by breaking them into segments;

❖ ensure that learners experience success and develop self-confidence by first giving them simple tasks. Thereafter assignments should be made gradually difficult. That is, the principle of using simple to more difficult exercises and assignments must be followed;

❖ learners should be given the latitude to choose from alternative activities and assignments;

❖ that permission must be granted to learners to choose from preferred forms of responses to improve their motivation level;

❖ abstract concepts, which are generally speaking difficult to comprehend, must be taught by using concrete examples to promote understanding;

❖ language used in written texts should be carefully chosen in such a way that it does not tax learners beyond their reading level; and

❖ educators should formulate and articulate academic and behavioural expectations and communicate them clearly, precisely and concisely to learners.

From what has been argued so far about the nature, character and influence of multi-culturalism in classrooms, it is evident that multicultural education is posing a real challenge to South Africa. The new democratic South Africa is provided for in the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996). Non-racialism and non-sexism are foundations of the *Constitution of the Republic of South Africa*, as provided in its section 1.

Multicultural classrooms are a common feature of the school system in the democratic South Africa. Explanation of multiculturalism implies that there must be acceptance of diversity of age, sex, language, religion and learning styles; fairness in dealing with different racial groups; learners' and educators' cultural differences be respected;

educators use teaching styles that accommodate and are friendly to different cultures; and schools should adapt to their environment and local community. Thus, it can be deduced that multicultural classrooms compel educators and learners to behave in a specific manner. That is, multicultural classrooms should facilitate the implementation of outcomes-based education policy by redefining the roles to be played by educators and learners.

Multicultural education demands that educators must be appropriately competent and effective. In order to achieve this aim, educators must know possible outcomes of learning.

4.4   POSSIBLE OUTCOMES OF LEARNING

Outcomes are results of learning and involve demonstrations of performance of what learners have learnt. Stated differently, the focus or emphasis is on what learners can do as a result of what they have been taught when they reach a particular stage in learning. Therefore, outcomes are the results of learning processes and refer to know-ledge, skills, attitudes and values within particular contexts. Learners should be able to demonstrate that they understand and can apply the desired outcomes within a specific context (Department of Education, 1997:118). Wessels and Van den Berg (1998:2) concur with the above when they state that outcomes are the observable knowledge, skills and values that learners acquire.

Van der Horst and McDonald (1997:121) describe learning outcomes as the issues that learners must learn. These outcomes influence the way educators plan their instruc-tion. In making decisions on what learners must learn, educators must take into account the knowledge, skills and attitudes that must be acquired in a given learning area. Therefore, the starting point is the formulation of outcomes which will follow on instruction and assessment structured for specific outcomes. Thus, the approach for outcomes-based education is the alignment system which promotes the matching of

outcomes with the instruction and assessment processes.

The aforementioned vision of outcomes is shared by the Gauteng Department of Education and Vista University (2002:5) whose approach is that outcomes are clear statements of desired educational achievements, results, and accomplishments that educators want learners to demonstrate at the end of significant learning experiences. The objective becomes the starting point for curriculum, instruction, assessment planning and implementation, all of which must be focused on desired outcomes. These clear, comprehensible and appropriate statements indicate the knowledge, skills, values and attitudes that learners must demonstrate at the end of instructional material learnt.

The inclusion of knowledge, skills, attitudes and values in the aforementioned definitions of outcomes, is essential. Outcomes need to be understood in a broader sense. They involve, amongst others, integrative capabilities that draw on an understanding of underlying principles and processes, and transferability of application.   Therefore, outcomes should not be seen as products that can be measured, but as processes and thinking skills (Wessels & Van den Berg, 1998:2). This view of what outcomes are, is shared by the South African Qualifications Authority (SAQA) stating that outcomes underpin all learning, teaching and training in all learning areas. These outcomes will promote critical tinking and lifelong learning, and ensure that learners can apply and integrate what they learn within different settings (*SAQA Bulletin*, 1997:7).   The Department of Education (1996:18) also maintains that learners should be able to demonstrate that they understand and can apply the outcomes within a particular context. However, Spady (1994:4) gives another shade of meaning of outcomes when he states that outcomes must take precedence over time for their achievement.

From the explanation above, it is clear that outcomes are central to outcomes-based education. According to Spady and Schlebusch (1999:38-39), formulation of outcomes serve the following purposes –

❖ drawing special attention to a matter;

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❖ focusing time and strategies on its accomplishment;

❖ making it a top priority in instructional planning and delivery; and

❖ determining the essence of what will be assessed, credentialed and reported.

From this point of view, outcomes are the starting point, the centrepiece and the bottom line of all teaching efforts. Hence, the need to identify what outcomes require of learners and educators and their long-term impact on learners' futures.

Spady and Schlebusch (1999:39-50) outline major distinguishing features of outcomes, which are –

❖ outcomes that go beyond defining and accomplishing a learning system's top priorities while focus shifts from the specifics of given courses or programmes to the long-term importance and impact of the learning on the career and personal success of learners after completing their studies – outcomes of significance;

❖ outcomes are visible things that happen and learners do, implying that the outcomes are visible and demonstrable, and described in demonstration verbs;

❖ outcomes are demonstrations of learning that happen at or after the end of designated courses or programmes;

❖ outcomes take many forms as they involve skills and competence which range from the simple to the complex, from micro to macro, and from those tied to specific content to those influenced by the nature of complex contexts and settings; and

❖ outcomes are actual demonstrations of actual substance for which there are no inherent scores and numbers while substance must be dealt with on its own terms. It cannot, like numbers, be added up, averaged, weighted, and divided.

The outcomes have particular implications for educators as facilitators of learning. The assumptions of the outcomes approach in general have been embedded in effective teaching practices. However, outcomes make some of these embedded practices more

explicit. Outcomes-based education demands clarity about what exactly are being taught and learnt, and how to assess learners. This is made possible by naming elements of skills, knowledge and values in outcomes and assessment criteria, and asking that these be demonstrated through various kinds of evidence, processes and performances (Wessels & Van den Berg, 1998:11).

Research has proved that learning should proceed along different routes depending on what outcomes learners intend to acquire. Regardless of the fact that there could be different ways to characterise what learners learn, the result could be indicated taxonomically. In this regard Gagné (in Van der Horst & McDonald, 1997:122 & 132) distinguishes five major domains of such learning outcomes, which are:

❖ verbal information;
❖ intellectual skills;
❖ cognitive strategies;
❖ attitudes; and
❖ motor skills.

In addition to the afore-mentioned contribution Gagné (in Van der Horst & McDonald, 1997:132), proposes that there are nine instructional activities that educators need to make use of in order for the learners to attain the expected learning outcomes. The instructional activities in question are the following:

❖ stimulating or motivating learners to be attentive;
❖ informing learners of outcomes in advance so that they can develop relevant expectations;
❖ reminding learners of what they have learnt that is relevant to what is to be taught;
❖ guiding learners until they understand;
❖ asking learners to apply knowledge already gained to indicate that they understand

it;

❖ presenting the lesson clearly and distinctly;

❖ assessing each learners' performance;

❖ giving learners practice exercises in order to promote retention and generalisation (Van der Horst & McDonald, 1997:122).

To illustrate Gagné's (in Van der Horst & McDonald, 1997:123) theory in practice, his major learning outcomes with suggestions relevant for teaching are set out in Table 4.1:

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TABLE 4.1: INSTRUCTIONAL ACTIVITIES FOR EDUCATORS

Outcomes of learning	Examples	Conditions that facilitate outcomes
1. Intellectual skills		
Higher order rules	Learner determines how to calculate the area of trapezoid.	Review of relevant rules; verbal instruction to aid in recall of rules; verbal instructions to direct thinking.
Rules	Learner discovers characteristics that are common to all mammals.	Learner is made aware of desired learning outcomes; relevant concepts are reviewed; concrete examples are provided.
Concepts	Learner classifies objects in terms of size and colour.	Examples presented; learner engaged in finding examples; reinforcement.
Discriminations	Learner distinguishes among different printed letters.	Simultaneous presentation of stimuli to be discriminated; reinforcement (confirmation); reception.
Simple types of learning (signal learning; stimulus-response learning [chaining])	Learner is conditioned to respond favourably to school.	Reinforcement; models; positive experience in various school contexts.
2. Verbal information	Learner writes down Gagné's five major learning domains.	Information that organises content (advance organisers); meaningful context; instructional aids for retention and motivation.
3. Cognitive strategies	Learner devises personal strategy for remembering components of the basic information processing model.	Frequent presentation of novel and challenging problems; discussion of direct teaching of cognitive strategies.
4. Attitudes	Learner chooses to read an educational psychology text rather than a novel.	Models; reinforcement; verbal guidance.
5. Motor skills	Learner types a summary of this chapter.	Models; verbal directions; reinforcement (knowledge of results); practice.

(Source: Van der Horst & McDonald, 1997:123)

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The kinds of skills, knowledge and attitudes advanced for in the outcomes of learning have implications for teaching methodology. These outcomes demand proactive and critical learners who can take control of their own learning, and not learners who are passive recipients of knowledge. This implies that teaching methods should be, if they prefer, activity-based learning, structured group work, and integrated tasks in which learners have to develop a piece of work over time, bringing together a number of skills and outcomes (Wessels & Van den Berg, 1998:11).

Another important matter for outcomes-based education and the educator is assessment. Outcomes, according to Wessels and Van den Berg (1998:11), dictate assessment that –

❖ involve applying skills and not merely recognising or reproducing facts;

❖ lead to the performance of complex tasks after completion of easier ones;

❖ lead to real products or solutions of problems; and

❖ are set in a meaningful context that connects diverse ideas.

From the above it is clear that there need not be a sharp division between learning something, and having that learning assessed. Since both learning and assessment are processes and performances, any unit of learning material can create an opportunity in which the learner learns by combining and practising various skills, while also being assessed. Therefore, assessment must be seen as an ongoing process, while teaching is taking place. Hence, formative assessment is preferred over summative assessment. Formative assessment refers to on-going, classroom-based assessment that has a developmental and monitoring function. This form of assessment makes it possible for evidence of the learners' achievement to be gathered over time and in various divergent ways. Moreover, these are clearly stated outcomes and assessment criteria against which evidence of achievement is assessed (Wessels & Van den Berg, 198:11-12).

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Formative assessment and summative assessment are not conflicting forms of assessment. On the contrary, they serve different purposes. The criterion is whether the educator sees himself/herself as getting to know the learners in order to teach them better, in which case he/she makes use of formative assessment; or to assist others to be better informed about learners' competencies, in which case he/she utilises summative assessment (Frith & Macintosh, 1986:17).

Summative assessment has as its primary goals grading or certifying learners, judging the effectiveness of the teacher, and comparing curricula. It is directed toward a much more general assessment of the degree to which the larger outcomes have been attained over the entire course or some substantial part of it. The major purpose of summative assessment is to determine the degree to which a learner can apply information to solve problems. Furthermore, the purpose of summative assessment is to grade learners and to report to both parents and administrators (Bloom, Hastings & Madaus, 1971:2 & 61).

According to Wessels and Van den Berg (1998:12), the following questions are helpful to frame formative assessment tasks:

❖ Does the task relate to a real-life problem?
❖ Is the task non-routine or multi-faceted?
❖ Does it enable the learner to draw on many different sources, and to use and apply this information?
❖ Does it encourage the learner to produce a quality product or performance?
❖ Can it involve collaboration between learners to develop a product?
❖ Does it involve any evaluation by the learner of the effect on the audience?
❖ Is it a learning opportunity as well as an assessment task?

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Possible outcomes of learning are results of learning which involve demonstration of performance by learners. Outcomes find expression in knowledge gained by learners, skills displayed by learners, and attitudes and values inculcated in learners. It, therefore, follows that outcomes of learning influence the way educators teach and the manner in which learners learn. Moreover, research proved that learning should proceed along different routes as dictated by outcomes of learning. Thus, it can be deduced that possible outcomes of learning dictate roles to be played by both educators and learners in the implementation of outcomes-based education policy.

Outcomes influence the methods of teaching to be used to achieve stated objectives. In outcomes-based education it is essential that the educator select the appropriate method of teaching for achievement of specific learning outcomes. In this regard the focus is on improving the learners' performance to achieve stated objectives. Hence, teaching strategies and teaching methods will be explained in the following section.

4.5   TEACHING STRATEGIES

A teaching strategy is defined as a broad plan of action for teaching activities with the sole purpose of satisfying a predetermined objective. On account of the broad nature of a strategy, it follows that the refinement of acts of teaching and learning occur at another level of curriculum development, namely lesson planning. Hence, seen from another perspective, a strategy is an approach designed to undertake teaching and learning. In fact, it is an approach which aims at helping the educator to achieve learning outcomes. Other appropriate factors are lesson objectives, learning outcomes and the subject matter (Van der Horst & McDonald, 1997:124).

Closely related to strategy are methods. As stated earlier strategy is a multi-faceted phenomenon. Therefore, every strategy requires particular procedures and techniques to implement it. The techniques that the educator use during each phase of a lesson

are called teaching methods. Therefore, teaching methods could be regarded as the means by which the educators attempt to attain the desired learning outcomes. In turn, teaching method is the way educators organise and use techniques, subject matter, and teaching media to achieve teaching objectives and to attain desired learning outcomes (Van der Horst & McDonald, 1997:124).

Two of the well-known teaching strategies are the inductive and deductive teaching strategies. These are explained in the following paragraphs.

4.5.1 Deductive and inductive teaching strategies

The deductive and inductive teaching strategies have been used since ancient times. The one strategy is the antithesis of the other. Old as they are, they still form the basis of all contemporary approaches in teaching.

The inductive teaching strategy is that in which progress in a lesson is made as the learner is led to make discoveries from the parts towards the whole or from the particular to the general. When progress is made from the parts to the whole, the reflection ends in generalisation. The principle of moving from the known towards the unknown in learning is basic to the inductive teaching strategy. In the lesson situation the inductive teaching strategy is used when the educator chooses several examples and guides the learner to reduce the examples in order to discover the essence or general law. For instance, by heating different substances in a natural science lesson and by measuring them in a specific manner the learners discover the general rule that materials expand when they are heated (Kruger, *et al.*, 1983:88).

The inductive strategy involves a number of steps. In science it starts with observation and experimentation. A scientist repeats the same experiment and if it repeatedly yields the same result, he/she formulates an hypothesis. Thereafter he/she continues

to perform further similar experiments to test the validity of his/her hypothesis. In conclusion, he/she provides a theory, that is, an explanation of the hypothesis (Van der Horst & McDonald, 1997:126).

In applying the deductive teaching strategy, progress is made from the general to the particular or from the whole towards the parts. The deductive teaching strategy is, therefore, the observation dimension of the inductive teaching strategy. The progression is from a general theorem, statement, law, definition, rule or conclusion towards a particular example. Thus, in the deductive teaching strategy the point of departure is a general statement or a whole and progress is made through analysis towards particular cases or parts, and in this manner towards a conclusion (Kruger, *et al.*, 1983:89).

The deductive teaching strategy is proceeding from a general law to a particular case. For example, if $a = b$ and $b = c$, it can be deduce that $a = c$. This indicates that the deductive strategy is used extensively in Mathematics because of its structure. Notwithstanding that, other disciplines such as Religious Studies and History can also be taught by making use of the deductive teaching strategy (Van der Horst & McDonald, 1997:125).

It should be clear that the deductive teaching strategy is more suitable for use with advanced learners. In this teaching strategy the pace of instruction is faster because extensive use is made of the knowledge and insight that learners have acquired previously. That is why the deductive teaching strategy is used in the higher classes of the senior phase. However, it has two major disadvantages. Firstly, sometimes learners do not achieve an adequate understanding and thus merely memorise the learning material, which may be the theorem, statement, law or general rule. Secondly, it does not encourage self-discovery. Learners rely much more on the educator. The result is that learners find it difficult to take the initiative in acting independently (Kruger, *et al.*, 1983:89-90).

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The choice between a deductive and inductive teaching strategy depends to a large extent on the nature of the learning material and the learners' level of readiness. The effective use of either or both teaching strategies depends largely on the educator's experience.

Both inductive and deductive teaching strategies facilitate independent and critical thinking in learners. This is in fact one of the outcomes of learning through outcomes-based education. Thus, it can be deduced that inductive and deductive teaching strategies promote the implementation of outcomes-based education policy.

The next section deals with co-operative learning as a teaching strategy.

4.5.2 Co-operative learning as a teaching strategy

Co-operative learning is defined as learners working together in small groups that make it possible for each learner to participate meaningfully on completing a given task. There is no direct or immediate supervision by the educator. It is also worth noting that co-operative learning should not be equated to group work as it is more involved (Van der Horst & McDonald, 1997:127).

Co-operative learning affords learners the opportunity to procure more meaningful learning. Co-operative learning makes it possible for educators to handle big classes. Furthermore, it stimulates peer interaction and learner-to-learner co-operation in an attempt to foster successful learning by all. Co-operative learning has two aims, namely, to improve learner understanding and skills in the learning area, and for the learners to develop co-operative group skills and to appreciate different individuals and cultures found in South African classrooms (Van der Horst & McDonald, 1997:128).

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Like all other teaching strategies, co-operative learning activities have a set of common characteristics. Research has shown that the success of co-operative learning rely on three specific elements, which are:

❖ face-to-face interaction;

❖ a feeling of positive interdependence; and

❖ a feeling of individual accountability (Van der Horst & McDonald, 1997:128).

Co-operative learning is essential in big classes (Gauteng Department of Education & Vista University, 2002:107). Learners will make significant progress if they are in a learner-centred classroom where the educator employs co-operative learning. In fact, co-operative learning should be at the core of every learner-centred classroom. Such a classroom enables the learners to co-operate to –

❖ complete projects;

❖ master new concepts;

❖ test one another; and

❖ correct one another's work (Wessels & Van den Berg, 1998:22-23).

A major distinguishing feature of co-operative learning is formation of groups in a classroom. Co-operative group work affords learners the opportunity to learn through the expression and exploration of diverse ideas. The reigning spirit amongst the group members is that of using the resources available in a group in order to –

❖ deepen understanding;

❖ sharpen judgement;

❖ develop co-operation and promote acceptance of individual differences;

❖ improve learners' problem-solving skills;

❖ experience success by all learners;

❖ share ideas; and

❖ support one another (Gauteng Department of Education & Vista University, 2002:107).

There are numerous ways in which the educator can group learners. In assigning learners to specific groups, the educator may use his/her own choice or the learners' choice based on the following –

❖ *Educator's choice*

The following are characteristics of an educator's choice:

✧ common factors such as shared hobby, birthday and matching pictures;

✧ specific reason such as making a shy learner to feel at home by placing him/her in a group of friendly peers;

✧ achievement: learners are grouped according to their abilities and achievements;

✧ proximity: learners closest to one another form groups.

Thus learners are placed in groups in which they will feel free to participate.

❖ *Learners' choice*

Learners' choices reveal the following characteristics:

✧ learners are allowed to form their own groups, though the educators are free to rearrange the groups if the combination of the group is detrimental to progress;

✧ most learners are in favour of grouping themselves as this affords them the opportunity to work with their friends (Wessels & Van den Berg, 1998:24).

Thus, it could be deduced that learners take initiatives in forming groups and in learning.

In order for groups to function well there are particular guidelines to be followed. For instance, group members have to learn to listen to one another. To do so, they must –

❖ avoid destructive listening: while one talks, other group members fidget, look away, yawn and show signs of boredom;

❖ avoid interruptive listening: while a group member is speaking other group members should not keep on interrupting and clowning; and

❖ promote creative listening: in this regard each group member should have a turn to speak about a subject for five minutes. Hence, there should not be interruption. Questions should be asked to clarify meaning. Also, the checking summarising technique is used. When group members cannot agree, this checking technique often helps to get the group back on course (Wessels & Van den Berg, 1998:24).

It is essential that the learners should know what the educator expects of each of them as well as the group leader. The group leader should know how to involve inactive group members and how to deal with members who dominate the group. Learners need to understand what positive interdependence means. As the saying goes, no man is an island. In order to strengthen interdependence –

❖ rewards can be built into the learning activity; and

❖ the whole class can decide after the report back of the group which answer or contribution was the best (Gauteng Department of Education & Vista University, 2002:108).

The purpose of co-operative learning is to make each a strong individual in his/her own right. To achieve this aim –

❖ learners are individually held accountable to pull their weight and to do their share of the work;

❖ each learner in a group is allocated a specific task to perform;

❖ the educator has to allow the learners time to reflect and discuss how the group should operate;

❖ learners must know that their characteristics can contribute to or disrupt group work (Wessels & Van den Berg, 1998:25-26).

Other co-operative learning techniques – apart from learner teams achievement divisions, jigsaw and group investigation – are brainstorming, peer correction and peer tutoring as will be explained in the following paragraphs.

Brainstorming is used to produce a large number of creative ideas. As discussions continue, ideas relevant to the topic under discussion are identified and recorded. A brainstorming session takes place under strict rules to avoid confusion and a waste of time. The rules under which it takes place are –

❖ no criticism: ideas will be evaluated and judged at a later stage;

❖ free-wheeling is welcomed: even wild ideas should be welcomed as they can be tamed at a later stage;

❖ quantity is encouraged rather than quality as it will make learners feel free to contribute;

❖ combination and improvement are sought. Ideas are regarded as common property, therefore combining or improving ideas contributed by different learners is allowed; and

❖ points to be remembered when organising a brainstorming session are –

✦ the concept of brainstorming must be explained to the learners. In fact, it is necessary for learners to know what is expected of them;

✧ one of the learners has to act as scribe in a group. Learners can also take turns in writing down ideas, for instance, after every five ideas, the pen and paper are passed on to the next learner;

✧ the problem of topic to be brainstormed must be carefully formulated so that it is clear and comprehensible to the learners; and

✧ time is of the essence during the brainstorming session. Therefore, there must be a time limit, for example, fifteen minutes per topic. The educator must warn the learners when the time has almost expired (Wessels & Van den Berg, 1998: 28-29).

Peer correction is used to facilitate co-operative learning. Using peer correction techniques will increase learner participation in a class immensely. According to Wessels and Van den Berg (1998:31), two techniques, identified as technique A and technique B, for peer correction are –

❖ Technique A requires that –
   ✧ learners decide individually on an answer;
   ✧ they write down their answers;
   ✧ they form pairs to check their answers; and
   ✧ they share their answers with their group and they are all held accountable for the correctness of their written answers;

❖ Technique B requires that –
   ✧ learners draw a test from a test bank;
   ✧ answers to the test questions are kept in envelopes at the back of the class; and
   ✧ a member of a group draws the test for another member and uses the answer sheet to mark it.

Learners are encouraged by the educator to ask their fellow-learners for explanations when they do not understand him/her. If some of the learners fail to understand the

explanation, the educator may ask them to work in groups and explain to one another what was meant by the explanation. This exercise of peer correction will also establish an important idea that the educator is not the sole source of information and that learners can seek information from themselves and their peers. In addition, co-operative behaviour and processes are viewed as basic to human endeavour, the foundation on which strong democratic communities could be built and maintained (Arends, 1994:339-340).

Peer tutoring is used to facilitate co-operative learning. In peer tutoring learners help each other to learn and they learn by teaching their peers. It is not only able learners that help less able ones, but it is recognised and accepted that less able learners can teach high ability peers in areas where they have particular expertise. Also, the shared responsibility and interaction amongst learners produce positive feelings towards tasks and others, generate better intergroup relation, and result in better self-esteem for learners with histories of poor achievement (Duke, 1990:101).

It is a demanding task for the educator to help learners teach one another. Hence, the educators should be well organised as peer tutoring involves planning, training the learners who are intending to teach, having supportive material ready and available, and being very tactful when explaining peer tutoring to the learners. Learners who are going to tutor must know what they are letting themselves in for, and what is expected of them before they agree to tutor (Wessels & Van den Berg, 1998:32).

According to Wessels and Van den Berg (1998:23-24) group work in co-operative learning has the following advantages –

❖ it helps learners to learn to work co-operatively;
❖ learners actively participate in purposeful activities;
❖ there is face-to-face interaction that makes the learning process personal;

❖ learners interact socially and develop communication skills such as listening, sharing, advising and persuading;

❖ it reinforces skills previously taught, for example, they get an opportunity to practice introducing persons to one another;

❖ it allows learners to discuss and clarify issues. They also have the opportunity to practice what they want to say in the target language with a supportive group. This will help built self-confidence and a positive attitude towards the target language;

❖ it helps to develop high order thinking skills such as logical reasoning, open-ended problem-solving, synthesis and analysis;

❖ it helps the learners to pool their resources and to respect one another's strengths and weaknesses. They learn from one another and thus become more under-standing regarding personal values;

❖ it allows the educator to circulate and monitor the progress of an activity, assessing the learners continually. Common errors committed by learners can be packed up and corrected at a later stage; and

❖ co-operative learning assists learners to become knowers rather than assimilators. It also makes it possible for the learning process to be facilitated both cognitively and effectively.

Thus, it could be deduced that co-operative learning as a teaching strategy encourages learners to work together in small groups in performing tasks assigned to them by the educator. Group formation facilitates peer interaction in teaching and learning. In turn, this improves learners' understanding and skills in the learning area.

Learners may take initiative in forming groups and the educator may allocate learners to groups. Freedom of choice to belong in a group engenders a sense of belonging and appreciation, which is conducive to teaching and learning. Therefore co-operative learning builds learners' self-esteem and self-confidence. Furthermore, co-operative learning serve as a means of defining roles to be played by both educators and learners during the implementation of outcomes-based education.

Closely related to co-operative learning is problem-solving as a teaching strategy.

4.5.3 Problem-solving as a teaching strategy

Problem-solving goes hand in hand with a critical attitude. In addition, it follows a particular process; this includes awareness of the problem, and gathering of data. According to Bell (1978:119-120), problem-solving usually involves five steps, which are –

❖ presentation of the problem in a general form;

❖ restatement of the problem in an operational definition;

❖ formulation of alternative hypotheses and procedures which may be appropriate means of attacking the problem;

❖ testing hypotheses and carrying out procedures to obtain a solution or a set of alternative solutions; and

❖ indicating which possible solution is most appropriate or verifying that a single solution is correct.

It is important for the educator to guide learners in identifying problems and how to deal with them. In addition, for learners to come to grips with the problem it must be presented in a form which they can understand (Duminy & Söhnge, 1980:87).

Problem-solving is a higher order and more complex type of learning than rule-learning, and rule acquisition is a prerequisite to problem-solving. Problem-solving involves selecting and chaining sets of rules in a manner unique to the learner and which results in the establishment of a higher order set of rules previously unknown to the learner. Words like creativity and discovery are often associated with problem-solving (Bell, 1978:119). Furthermore, Duminy and Söhnge (1980:181-182) maintain that it is necessary to encourage originality and creativity amongst learners by making use of the following five stages in the creative process:

❖ The first stage is growing sensitivity to problems. That is, to doubt things that everybody else finds obvious, discovers problems in them and start to look for solutions.

❖ The second stage is the phase of preparation, which consists of a conscious, active, search for solutions to problems detected during the first stage.

❖ The third stage is known as a creative pause, with the creative activity taking place in the unconscious. Success of the unconscious activity of this phase depends on the quantity and quality of the work done during the previous stages.

❖ The forth stage consists of the moment of insight and inspiration.

❖ The fifth stage is characterised by the outcome of the whole creative process as it is moulded into its final form. This takes place in the conscious mind and can be strongly influenced by the educator.

Most of the problems that learners must grapple with come from the educator and subject-related literature. In fact, any task which the educator assigns to his/her learners implies that they have been given a problem to solve. The intention of the educator by providing learners with problems is to afford them an opportunity to analyse and solve problems independently. However, a note of caution is that the problem-solving teaching strategy cannot be applied by all learners with equally favourable results. The more gifted learners will experience it as a real challenge and should be encouraged to solve problems. Less gifted learners require more assistance from the educator (Kruger, *et al.*, 1983:108-109).

Problem-solving is better poised to engage learners in seeking knowledge, processing information, and applying ideas to real world situations. As learners are involved in problem-solving, they tend to be motivated and discover reasons why they should learn the subject matter. These advantages of making use of problem-solving are applicable in all learning areas (Van der Horst & McDonald, 1997:138).

Problem-solving help learners to realise that the knowledge they have gained is of practical value; that is, it will help them to gain new knowledge and to use it in new situations. Problem-solving can also be used as part of a lesson or as a theme for several lessons or as a basis for a course of study. This approach helps learners to identify and solve problems and the type of problems they can identify and solve (Van der Horst & McDonald, 1997:138).

It could be argued that problem-solving is one of the complexities to be solved with the complementary of outcomes-based education. Educators and policy analysts should thus be cognisant of the requirements in this regard.

Care should be taken to ensure that learners learn about the particular learning area when using problem-solving as a teaching strategy. The sequence of steps to be followed when making use of problem-solving should not distract learners' attention from what they are supposed to learn. In fact, the emphasis should be on the learners to explore all aspects of the problem to be solved. By so doing, they are bound to develop an understanding of the principles and concepts displayed by the problems. That is, learners will gain insight that will enable them to understand the learning area better and to look at it from different viewpoints (Van der Horst & McDonald, 1997:138-139).

The secret of successful implementation of the problem-solving strategy is practice. For learners to be more adept at problem-solving, they need appropriate practice. Issues to consider when making use of problem-solving as a teaching strategy are:

❖ Decide what the learners have to learn.
❖ Formulate relevant problems.
❖ Present problems in such a way that they will be motivated to solve them.

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- ❖ Monitor learners' progress and encourage them to look for information that will lead to the solution of the problem.

- ❖ Help learners to analyse data and guide them to understand how problem-solving can assist them to study a particular learning area (Van der Horst & McDonald, 1997:143).

The problem-solving teaching strategy demands that the educator participates and play specific roles to help learners. In the case of learners there are suggestions which will enable them to be successful problem solvers. As far as the role of the educator is concerned, the following suggestions should be taken into consideration:

- ❖ It is the educator's task to create genuine problem situations. He/she should be alert, constantly looking for problem-solving opportunities.

- ❖ The educator must always be ready and willing to offer assistance and guidance to learners up to a certain point. However, he/she should refrain from providing the solution to the problem as this will deprive learners of independent discovery.

- ❖ He/she should explain to learners that problem-solving is not confined to the Mathematical Literacy; Mathematics and Mathematical Sciences; and Natural Sciences learning areas, but can be used in other learning areas as well.

- ❖ It is crucial for the educator to help learners to focus on the problem at hand.

- ❖ The educator must train learners to analyse and solve problems.

- ❖ Under no circumstance should the educator show impatience to a leaner who flounders around with a problem.

- ❖ Educators should try by all means to answer learners' questions in such a way that will stimulate further thinking and reasoning.

- ❖ It is essential that the educator should supply all possible teaching and learning aids necessary to solve the problem.

- ❖ The educator should encourage learners to work in groups when solving problems.

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- ❖ It is the responsibility of the educator to encourage learners to grapple with the problem until a solution is found.
- ❖ The educator must give learners problems that are not beyond their standard of comprehension. Otherwise learners will find the problem too difficult to solve and may be demoralised in future to attempt to solve problems. Hence, the level of preparedness of the learners must be taken into account.
- ❖ The educator must prepare throughly and must give learners guidance continually as this teaching strategy is slow and tiring (Kruger, *et al.*, 1980:88).

As far as the roles of learners are concerned during the problem-solving session, the Gauteng Department of Education and Vista University (2002:31-32) offer the following suggestions –

- ❖ learners should accept the challenge of solving a problem;
- ❖ learners should be encouraged to rewrite the problem using their own words;
- ❖ it is necessary for learners to avoid rushing to solutions. They need to take time to explore, think and reflect;
- ❖ learners should be encouraged to ask themselves questions that will lead to the solution of the problem;
- ❖ learners should not hesitate to take a break when solving a problem;
- ❖ it is necessary for learners to look at the problem from different angles;
- ❖ learners must run through a list of strategies that may help solve the problem;
- ❖ learners need to be aware of the fact that some problems have more than one solution;
- ❖ practice makes perfect. Learners have to solve lots and lots of problems to gain confidence and mastery of a unit of an area of study;
- ❖ in case learners fail to make progress, they must not hesitate to go back to make sure that they really understand the problem. This review process may happen twice or thrice in relation to a particular problem because understanding increases as one progress to a solution;

❖ learners should write every solution neatly and clearly so that it can be understood alike by the educator and learners themselves; and

❖ learners need to develop good problem-solving helper skills for assisting others in solving problems. In fact, learners who offer help should not give own solutions, but must provide hints to the solution of problems.

From the aforementioned, it is clear that the educator will need much more than the usual teaching skills. He/she must be able to engage in the formulation of the problem, the analysis of the problem, and the generation and assessment of ideas. Thus, to ensure that outcomes-based education is effectively implemented policy analysts should pay particular attention to this matter.

Problem-solving as a teaching strategy, just like the inductive and deductive teaching strategies, encourage critical thinking. Learners are provided opportunity to solve problems by the educator. For this to happen the educator guides learners in identifying problems as well as providing them with a toolkit that would enable them to solve problems. As the saying goes, practise makes perfect. Learners need to practice in order to improve the skills of solving problems. This will prepare learners to participate in the global economy as well as in the technological world, which are objectives of outcomes-based education. Therefore, problems-solving as a teaching strategy facilitates the implementation of outcomes-based education policy.

Now that the teaching strategies which are more appropriate to be used in outcomes-based teaching have been explained, it is necessary to see how lesson planning and preparation influence or contribute to the successful application of outcomes-based education.

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4.6   LESSON PLANNING AND PREPARATION

Planning beforehand is of the utmost necessity in order for any task to be performed successively. An educator should regard a lesson as a task to be fulfilled and should plan thoroughly. In this regard Van der Horst & McDonald (1997:147) maintain that one should not think of teaching in terms of presentation only; on the contrary, presentation is preceded by planning and preparing the lesson. Duminy and Söhnge (1980:106) also confirm that the planning of lessons is an important part of the work of every educator, whether in service or in training. Jacobsen, Eggen and Kauchak (1999:15) also emphasise the important role planning plays in teaching. They continue to state that during the planning phase, the educator needs to ask himself/herself the following question: What do I want my learners to know, understand, appreciate, and be able to do?

Kruger, *et al.* (1983:130) confirm that lessons must be planned, systematised, organised and purposive. Consequently, every detail, including time, methods of teaching, teaching aids, learning content, questions, assignments, and modes of learning must be thoroughly considered and planned in advance. They continue to support their standpoint by saying that sound planning is imperative because in the final analysis the educator is accountable for the country's expenditure on schooling, as well as the preparation of the learner for his/her future and through this activity of teaching for the welfare of the community. Therefore, the educator has a foremost and responsible task in the community. In fact, no country can afford to have educators who do not make optimal use of the opportunities for teaching and educating its children.

According to Jacobsen, Eggen and Kauchak (1999:16), research evidence supports the value of planning. It has been found that the actions educators take in the classroom are influenced by the plans they make. In addition, research has shown that planning provides educators with both confidence and security. In planning some background

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knowledge of the learners to be taught and also the knowledge learners bring to the classroom, is of vital importance, Although a lesson can be thoroughly planned, this does not mean that it will be successful when applied. There are a number of factors influencing the course of the lesson, and can determine its success. These factors must be taken into consideration in planning. Some of these factors are –

❖ the intelligence levels of the group; and

❖ the activities of the preceding and the subsequent lessons (Steyn, Badenhorst & Yule, 1991:61).

Planning and preparation, just like curriculum development, take place at different levels. At the highest level, planning occurs at the Department of Education level, followed by planning at the school management level, and the planning done by the educator at the classroom level. In addition, it is essential to note that planning takes place in different forms; for example, daily, weekly, quarterly, as well as unit planning and annual planning. Secondly, schemes of work in which planning is embodied should be accessible, flexible and adaptable to the ever-changing needs, learners and the curriculum (Van der Horst & McDonald, 1987:147).

Planning may be done by utilising the following specific models. The dominant model of planning is known as the rational-linear framework. This model has four basic tenets, which are –

❖ specifying objectives and learning outcomes;

❖ specifying knowledge and skills;

❖ selecting and sequencing learning skills; and

❖ evaluating of outcomes (Van der Horst & McDonald, 1997:147-148).

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Kruger, *et al.* (1983:130) concur with Van der Horst and McDonald and make the following additions to the essence of lesson planning –

❖ the educator must determine what the form of the lesson is to be;

❖ which methods are most suited to the exposition of the selected learning content; and

❖ which teaching and learning aids will contribute most towards the achievement of the objectives.

It could be stated that lesson planning enables the educator to ensure that outcomes-based education becomes a reality. This is achieved by establishing beforehand what should be done to enable learners to achieve the required outcomes.

Apart from the essence of lesson planning, there are benefits to be derived from this exercise. According to Kruger, *et al.* (1983:131), the benefits in question are:

❖ Lesson planning saves time and energy because the lesson is focused on achieving predetermined objectives. Consequently, time is not wasted on irrelevant matters.

❖ Lesson planning promotes the purposiveness of the educator's practice. For example, it helps him/her to consider the organisation of the learning content, which methods are suitable for particular learning content, and which aids will produce the best results.

❖ It ensures that the topic of the lesson is covered fully, systematically and sequentially.

❖ It encourages self-discipline on both the educator and learners because teaching and learning proceed in accordance with the prearranged plan and everyone is expected to adhere to this arrangement.

❖ It promotes the integration of learning content as the educator is expected to determine in advance what linkages exist between the learning content of the present and previous lessons, as well as the learning content of other subjects.

❖ It ensures that there is continuity because the educator and learners proceed to-wards the achievement of the lesson objective in a logical, effective and pre-arranged manner.

Critics view the rational-linear framework model as static and fixed. In response to this limitation, the more organic model of planning and teaching was formulated. This model considers objectives as flowing from a cyclical process and are also seen as symbols, advertisements and as justifications for action. Such a descriptive model is frequently used by experienced educators. Therefore, for a lesson to be effective, learning outcomes and experience are needed. Duminy and Söhnge (1980:170) em-phasise the important role played by experience when they state that young and inexperienced educators need to spend much time on lesson planning.

It is imperative that each lesson should be planned. Hence, the educator needs to know what the lesson's intended learning outcomes are, what the subject matter is, what the procedures will be, and how they will be executed. Both experienced and inexperienced educators must give careful thought to their lesson plans if they want to be successful. The advantage of planning is that it ensures familiarity with the content. In addition, it gives educators confidence and it also shows the learners that the educator has prepared (Van der Horst & McDonald, 1999:149). Steyn, Badenhorst and Yale (1991:62) warn that although a lesson may be planned meticulously beforehand the educator should be able to improvise when confronted by a class. The importance of lesson planning cannot be over-emphasised, but the educator should be aware that improvisation should be built into his/her planning. This will come in handy should the situation in the classroom dictate that a slight or a significant adjustment be made to the lesson plan.

Bell (1978:191) has identified particular activities in planning lessons which will greatly enhance the chances of success. The activities in question are –

- ❖ learning content
    - ✧ selecting and naming the topic to be studied;
    - ✧ identifying the objectives in the topic;
    - ✧ sequencing each topic in a hierarchy of topics;
- ❖ learning objectives
    - ✧ identifying cognitive objectives;
    - ✧ selecting affective objectives;
    - ✧ sharing objectives with learners;
- ❖ learning resources;
    - ✧ preparing materials to be used by learners;
    - ✧ obtaining additional resources;
- ❖ preassessment strategies;
    - ✧ identifying prerequisite content;
    - ✧ assessing learner readiness to learn the topic;
- ❖ teaching/learning strategies
    - ✧ choosing an appropriate teaching strategy;
    - ✧ managing the learning environment;
- ❖ postassessment strategies;
    - ✧ assessing learners learning;
    - ✧ evaluating teaching effectiveness.

It should be obvious that the above-mentioned activities would serve as a toolkit to improve lesson planning and presentation.

There are general principles that must be observed in lesson planning, which are –

- ❖ learning outcomes contribute directly to unit and course outcomes;
- ❖ learning outcomes must be clear in the educator's mind;
- ❖ the lesson must be long enough to be completed within stated time;

❖ the teaching-learning activities must lead to the attainment of set goals;

❖ the educator must know what to do, how to do it, and which materials are needed;

❖ it is imperative to start with an appropriate introduction and culminate with the relevant assessment; and

❖ each activity must be allocated sufficient time (Van der Horst & McDonald, 1997:149).

Regardless of how experienced an educator may be, there is always a need for planning and preparation. The educator has to write down in a systematic way the subject matter he/she is going to teach. The more experienced an educator is, the less he/she needs to write down the detail of the lesson. Nevertheless, he/she needs to plan and prepare himself/herself to remember what has to be done. Therefore, lesson plans are records of work to be done (Steyn, Badenhorst & Yale, 1991:66-67).

The selection of the lesson form depends on the intended lesson outcomes and the appropriate learning content. After selecting these, the educator must decide on the lesson form in which he/she will cast the learning content (Kruger, *et al.*, 1983:135). In writing a lesson plan, the educator can choose from a number of formats. There are no particular formats recommended to be followed. However, the educator must choose the one that is easiest and most comfortable for him/her. Hereunder follows examples of lesson formats which are suggested by Van der Horst and McDonald (1997:150-155). Some of them can be used for any lesson plan, while others are examples of formats for particular lessons.

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Format 1

Lesson topic: Group:		Date: Time/period:	
Learning outcomes 1 2 3 4 5	Time	Activities/strategies 1 2 3 4 5	
Resources Tasks			
Assessment 1 2 3			

Format 2

Lesson topic: Group:	Date: Time/period:	
Learning outcomes Knowledge and understanding Skills and abilities Attitudes/values/dispositions		
Time	Strategy	Materials/resources
Assessment		

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Format 3

Lesson topic:	Date:	
Group:	Time/period:	
Knowledge and understanding to be developed Learning outcomes		
Time — — — —	Phase and activities	Resources
Pitfalls to avoid during teaching	Transitions	Ending
Assessment		

Format 4: For group-work lesson

Lesson topic:	Date:	
Group:	Time/period:	
Learning outcomes Resources Organisation		
Group 1 Activities	Group 2 Activities	Group 3 Activities
Homework		
Assessment		

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Format 5: Problem-solving lesson

Lesson topic:	Date:
Group:	Time/period:

Learning outcomes
Resources

Problems solved

Time	Phase and activities	Resources
—		
—		
—		
—		
—		
—		

Assessment		

Integrated unit planning

Topic: ....
Grade: ....

Knowledge/understanding	Skills	Attitudes/values
1	1	1
2	2	2
3	3	3

			Lesson phase	Teaching and learning materials	Assessment strategies
			Turning in and preparing to find out		
			Shared experience		
			Sorting out the shared experience		
			Related experience		
			Sorting out the related experience		
			Reflection and action		

Educators, who are the main roleplayers involved in the implementation of outcomes-based education policy, are responsible for lesson planning and preparation. Before any lesson may be presented, the educator has to collect information about the topic to be taught and to organise it systematically into manageable units. Moreover, he/she has to plan the lesson in such a way that it could be presented within a specified period

of time. Besides, any lesson must be purposive and serve as a link with the previous and subsequent lessons. Lesson planning and preparation also enables educators to be accountable to their supervisors.

Outcomes-based education policy dictates that teaching should be done in a specific manner. To achieve this objective, the policy provides that lesson planning and preparation should follow a specific format and principles. Stated differently, lesson planning and preparation serve as means of implementing outcomes-based education policy.

Outcomes-based education has completely re-engineered the entire education system with the resultant change in roles of educators and learners. Consequently, the next section describes the roles of educators and learners.

4.7   ROLES OF EDUCATORS AND LEARNERS

Prior to the introduction of outcomes-based education an often held and stereotypical view of an educator is that of a learned person disseminating information to a group of people hungry for knowledge. The group is often viewed as passive, and the main activity in such a learning environment involves the educator informing the learners what they need to know. Be that as it may, some educators came to realise that this view is extremely narrow and that telling is one of many tools an educator may employ. In this regard Brady (1996:13) states that outcomes-based education places demands on educators to further individualise instruction, plan remediation and enrichment, administer diagnostic assessment and keep extensive records. Each of these activities dictates that the educator devise and employ an appropriate strategy or tool. Other-wise, the educator may be tempted to fall back on his/her comfort zone and use what Van Rensburg (1998:8) calls the recipe of teaching used for years. This requirement should be heeded when outcomes-based education is to be analysed to establish

whether the policy is effectively implemented. Hence, the need to discuss the different roles educators should play.

In terms of outcomes-based education, educators mainly become facilitators of learning. Their main focus is to assist each learner to improve his/her skills, knowledge, values and attitudes. Educators can facilitate learning in spite of the fact that they are not directly participating in the learning process. To amplify this point Tema (1997:7) states that the educator's role can be compared to that of a soccer coach. He does not offer the same coaching to all players, but provides assistance that is appropriate to each player. The coach does not play the game on behalf of the players, but attempts to get each player to improve his/her skills. Therefore, the aforementioned parallelism is analogous to the role of the educator as a facilitator. It is, therefore, necessary for effective training in outcomes-based education to prepare for its successful implementation (Guskey, 1996: 54).

According to Jacobsen, Eggen and Kauchak (1999:5) the educator's roles are –

❖ promoting growth and achievement of both the social and intellectual enhancement of learners;
❖ another important role of the educator is to increase learners' desire or motivation to learn. This role is a crucial factor in promoting learners' success. Working with parents is central if the learners' experience is to be positive. In this regard suggestions that may be helpful to parents include that the educator –
  ✧ be supportive with a 'keep-it-up' posture;
  ✧ provide constructive engagement;
  ✧ recognise the learner's effort;
  ✧ communicate his/her confidence;
  ✧ help the learner to pay attention to the task at hand; and
  ✧ emphasise that to err is human and that all of us learn from our mistakes.

Wessels and Van den Berg (1998:14 & 15) regard the educators as the classroom facilitators and identify their roles as follows –

❖ prepare and plan so that each learner knows in advance what to do;

❖ ensure attention when explanations or instructions or stories are read;

❖ keep learners actively involved during presentation and encourage learners to think and help one another;

❖ facilitate learning and help learners to achieve outcomes;

❖ plan thoroughly to ensure understanding the input of each lesson;

❖ know ahead what outcomes need to be achieved;

❖ choose activities that are simple to explain and will enhance comprehension;

❖ write steps of the lesson to be presented in logical sequence;

❖ give learners in a group specific instruction to perform specific tasks;

❖ know the abilities of learners and ensure that tasks given to the learners are within their comprehension level so that they can cope with the pre-teaching session;

❖ be well prepared and organised. For example, stimulus materials such as maps, pictures and newspaper clippings should be ready to be used by the learners;

❖ prepare problems, questions and instructions beforehand;

❖ decide upon the *modes operandi* of report-back required from the learners;

❖ formulate and employ a number of follow-up activities;

❖ introduce new units of learning material so that outcomes are achieved when learners demonstrate that they are able to apply and understand new information;

❖ run through activities with all learners simultaneously to save time as this exercise will ensure that all learners know exactly what to do. However, it is advised that this part of the lesson should take the minimum of time;

❖ allow all learners to participate in activities unhindered;

❖ set time limits. For instance, learners must know whether they are required to present a two-minute 'show-to-tell' or a ten-minute brainstorming session, and they must be told when time is almost up. For example, one minute to go;

❖ visit the groups to establish whether real progress has been made, if the activities are to last longer than three minutes;

❖ stand back and allow learners to experiment with and explore the activity;

❖ teach learners to show respect when another learner is talking, especially during the report-back phase of the lesson;

❖ should at all times keep in mind the old Chinese maxim which states: *I hear, I forget; I see, I remember; I do, I understand*; and

❖ as facilitators the educators must bring the world into the classroom by means of –

  ✧ simulations;

  ✧ pictures;

  ✧ role-play;

  ✧ activities;

  ✧ books;

  ✧ periodicals;

  ✧ newspapers;

  ✧ audio and video-tapes; and

  ✧ models.

These factors clearly indicate the complex nature of outcomes-based education. It illustrates the need to monitor the processes in executing the policy.

Finally, Cullingford (1995:158) states that there are two issues which underlie the role of the educator, and which explains the difference that educators make on learners. The first issue is that of the educator as mentor. The concept of the mentor draws attention to the capacity of one person to bring out the best in another. The mentor can be a parent or a role model. He/she has the authority to criticise as well as be constructive, to command as well as reflect. The relationship that learners make with the educator is the important factor in learners' learning, knowing that in the educator they have someone who can take an interest in having a discussion, in bringing out and extending their ideas, and in making them feel valued. The true mentor is the person

to whom learners turn, the person who is seen as a source of interest as well as instruction.

The second issue is that of the educator as explainer. It is common cause that when learners describe what they like about best educators they often use the word "explain". The educator makes the subject interesting; he/she sets up experiments, brings in interesting materials, and is not merely bound by routine. That is, the educator becomes a source of knowledge.

Outcomes-based education dictates that learners should play a particular role during teaching and learning. In order to put the roles of learners in perspective, it is firstly necessary to look at the nature of children and objects they need and like. Secondly, it is necessary to look at the kind of learner that is envisaged as a result of outcomes-based education intervention. Thirdly, it is also necessary to spell out the roles of learners in an outcomes-based education classroom.

For educators to be successful in teaching, it is not only essential that they know the learning material thoroughly, but they need to understand the nature of a learner. The things the learner likes and dislikes. It is important to know what the learner prefers in order to use that information as a point of departure in teaching. This approach to teaching makes the learners feel comfortable and welcome because they react to their surroundings and are sensitive to them. Cullingford (1995:106) states the things that learners like and which also contribute to the effectiveness of the educators in teaching, are –

❖ classrooms that are full of tasks to do;
❖ work that has a sense of purpose;
❖ producing work that has an audience and it is not just for the educator;
❖ to use what they have learned;
❖ being given tasks that are demanding and stimulating;

❖ work that is relevant to them and their interests; and

❖ learners like what they need.

Outcomes-based education aims at the promotion of values not only for the sake of personal development, but also to ensure that a national identity is built. The kind of learner that is envisaged is one who will accordingly be imbued with the values and art in the interests of a society based on respect for democracy, equality, human dignity, life and social justice. Hence, the kind of learner envisaged will –

❖ be equipped with the linguistic skills and the aesthetic and cultural awareness to function effectively and sensitively in a multi-lingual and multi-cultural society;

❖ be inquisitive to make scientific discovery and display on awareness of health promotion;

❖ adapt to an ever-changing environment on account of challenges;

❖ use various and numerous effective problem-solving techniques that reflect different ways of thinking;

❖ use a variety of ways to gather, analyse, and organise information and to be able to communicate it to different audiences;

❖ make informed decisions and accept accountability;

❖ be able to work co-operatively with others and organise and manage himself/herself, his/her own activities and his/her leisure time responsibly and effectively;

❖ understand and show respect for the basic principles of human rights as well as acknowledging the symbiotic relationship between people and the environment;

❖ be equipped to deal with the spiritual, physical, emotional, material and intellectual demands in society; and

❖ be equipped to deal with the social, political and economic demands made of a democratic society locally, nationally and internationally.

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In evaluating the effectiveness of outcomes-based education it is necessary to consider not only the educator, but also the learner. The latter has to be fully acknowledged to ensure that the policy is effectively implemented.

Outcomes-based education has significantly altered the roles of learners. As Steyn and Wilkinson (1998:205) explain, unlike in the traditional approach to teaching, learners are at the centre of teaching and learning. That is, learners take responsibility for their own learning. Cockburn (1997:6) confirms this new role of learners. Apart from learners taking responsibility for their own learning, high expectations is placed on them to learn successfully. This point of view is expressed by Schwarz and Covener (1994:2). Therefore, in terms of outcomes-based education, the learner is shown respect and trust. The learner has changed from a passive to an active participant in teaching and learning. It, therefore, follows that the roles of learners have changed, and, according to Hay and Büchner (1998:3), the roles of learners as dictated by outcomes-based education are to be –

❖ active;
❖ able to think creatively and critically;
❖ able to extract and construct meaning;
❖ able to discover knowledge;
❖ able to identify and solve problems;
❖ intrinsically motivated and disciplined;
❖ able to use science and technology; and
❖ able to work co-operatively and effectively with others.

Teaching is a systematic, orderly and sequential activity which is goal-directed. Learning too does not take place haphazardly, but it occurs in an organised and logical manner. In keeping with the nature of teaching and learning, educators and learners have to play specific roles in performing their tasks of teaching and learning respectively. From outcomes-based education perspective, educators are facilitators of

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learning and are responsible for promoting growth and achievement as well as motivating learners. Outcomes-based education dictates that learners should be active and involved in the classroom. Therefore, the implementation of outcomes-based education policy necessitate that both educators and learners should play specific roles.

4.8   CONCLUSION

Outcomes-based education will deliver worthwhile results only if there are appropriate inputs by the educators as well as the learners. The educators must provide inputs that will meet the real needs of the learners who could have diverse backgrounds and thus require education to meet multifarious needs. This state of affairs is particularly relevant in the Republic of South Africa where the possible outcomes of education will have to be considered seriously before specific strategies and teaching methods are decided upon.

It is obvious from the foregoing arguments that outcomes-based education policy affects both educators and learners. To be effective outcomes-based education policy analysts should take note of the roles of each of the categories of participants. It should be focused not only on stating the requirements for successful implementation, but on the effects of outcomes-based education policy on educators and learners alike.

Education is about people for the development and improvement of their culture, environment, skills, character, and in general their conditions of living. This is by no means a complex process as it focuses on human beings, who are by nature complex. Education is also bound to be complex as it has to make children future productive and creative citizens. In the context of the research, outcomes-based education policy will serve as a vehicle to deliver to South Africa well educated and equipped citizens who can compete globally with other nations. At the centre of the outcomes-based education policy is curriculum development and assessment. The implementation of outcomes-based education policy demands that curriculum should be developed in a

particular manner and assessment to be conducted continuously by different role players in education including the learner himself or herself. This is undoubtedly a complex process to implement. Hence, the next chapter, Chapter 5, will deal with complexities of implementation of outcomes-based education policy.

CHAPTER 5

COMPLEXITIES OF IMPLEMENTATION OF OUTCOMES-BASED EDUCATION

5.1   INTRODUCTION

Education is a complex and multifaceted process. It deals with education needs of learners, society and the nation at large. Besides, it also focuses on the infrastructure of educational institutions, auxiliary services of educational institutions, auxiliary services such as libraries and psychological services, as well as curriculum development and assessment. In order to deliver education according to the outcomes-based educa-tion policy, special attention needs to be paid to curriculum development and assess-ment. It is the curriculum which embodies all the activities that the learners and the educator must perform to achieve predetermined educational objectives; while assess-ment serves as a tool to determine whether the learning outcomes have been met. Hence, the focus on curriculum development and assessment as they are pivotal in the implementation of outcomes-based education. Moreover, besides forming the nucleus of outcomes-based education, these are complex and interrelated matters that warrant special attention.

Curriculum construction is a demanding task because it must explain the fundamental activities for achieving envisaged educational objectives. Therefore, the approach for this thesis is to keep the subject as substantial as possible. The principal objective is to explain what should be done to obtain purposeful curricula in relation to their objectives and the requirements for their successful implementation. Thus, the outcomes-based education policy implementation should indeed give effect to the policy objectives.

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5.2   CURRICULUM DEVELOPMENT

A curriculum could be described as a statement of the activities to be performed to obtain a specific learning outcome.   According to Van der Horst & McDonald (1997:144), the curriculum should consist of –

❖ defining broad outcomes;

❖ diagnosing learners' needs;

❖ formulating learning outcomes;

❖ translating learning outcomes into patterns of learning;

❖ selecting and organising content and learning experiences; and

❖ choosing ways of assessing learning outcomes.

A curriculum consists of descriptions of activities to guide teaching (Ornstein & Hunkins, 1993:265). Firstly, it consists of a learning area framework, which arranges content in particular patterns, assigns to it learning areas and standard levels, and puts them in sequential form. Secondly, it is made up of the guidelines for programming in the different learning areas at different levels. Thirdly, and lastly, is the lesson plan that the teacher will prepare and present to the class.

Usually curriculum documents are written in broad terms, consequently they do not cater for the specific needs of every category of learners. This makes it imperative for educators to translate curriculum guidelines into specific teaching programmes with full details to enable the educators to perform their daily duties. In fact, each programme should be an interpretation of a learning area indicating how principles have been adapted to suit specific local needs. Stated differently, programmes are lesson plans that guide educators to select learning outcomes, subject matter, teaching strategies and assessment procedures (Zais, 1976:74). It is also worth noting that a programme can be a list of large or small units of work. For example, a four-year course for the

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former, and a section of a subject for the latter. Despite the fact that the details of programmes may be different, structurally they could be similar (Oliva, 1982:47).

As far as outcomes-based education is concerned, programming for outcomes is organising teaching to achieve predetermined results. It, therefore, commences with the formulation of what learners should know, what they should be able to do, and what dispositions, attitudes or values should be displayed at the completion of the pro-gramme. With these outcomes serving as guides in the teaching-learning situation, the programme is drawn up in such a way that it enables all learners to have an equal opportunity of success (Van der Horst & McDonald, 1997:145).

To understand how a curriculum is constructed, it is necessary to discuss initially some of its distinguishing features, which are –

❖ definitions;
❖ characteristics; and
❖ orientations and perspectives.

These three matters are dealt with separately below.

5.2.1 Definitions

For a definition of a curriculum to be of value to educators it must accommodate different values and perspectives, but should not be too prescriptive. If a definition is to be useful, it should be formulated in terms of –

❖ issues pertinent to both learners and educators;
❖ matters that learners, educators and others recognised as significant role players in education and acceptable to be significant for study and learning; and
❖ the manner in which these matters are organised (Marsh, 1997:5).

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Some of the definitions of a curriculum are that it –

❖ is an interrelated set of plans and experiences which a learner completes under guidance in a school (Marsh, 1997:5);

❖ is specific experiences to be provided by education to assist the pupils in attaining the designated learning outcomes to the best of their abilities (Neagley & Evans, 1967:2);

❖ is a substantial number of learning experiences, the choice of which is made according to a view or views of what education should be and are offered to the learner by both educators and learning materials (Pope, 1983:14);

❖ is the planned composite effort of any school to guide learners to achieve predetermined learning outcomes (Inlow, 1996:7);

❖ is a structured series of intended learning outcomes. Curriculum prescribes or at least stipulates the results of instruction (Johnson, 1967:130).

From these definitions it can be deduced that curricula cover a number of values and perspectives. The varying nature of these definitions is indicative of the complex nature of a curriculum. This variety and complexity need to be acknowledged. It is also noteworthy that definitions changed over decades.

According to Posner (1992:10-11) there are five curricula, which are the official, the operational, the hidden, the null, and the extra curricula. These curricula are described as follows –

❖ the *official curriculum*, also known as the written curriculum, is documented in scope and sequence charts, guides, course outlines and lists of objectives. Its main objective is to give educators a basis for planning lessons and evaluating learners, and administrators a basis for supervising educators and holding them accountable for their practices and results;

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❖ the *operational curriculum* has two aspects, namely the content included and taught by the educator in class and the learning outcomes for which learners are held responsible;

❖ the *hidden curriculum* include lessons about sex roles, acceptable behaviour for youth, the distinction between work and play, which identification of learners who can succeed at various kinds of tasks, who has the right to make decisions for whom, and what kinds of knowledge are considered legitimate;

❖ the *null curriculum* consists of those subject matters not taught and why they are ignored, for example, parenting; and

❖ the *extra curriculum* comprising all those planned experiences outside of the school subjects. It is voluntary by nature and responsive to learners' needs, for example, athletics.

All five categories of curricula play a noteworthy role in the education of learners. Although the official curriculum is the foremost of the five curricula, it is necessary to establish how the others influence it. It is also essential to see how it will be affected by a powerful hidden and extra curricula. For the official curriculum to achieve its intended objectives, it is crucial that educators must be aware of the existence and the influence of other curricula, as well as to strike a balance amongst all five curricula.

5.2.2 Characteristics of a curriculum

Functions to be performed by components of a curriculum are helpful in understanding a phenomenon or object of study. However, characteristics of a curriculum need to be considered as they also help to give insight of a subject of study. According to Marsh (1997:7-8), it is essential to state characteristics of a curriculum, which are –

❖ content: which may be depicted in terms of concept maps, topis and themes;

❖ purpose: usually categorised as intellectual, social and personal;

❖ organisation: implementation planning based upon scope and sequence;

❖ society-oriented: purpose of schooling is always to serve society;

❖ learner-centred: the learner is the crucial objective of the curriculum;

❖ knowledge-centred: knowledge is the heart of the curriculum;

❖ technological orientation: to develop means to achieve specified ends;

❖ self-actualisation orientation: individual learners discover and develop their unique identities;

❖ social-reconstructionist orientation: schools must be agencies of social change; and

❖ academic rationalist: to use and appreciate the ideas and works of the various disciplines.

5.2.3 Curriculum orientations and perspectives

Apart from both definitions and characteristics, a curriculum can be viewed from different perspectives. Pratt (1994:9) identifies four curriculum perspectives, namely –

❖ cultural transmission: which emphasises the traditional academic disciplines;

❖ social transformation: emphasising political and social change;

❖ individual fulfilment: emphasising personal growth, relationships, and self-actualisation; and

❖ feminist pedagogy: emphasising an equitable balance among gender-related characteristics and interests.

For the purposes of outcomes-based education policy it is essential to identify the different perspectives to ensure effective implementation. Implementors of a policy should always address the issues provided by the curriculum.

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5.2.4 Curriculum organisation

After explaining some of the definitions of a curriculum, its characteristics as well as its orientations or perspectives, it is crucial to describe how it is organised. The word organise means to form as a whole interdependent or co-ordinated parts (Random House, 1984:937). In this context parts refer to elements of the curriculum. As a result curriculum organisation can have various meanings depending on which definition of a curriculum is used and what elements are included.

It is necessary to explain two major forms of curriculum organisation, namely, macro- and micro-levels of organisation; and vertical and horizontal dimensions; as well as basic structures. Thereafter, three well-known approaches to curriculum organisation will be explained, namely top-down approach, bottom-up approach, and project approach. This makes it possible to establish the contribution of each to the imple-mentation of outcomes-based education policy.

Curriculum organisation may be referred to as macro-level or micro-level. The macro-level of curriculum organisation refers to the relations between education levels, such as foundation phase and the intermediate phase, or between educational programmes, such as vocational and general programmes. The micro-level of curriculum organisation refers to relations between particular concepts, facts, or skills within lessons (Posner, 1992:126).

Curriculum organisation may also be described in terms of systematic arrangement of curriculum elements. In this respect two dimensions of organisation are significant; namely, vertical and horizontal dimensions. The curriculum elements can be described as occurring either within the same time frame or subsequent to one another. The first dimension concerns what is taught in conjunction with a particular topic or course. The latter dimension concerns what follows a particular topic or course. It is common

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practice in curricula to place the time line on a vertical axis. The curriculum organisation that describes the correlation or integration of content taught concurrently is termed horizontal organisation. Contrariwise, the aspect of curriculum organisation that describes the sequencing of content is termed vertical organisation (Posner, 1992:127).

Curricula may be organised according to different elements and may be sequenced according to different principles. In order to unpack the assumptions underlying any curriculum organisation, it is necessary to examine it in terms of three contrasting patterns or approaches; namely, top-down approach, bottom-up approach, and project approach.

Simply stated, a top-down approach to curriculum organisation is based on the assumption that the curriculum should be stated around fundamental concepts, themes, or principles, and that from an understanding of these concepts, themes, or principles the learners should develop the ability to derive particular facts and applications. These concepts may be derived from particular disciplines or knowledge. In order to understand the top-down approach to curriculum organisation, it is necessary to identify its major claims about curriculum organisation, which are –

❖ epistemological: each discipline is distinct and has its own structure – namely a set of fundamental themes, concepts, or principles, and a mode or inquiry;

❖ psychological: the learning process of learners is similar to the inquiry process of scholar engaged in the different frontiers of knowledge;

❖ educational purpose: the major objective of education should be an understanding of the structure of each major discipline of knowledge;

❖ curriculum: there should be congruence and harmony between the disciplines and the school curriculum. The emphasis should be on studying each discipline in the same manner as scholars conduct inquiry in it; and

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❖ curriculum development: scholars of the disciplines should take a leading and pro-minent role in the process of curriculum development because they are experts in these fields of study (Posner, 1992:157, 158 & 162).

In short, the bottom-up approach to curriculum organisation advocates that the fore-most determinant of learning is the mastery of prerequisite skills. In this respect curriculum development consists in working backward from the intellectual skills desired at the completion of the curriculum by asking the following question: "What does the learner have to be able to do in order to do this?" Answers to a series of this question culminate in a learning hierarchy that include all the objectives that learners must achieve. Teaching proceeds up through this learning hierarchy, from the simplest to the more complex objective. This approach to teaching ensures that relevant lower-order skills are mastered before the learning of the corresponding higher-order skills is undertaken (Gagné, 1970:240).

To understand the bottom-up approach to curriculum organisation, it is necessary to identify its major claims of the approach, which are –

❖ epistemological: all complex or general knowledge and skills can be analysed into more specific elements. A repetition of this process may lead to the identification of all basic elements of human knowledge and skills;

❖ psychological: people acquire complex or general knowledge and skills from simple or specific elements. It is possible for all learners to learn what schools teach on condition that they are given proper sequencing of objectives, high quality teaching, and sufficient time;

❖ educational purpose: the emphasis in education should fall on teaching intellectual skills, rather than facts, and on techniques that allow all learners to learn;

❖ curriculum: there must be harmony between the curriculum and the most effective sequences and conditions of learning;

❖ curriculum development: behavioural psychologists should play a leading and prominent role in curriculum development as they possess the necessary expertise (Posner, 1992:165, 166 & 169).

The main difference between the top-down and the bottom-up approaches to curriculum development is the sequence of events. In the case of the former, the starting point is the curriculum and the terminal point is the elements/constituents of a curriculum. The latter commences with the constituents of a curriculum and culminates with the curriculum itself.

According to the project approach to curriculum organisation the curriculum is neither organised around fundamental disciplinary concepts, as in the top-down approach, nor around prerequisite skills, as in the bottom-up approach. On the contrary, the project approach curricula are organised around learner activities, which are planned by both the educator and learners. The project approach embodies experiential perspective. That is, it assumes that learners learn through activities that make it possible for newly acquired skills to be used through direct and personal experience in order to illuminate, reinforce and internalise cognitive learning (Wigginton, 1985:383). In order to understand the project approach to curriculum organisation, it is necessary to identify its major claims, which, according to Posner (1992:175 & 179), are –

❖ epistemological: on account of the fact that the scientific method offers a model of the way human beings think, it should be used to structure educational experiences. This method is made up of recurrent cycles of thought-action-reflection. Knowledge which is most valued is social knowledge.   An interdisciplinary, experiential, project-centred approach to learning is better poised to allow learners to gain skills, attitudes, and knowledge necessary to participate fruitfully in a democratic society;

❖ psychological: the school should aim at educating the learner holistically. It is human nature to learn by doing. Human beings acquire new skills and attitudes by

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trying them out in appropriate and relevant situations;

❖ educational purpose: education should equip learners to reconstruct or reorganise their experience so that they can contribute to the larger social experience;

❖ curriculum: there should be congruence between the curriculum and learners' interests and developmental needs. Content should be interdisciplinary, based on relevant material, to provide learners with opportunities to apply new learnings in the real world; and

❖ curriculum development: learners and educators should co-operate in curricula development that are relevant to learners' interests and needs. Unlike in the top-down and bottom-up approaches, experts are not needed.

Unlike the top-down and the bottom-up approaches to curriculum development, which explain the process in terms of elements that constitute a curriculum, the project approach advocates that curricula be organised around learners' activities.

Curriculum development is described as a process consisting of many, varied and complex activities to be performed to obtain a specific outcome. Curriculum development activities give guidance to teaching. Moreover, the fact that a curriculum is written in broad terms also confirm that it is a complex and challenging process to implement. Other factors that reveal the nature of curriculum development as a complex process include its definitions, various types of curricula, curriculum perspectives and curriculum organisation. On account of the fact that curriculum development gives guidance to teaching, it can be deduced that curriculum development facilitates the implementation of outcomes-based education policy.

5.3   ASSESSMENT

Assessment forms an integral part of teaching, except that in terms of sequence teaching precedes assessment. However, sustained teaching relies on the ability to

analyse how learners are learning in relation to what they need to accomplish. In this regard Cullingford (1995:150) states that at the end of a lesson one evaluates what took place, and concentrates on what concepts the learners have learned, what know-ledge they have acquired and the skills they have displayed. Hence, preparation to teach relies on that critical insight into individual learners' attainments.

As stated earlier, assessment and teaching are both interdependent and intertwined. It is, therefore, noteworthy to state that assessment is not only inevitable in teaching, but also have positive uses. In fact, it is indispensable. It is instrumental in assisting the educator to differentiate between learners, to provide appropriate material for each one. to make sure that the needs of all are catered for, whether learners are gifted in particular subjects, or whether they have learning problems. Each learner needs sus-tenance and individual help, and each depends on the educator's recognition of this and the diagnosis of what to do about it.

5.3.1 Assessment of outcomes-based learning

The assessment of learning achievement is influenced by the characteristics of a curriculum. In this regard Benkin, Edwards and Kelly (1992:23) state that a curriculum consists of a statement of the step-by-step short term objectives by which education aims to achieve certain ends. To crystallise the aims of the curriculum, assessment must be structured in such a way that it makes these aims achievable. Hence the format, nature and scope of a curriculum have a direct relationship on what will be achieved and assessed (Olivier, 1998:44).

Outcomes-based assessment consists of a series of activities. The purpose of these activities is to obtain both information and evidence about a learner's competence to achieve outcomes. To assess a learner's progress, different ways and techniques are used throughout the learning process. Furthermore, assessment should be regarded as

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part of the learning process because learners who do not meet the criteria should receive feedback and support in order to achieve the required standard. Seen from another angle, the nature and extent of assessment is diagnostic in order to guide, redirect and assure learners of their progress (Olivier, 1998:45).

In terms of outcomes-based education, curriculum design is strongly linked to assessment. Hence, a need exists to implement valid and reliable assessment procedures. Unless assessment is properly aligned with curriculum reform and teaching practices, the envisaged changes in education will not take place. In order for outcomes-based education to realise its intentions, assessment must move from the emphasis on summative assessment as a single event to developmental assessment which is an ongoing process, as explained in paragraph 4.4 *supra*. Thereby assessment will serve as a tool that assists both the learner and the educator in ascertaining learning progress. Moreover, it will help with the development of the learner by identifying learning problems and monitoring the learners' progress. In this regard, and by way of comparison, the Scottish Office Education Department (1991:1 & 12) states that assessment is the means of obtaining information which allows educators, learners, and parents to make informed decisions about learners' progress. It further goes on to state that assessment, as an integral part of teaching and learning, encompasses paying attention to four concerns, which are –

❖ clear teaching and learning aims;
❖ motivation;
❖ previous experience and present abilities; and
❖ effective tasks and flexible teaching methods.

Lubisi (1999:12) provides a comprehensive definition of outcomes, which is "… assessment in education can be thought of as occurring whenever one person, in some kind of interaction, direct or indirect, with another is conscious of obtaining and interpreting information about the knowledge and understanding, or abilities and attitudes of that

other person".

At this stage it is necessary to look at how the South African Department of Education, which is the chief advocate of outcomes-based education, defines assessment. It describes assessment as the process of identifying, gathering and interpreting information about a learner's achievement, as measured against nationally agreed outcomes for a particular phase of learning. Assessment involves four steps, which are –

❖ generating and collecting evidence of achievement;

❖ evaluating this evidence against the outcomes;

❖ recording the findings of this evaluation and using this information to assist the learners' development; and

❖ improving the processes of learning and teaching.

Outcomes-based education assessment focuses on the learner's ability to perform a particular task against a fixed criterion which is a nationally agreed upon standard. In the case of Grades 1 to 8, in formal schooling, standards will be expressed in the form of outcomes. Each learner is informed in advance of what skills are required of him/her in order to achieve the standard for any particular task, and is credited independently of other learners' achievement. This implies that there is a shift from a norm-referenced approach to a formative criterion-referenced approach. That is, the focus moves from comparison to the assessment of an individual's performance against predetermined criteria. Therefore, the quality of each performance, irrespective of the performance of others, will be revealed. In this regard the Department of Education and Science of the Welsh Office (1988:7) states that this means that there is also a shift from content measurement to performance assessment. This is in keeping with outcomes-based education policy in South Africa which emphasises learner performance.

Spady (1994:40) made a significant contribution as far as assessment is concerned stating that authentic assessment is virtually identical to criterion validation. That is, to

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assess exactly what the outcome demonstration requires. This form of assessment requires assessors to gather the most accurate and pertinent information possible on a learner's performances and to determine whether that information or evidence matches, meets, or exceeds the criteria that define the essential components of the performance.

Assessment has been explained in general terms. It is now essential to contextualise it in terms of outcomes-based education to determine whether the policy is indeed suitable for implementation. According to the Gauteng Department of Education (2000b) assessment in outcomes-based education is a process of gathering valid and reliable information about the performance of the learner on an ongoing basis, against clearly defined criteria, using a variety of methods, tools, techniques and contexts, recording the findings, reflecting and reporting by giving positive, supportive and motivational feedback to learners, other educators, parents and other stakeholders.

Assessment in outcomes-based education requires the use of tools that appropriately assess learners' achievement and encourage lifelong learning skills. Continuous assessment is considered the most effective method to assess outcomes of learning throughout the system and enable improvements to be made in the teaching and learning process. It must be used to support the learner developmentally and to feed back to teaching and learning and should not be interpreted merely as the accumulation of a series of traditional results (Department of Education, 1998).

It is noteworthy to state the basic criteria for outcomes-based assessment, as –

❖ it assists learners to reach their full potential;
❖ outcomes-based assessment should be participative, democratic and transparent, involving all stakeholders and based upon criteria which are relevant to learners' needs and have been stated clearly beforehand;

❖ outcomes-based assessment is criterion-referenced;

❖ it makes use of self-referencing, that is, comparing the learner's present per-
   formance with his/her previous performance;

❖ it places less emphasis on norm-referencing;

❖ it emphasises performance and not memorisation;

❖ it tries to assist learners to apply knowledge gained in real life situations; and

❖ it is an integral part of the day-to-day process of teaching and learning.

Assessment is at the centre of outcomes-based education policy. Its focus is to deter-
mine whether teaching has achieved predetermined outcomes of learning. Further-
more, it is influenced by the curriculum and requires specific methods of assessment.
Apart from that, it takes place continuously, taking into account basic criteria for
assessment. Hence, it is obvious from the description of assessment of outcomes-
based learning, especially the definition provided by Lubisi (1999:12), that assessment
is a complex and sensitive process. Therefore, assessment contributes to the successful
implementation of outcomes-based education policy.

Now that it has been indicated how the traditional way of assessment, based on
content measurement, could be replaced by a system of performance assessment, it is
necessary to explore the purpose of assessment.

5.3.2 Purpose of assessment

Assessment is not used for its own sake, but to serve a particular positive and con-
structive purpose. Its major objective is to reveal to the educator the tasks to be
performed in order for learners to progress. It provides the learner with an opportunity
to see whether he/she has met the outcomes of the lesson. In this regard the Gauteng
Department of Education (2001:9) states that assessment means an appraisal, a
review, an evaluation or a measuring up to a situation with the intention of doing

something constructive about it. Therefore, an assessment can never be haphazard or superficial. On the contrary, it must be systematic and goal-directed.

As argued earlier, according to Cullingford (1995:152-153), there are many different forms and purposes of assessment, for example, formative, diagnostic, summative and evaluative, as explained in paragraph 5.3.1 *supra*. Formative assessment is concerned with recognising and delineating the achievements of the learner so that the educator will know what the learner needs to study next. Diagnostic assessment is concerned with identifying the learner's difficulties and characteristics so that the educator can be in a position to help him/her. Summative assessment is concerned with the overall achievements of the learner judged against predetermined outcomes and by comparing the achievement of the learner with others. Evaluative assessment is concerned with the achievements of a class, or the whole school, to determine the degree of success of a particular part of the curriculum.

The purpose of assessing learners in outcomes-based education is to determine intellectual growth, development and support of the learner. That is, the purpose of assessment is to monitor a learner's progress through an area of learning so that decisions can be made about how best to facilitate further learning in terms of expected knowledge, skills, attitudes and values. Information gained with assessment enables the educator to identify learning difficulties, and take remedial action to support learners who experience learning difficulties. For outcomes-based education, the purpose of assessment is not about pass or fail or conditional transfer, but about progression (Gauteng Department of Education, 2000a).

Lubisi (1999:15-16) states that assessment serve different purposes. In the main, it serves five purposes, namely –

❖ selection – when a learner wants to go to a university;

❖ prediction – to indicate a learner's strength in areas of learning;

❖ monitoring – to monitor learners' progress in acquiring taught knowledge, skills and values and to inform teaching;

❖ certification – learners are given certificates on completion of qualifications or a programme of learning;

❖ grading – learners on successful completion of the requirements for a specific grade move from one grade to another.

To sum up, outcomes-based assessment serves different purposes, such as –

❖ identification of learners' needs;

❖ planning learning;

❖ following learners' progress;

❖ diagnosing problems;

❖ helping learners improve their work;

❖ adjustment of focus and place;

❖ providing proof of learners' level of achievement;

❖ judgement of the effectiveness of the learning programme; and

❖ assessment of the educator's own teaching (*The Teacher*, Sept. 2000).

Thus, in implementing outcomes-based education it is necessary to ensure that teachers as acting implementers should be *au fait* with all aspects of assessment.

Apart from the many ways in which assessment can be undertaken, there are many parties who are interested in it; for example, educators, learners, parents, school managers and employers. Further and higher education institutions are also interested in educational assessment. In this regard the *South Africa Yearbook* (2000/2001:433) states that the process of assessment involves a partnership between educators, learners, parents and education support services.

Individuals who are directly or indirectly involved in assessment are educators. They use information from assessment to establish learners' current level of performance, to document learners' progress, to plan lessons and to diagnose and remedy learning problems. Learners are affected by assessment because they require feedback on their performance. Feedback gives them encouragement and indicates progress they have made in mastering skills and knowledge. Hence, learners are enabled to improve in areas where they lack the required skills as well as to assist them decide what courses to choose and which careers to consider. Parents are also affected by assessment of their children as they are interested in their progress. This also affords parents the opportunity to decide on what form of support and assistance to give their children. In addition, assessment enables parents to advise their children on which courses to study and which careers to follow (Gauteng Department of Education, 2001:9).

Individuals who are indirectly affected by or who have an interest in learners' assessment are school managers, employers and further and higher education institutions. School managers need educators' assessments in order to keep track of learners' progress in attaining the required levels of knowledge. This information enables school managers to decide to promote or retain learners within a phase, award prizes or impose sanctions. Moreover, information about learners' assessment makes it possible for a school manager to monitor the quality of education in the school, develop the curriculum and to identify appropriate staff training needs. Unlike school managers who use assessment information for remedial and record purposes, employers use information provided by schools to assess learners' suitability for jobs or vocational training programmes. Assessment information useful to employers can also be utilised by further and higher education institutions. These institutions assist learners by planning their learning programmes and admitting them to follow suitable courses (Gauteng Department of Education, 2001:9).

Assessment is done to serve specific purposes. As seen from the description of purposes of assessment, it is obvious that assessment is a complex and challenging process. Purposes of assessment also indicate how and why outcomes-based education policy is essential. Thus, it can be deduced that purposes of assessment facilitate the implementation of outcomes-based education policy.

5.3.3 Principles of assessment

Assessment is so central to teaching and learning that its practice should be guided by principles. The Department of Education (1997:43-47) has identified the following matters as necessary for effective and informative assessment and reporting practice –

- ❖ relevance to the curriculum;
- ❖ integral to teaching and learning;
- ❖ balanced, comprehensive and varied;
- ❖ valid and reliable;
- ❖ fair;
- ❖ engages the learner;
- ❖ values educator's judgement;
- ❖ time-efficient and manageable;
- ❖ recognises individual achievement and progress;
- ❖ involves a whole-school approach;
- ❖ actively involves parents; and
- ❖ conveys meaningful and useful information.

It is essential that the assessment strategies used by the educator in the classroom need to be relevant to the curriculum. That is, it needs to be directly linked to, and reflect, the learning programme outcomes. In this regard, assessment methods are chosen to reflect and provide evidence about the range of knowledge, skills and

attitudes that cover a learning area. Conclusions reached about the learners' achieve-ment are only valid when based on evidence about the entire range of outcomes (Van Rensburg, in Pretorius, 1999:88).

Assessment need to form an integral part of teaching and learning. Effective and informative assessment practice involves selecting strategies that are derived from teaching and learning activities. These strategies should provide information to the educator concerning progress and achievement by the learner. In addition, information gained from assessment should be useful to ongoing teaching and learning as well as identifying strengths and weaknesses. Furthermore, assessment should provide insight into learners' knowledge and conceptual understanding that may be used to improve teaching and learning in future (Masters & Forster, 1996:21).

Assessment should be balanced, comprehensive and varied in order for it to be helpful to the educator and challenging to learners. Besides, these different strategies of assessment give learners multiple opportunities to demonstrate their knowledge of the contents, their understanding and competence in order to indicate their achievement of the learning programme outcomes (Van Rensburg, in Pretorius, 1999:89).

Information yielded by assessment need to be recorded and reported. Reporting and recording include learner profiles, basic skills tests, parent and learner interviews, annotations on learners' work, comments in workbook, certificates and awards (Van Rensburg, in Pretorius, 1999:89).

Assessment strategies should be valid and reliable by being accurate and assessing clearly defined aspects of learner achievement. Therefore, on assessment strategy selected by the educator must accurately assess the degree of competence it is sup-posed to assess. Reliability, according to Masters and Forster (1996:24), can be enhanced by –

❖ specifying the kinds of evidence to be collected;

❖ specifying criteria to be used in assessing learner work;

❖ training markers in the use of criteria;

❖ providing samples of learners' work and illustrating the assessment criteria;

❖ identifying and adjusting differences in the standards applied by different assessors; and

❖ identifying and adjusting differences in the detail of the tasks that learners must attempt.

Valid and reliable assessment strategies are those that reflect the actual intention of teaching and learning activities which are based on the learning programme outcomes. Values and attitudes that are expressed in learning programme outcomes must also be regarded as part and parcel of the learners' learning and should be assessed as such.

Assessment need not only be valid and reliable, but it must also be fair to the learners. Hence, assessment strategies are designed to ensure equal opportunity for success, regardless of a learner's age, gender, physical or other disability, culture, language, socio-economic status or geographic location (Van Rensburg, in Pretorius, 1999:89).

Assessment focuses on the learners' progress and achievement. Thereto it has to engage the learner in person. Thus, it could be argued that assessment is learner-centred. Ideally, there is a co-operative interaction between educator and learners, and amongst learners themselves. The learning programme outcomes and the assessment process to be used must be made known to learners in advance. Learners have to be involved in the formulation of learning tasks and must actively monitor and reflect their progress and achievement (Duke, 1990:119).

Both educators and learners are involved in assessment. The educator's judgement is crucial in the process of assessment. Consequently, effective assessment practice

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involves educators making judgements on the weight of assessment evidence, and about learners' progress towards the achievement of outcomes. Learners show mastery of outcomes by demonstrating to them repeatedly under different contexts (Duke, 1990:119).

It is crucial that the educator's judgement is reliable. One way of achieving this is to co-operatively develop a shared understanding of the characteristics which constitutes achievement of an outcome. This is done through co-operative programming and discussing samples of learners' work and achievements.

Assessment should not be repeated indefinitely. It is necessary for assessment methods to be convenient to implement by being manageable, easily incorporated into normal classroom activities and capable of providing information that justifies the time and money required. Assessment should, therefore, be time-efficient as well as support-ing teaching and learning by providing constructive feedback to the educator and the learner who will respectively undertake further teaching and learning. It is of the utmost importance for educators to carefully plan the timing, frequency and nature of assessment strategies. Effective planning by the educator ensures that assessment and reporting are manageable and maximises the usefulness of the strategies selected.

Assessment is learner-centred and should recognise the individual learner's achieve-ment and progress. It should recognise that learners are individuals who are different and learn at different paces. Therefore it follows that all learners must be given sufficient time to demonstrate achievement.

Assessment and reporting practises should be sensitive to the self-esteem and general well-being of learners by providing honest and constructive feedback. It is of the utmost importance that the educator should discuss learners' achievement with them sympathetically and positively. Otherwise learners could experience ridicule and

ostracism. In addition, value and attitude outcomes should be regarded as important parts of learning that should be assessed and reported on (Department of Education and Science and the Welsh Office, 1988:14).

Assessment should not be confined to the individual learner within his/her classroom. It should encompass the whole school as an educational institution. Assessment and reporting policy is generally developed for the benefit of the entire school. Therefore, decisions about assessment and reporting cannot be viewed and implemented independently of issues relating to curriculum, class groupings, time tabling, programming and resource allocation (Van Rensburg, in Pretorius, 1999:90).

Assessment should allow for parents to be actively involved. Spady and Schlebush (1999:110-112) spell out clearly the role to be played by parents. Firstly, parent and educator should share the function of having to guide, inspire, and ask the right questions related to a leaner's educational progress. That is, to mediate and facilitate learning by stepping aside to allow the learner to manage learning himself/herself. Secondly, parents should avoid making comparisons as it is destructive to the self-images of children. That is, both parents and educators should know and appreciate each child's worth. Thirdly, parents should note and appreciate their children's progress. Outcomes-based education advocates that each child is scored in terms of his/her progress towards a fixed set of outcomes. Therefore, what parents have to do is to look for their own child's learning profile in terms of what progress the child has made. Fourthly, parents should avoid doing their children's homework. The parent is doing his/her child no favour by completing tasks and doing the major share of his/her child's homework. This is very essential because the educator must understand how to map a progress plan for each child and needs to know what the child can really do himself/herself. Fifthly, parents need to communicate with the educator if he/she is worried about the child's work. Besides, schools are now being asked to enrol the parent as co-tutor or mentor, especially where the child will particularly need more time

on some units of learning. And lastly, parents need to support, nurture, take interest, stimulate, help to develop coping skills and, gradually, give freedom to their children. It should be obvious that in evaluating the success of outcomes-based education attention should be paid to various issues. It is insufficient to merely evaluate the learner's progress, parents and teachers should also be involved. Thus, assessment of the policy should be extensive.

Last, but not least, assessment should convey meaningful and useful information. Assessment information about a learner is useful to different people for various purposes. People involved are learners, educators, parents, school managers and employers. At the school level assessment information may be used at an individual level, class, grade or school. This information is helpful if it indicates both the strengths and weaknesses of the learner. Hence, it can be used for remedial purposes and for school improvement programmes (Van Rensburg, in Pretorius, 1999:90).

The contents of a report must acknowledge that learners can demonstrate progress and achievement of outcomes across stages as well as within stages. Reporting should also take into account the expectations of the community and system requirements, particularly information about standards that will enable parents to know their children's progress. In this regard the *South Africa Yearbook* (2000/2001:433) states that learners who fail to meet expected levels of performance at the end of the academic year, in exceptional cases, may be allowed to repeat that year. However, the school will take such a decision in consultation with the learner's parents.

All assessment practices should comply with the basic principles of effective and informative assessment. Progress made by learners and their achievements can be reported by comparing learners' work against a standards framework of learning programme outcomes, comparing their prior and current learning achievements with those of other learners. Reporting can be done by means of various methods. It is,

therefore, necessary for schools and parents to ascertain which methods of reporting will have both meaningful and useful information.

The Gauteng Department of Education (2000/2001:10-12) summarises the basic principles of assessment as follows –

❖ every assessment should have a clear focus;

❖ every assessment should have a clear purpose;

❖ the focus and purpose of an assessment determine the best method to use;

❖ assessment activities should match the desired learning outcomes;

❖ assessment should concentrate on selected learning outcomes;

❖ assessment should be built into the process of teaching and learning from the start; and

❖ the more realistic and authentic an assessment activity is, the more likely it is to produce accurate and reliable information.

Principles of assessment serve as a guide on how to assess learners. It is not only learners who must be assessed, but also the educator's effectiveness of teaching, the curriculum, and the school need to be assessed. It is not only a challenging task to assess, but also a complex process. Therefore, principles of assessment, which indicate how complex assessment is, contribute to the successful implementation of outcomes-based education policy.

Understanding the principles of assessment, necessitate also an understanding of developmental assessment, which may be seen as a road map of the process of assess-ment.

5.3.4 Developmental assessment

Developmental assessment is described as the process of monitoring a learner's progress through an area of learning. This process affords the educator an opportunity to find ways and means of giving the learner the necessary support, assistance and guidance. Stated differently, developmental assessment assists the educator to find best ways to facilitate further learning (Masters & Forster, 1996:1). In addition, according to the South African Institute for Distance Education and the National Department of Education (1997:4), it has a developmental and monitoring function.

The table below is an illustration of how content measurement, which is a traditional form of assessment, differs from performance assessment, which is an outcomes-based education assessment.

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TABLE 5.1: The shift from content measurement to performance assessment

From content measurement	To performance assessment
Behavioural approach to learning and assessment: ● Accumulation of isolated facts and skills. ● Assessment activity separate from instruction. ● Assessment of discrete, isolated knowledge and skills.	Cognitive approach to learning and assessment: ● Application and use of knowledge. ● Assessment integrated with teaching and learning. ● Integrated and cross-disciplinary assessment.
Paper-pencil assessment: ● Textbook-based knowledge. ● Academic exercises. ● Implicit criteria.	Authentic assessment: ● Use of knowledge in real-life contexts. ● Meaningful tasks. ● Public criteria for assessment.
Single occasion assessment	Portfolios: samples over time
Single attribute assessments: ● Isolated knowledge or discrete skills.	Multi-dimensional assessment: ● Knowledge, abilities, thinking processes, metacognition and affects.
Major emphasis on individual assessment: ● Learners assessed individually with much secrecy surrounding tests.	Group assessment: ● Collaborative learning and products.

(Source: Master & Forester, 1996:1)

From the table above, it is clear that the focus of assessment has shifted from notions of passing or failing to the concept of ongoing growth. This point of view is shared in the *South Africa Yearbook* (2000/2001:433) stating that learners with learning problems need not automatically repeat a year. They could be advanced to the next grade and receive additional support in a particular learning programme. Moreover, the emphasis is on learners' developing skills, knowledge and understanding unlike in the past where the learner's performance was compared to that of others.

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The developmental assessment process is analogous to the learner's physical develop-ment. That is, at regular intervals, an estimate is made of the learner's position on a developmental continuum. Changes that are discovered in terms of the movement of the location of the learner in the continuum provide measures of growth over time. According to Masters and Forster (1996:1) this is done by casing progress maps which describe the nature of development or progress made in an area of learning. The progress map provides a frame of reference for monitoring learner development and include a description of skills, understanding and knowledge in the order in which they develop. Hence, they form a picture of what it means to improve an area of learning. In fact, this picture forms the first step in implementing developmental assessment.

The order of learning outcomes on a progress map reflects a natural developmental order; for example, learners develop an understanding that spoken language can be represented by writing before they understand meaning of written words. The first step in developmental assessment is, according to Van Rensburg (in Pretorius, 1999:84), to obtain an estimate of a learner's current location on the progress map as a guide to the kinds of learning experiences likely to be most useful at that stage in the learner's learning as well as serving as a basis for monitoring development over a period of time.

The diagram below represents an example of a progress map in language teaching.

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	Reading	Writing	Viewing	Speaking	Listening
5					
4		▪	▪	▪	▪
3	▪				
2					
1					

(Source: Van Rensburg, in Pretorius, 1999:84)

The second step in implementing developmental assessment is collecting evidence. The aim of this step is to estimate the learner's location on a progress map. Evidence is gathered from records of observations. The larger the number of observations, the more likelihood of the correctness of the learner's level of attainment. For these observations to be useful they need to be relevant with regard to the evidence about the area of learning to be assessed, and the learning outcomes identified on a progress map (Masters & Forster, 1996:3). In order for learners to perform to their utmost best when observed, it is crucial that to them the context be meaningful as well as interesting. This is in keeping with the principle of relevance to the life-world of the learner.

Important aspects of collecting evidence are the educator's judgements and systematic reporting of evidence. This can take various and varied forms, for example, day-to-day observations made by the educator. In addition to the educator's observations, information about learner's progress can be obtained from assignments, projects, presentations, portfolio entries, classroom exercises and tests. These records can indicate

whether the learner has attained predetermined outcomes, or can represent more detailed analysis of the learner's level of comprehension of certain areas of learning.

The third step in developmental assessment is the use of collected evidence to draw conclusions about the learner's present position on the progress map. According to Masters and Forster (1996:5) the estimate of the learner's progress must reflect –

- ❖ validity;
- ❖ reliability; and
- ❖ objectivity.

For observations to be valid they must provide evidence about the full range of out-comes in a particular learning area. In addition, evidence must be an adequate and fair reflection of the learner's abilities. As stated earlier, assessment must be free of bias, such as proficiency in the language of instruction, cultural background or gender. For assessment to be reliable, there is a need to ensure that a comprehensive amount of information is assessed (Masters & Forster, 1996:5).

Developmental assessment, which is an aspect of outcomes-based education policy, as explained, is a complex process. Be that as it may, it is an essential element in the implementation of outcomes-based education policy. This is evidenced in the three steps in implementing developmental assessment, which are: develop a progress map; collect evidence; and draw conclusions.

Closely related to developmental assessment are assessment methods.

5.3.5 Assessment methods

Assessment is undertaken for different purposes. It is the purpose of assessment which determines the particular assessment technique to be used. No single assessment

method is suitable for all assessment purposes. This is the case because learners differ and they need appropriate assessment methods to indicate personal performance levels. Hence the need to assess classwork analytically in relation to content as well as skills, concepts, language proficiency and attitudes (South African Institute for Distance Education and the National Department of Education, 1997:17).

To estimate the learning progress of learners on a progress map, a variety of assessment methods must be used. The methods are described briefly hereunder.

❖ *Portfolio assessment* is described as an international, purposeful strategy and specific collection of learners' work (Van Rensburg, in Pretorius, 1999:86).

❖ *Performance assessment* is described as the assessment of a learner's performance as he/she demonstrates performance to the assessor (Simosko & Associates, 1988:32).

❖ *Projects* are described as activities that are undertaken over a specific period of time and it involves both the collection and analysis of data (Van Rensburg, in Pretorius, 1999:87).

❖ *Product assessment* refers to the assessment of products such as drawings, paintings, sculptures, items of food, articles made of wood, metal, plastic or ceramics made by learners in specific learning areas (Simosko & Associates, 1988:32).

❖ *Paper and pen assessment* normally takes place at a specific time under controlled conditions and include short answers, essays and multiple-choice questions (Van Rensburg, in Pretorius, 1999:87).

❖ *Observation sheets* are valuable instruments of assessment in which learners record what they observed about a specific unit of a learning area (Department of Education, 1997:33).

❖ *Journals* are also used for assessment purposes and must reflect a learner's learning and clarify meaning following the teaching of a unit of work (Department of Education, 1997:33).

❖ *Assessment of prior learning* should be done by making use of valid and reliable assessment procedures to determine knowledge gained by the learner informally for the purpose of placement in formal education grades, as well as facilitating mobility of learners between the formal and informal education sectors (Department of Education, 1997:33-34).

❖ *Diagnostic assessment* identifies the weaknesses and strengths of the knowledge of the learner in the previously taught learning units (Cullingford, 1995:154).

❖ *Self-assessment* enables learners to appraise their own work in order to value and appreciate their own effort (Van Rensburg, in Pretorius, 1999:88).

❖ *Peer assessment* refers to other learners assessing a learner's work, especially in group projects and oral presentations (Department of Education, 1997:30).

The various methods utilised to assess the outcomes, indicate the extensive nature of the practicalities and complexities of policy implementation. It also clearly illustrates the need to ensure that policy implementors should be prepared extensively in outcomes-based education policy to guarantee that the policy is implemented in its fullest extent.

Another form of assessment which is continuous assessment is described hereafter. It is described separately as it is a major distinguishing feature of outcomes-based education policy.

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5.3.6 Continuous assessment

At the heart of outcomes-based education is continuous assessment. This approach to assessment makes it possible for assessment to achieve its purpose. According to the Gauteng Department of Education (2001:99), the most common purposes of assessment can be grouped into four categories, which are:

❖ Baseline assessment, which aims at finding out how much learners know about a unit of work. This will enable the educator to know at what level to start teaching learners.

❖ Formative assessment, which aims at determining how learners are coping with a learning programme. The main purpose of this form of assessment is for the educator to give learners feedback while the lesson is in progress.

- ❖ Diagnostic assessment, as stated above, aims at identifying problems that learners encounter in teaching and learning. This test creates opportunities for the educator to adapt lessons to address learners' needs.
- ❖ Summative assessment aims at determining learners' progress over a certain period of time or a particular section of work. It enables the educator to give a summary of learners' progress.

During any well-planned series of lessons, the educator will probably assess all the purposes of assessment using the aforementioned methods. Baseline assessment is employed at the beginning of a series of lessons. Thereafter formative assessment is used at key stages during presentation of lessons. Hereafter the educator may apply diagnostic assessment when learners experience difficulties. At the end of presenting the whole series of lessons, the educator makes use of summative assessment. The sequence in which these four forms of assessment follow each other, during and after each main section of work, is called the cycle of continuous assessment (Gauteng Department of Education, 2001:99).

Continuous assessment creates numerous opportunities for learners to be assessed during the presentation of lessons and at the end of a unit of study. This is in keeping with the theory of outcomes-based education which advocates that every learner has the potential to succeed Hence, it is obvious that continuous assessment, which is a complex process, contributes to the implementation of outcomes-based education policy.

On account of the central role played by continuous assessment in teaching and learning, it is necessary to explain its features.

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5.3.7 Features of continuous assessment

The focus for assessing outcomes-based education involves concentrating less on whether a learner has passed or failed, but more on what outcomes the learner has achieved and in which areas further support or enrichment is required. Continuous assessment does not mean giving written tests and examinations more often. On the contrary, it requires ongoing monitoring and assessment of learner performance throughout the school year in everyday conditions. In outcomes-based assessment the focus is clear, that is, the progress towards outcomes, and a clearer purpose, which is, to help the learner (*The Teacher*, October 2002).

Some of the distinguishing features of outcomes-based continuous assessment, according to Flanagan (1998:74-75), are the following:

❖ It occurs during the learning process, in everyday conditions.
❖ Its main function is to help both the learner and the learning process.
❖ It makes room for teachers to use any planned learning experience to assess learners' achievement and progress.
❖ It makes more use of criterion referencing than norm referencing.
❖ It is transparent as learners know in advance the criterion against which they are assessed.
❖ It is diagnostic as it enables the teacher to monitor strengths and to address the weaknesses of the learner.
❖ It makes it possible for teachers to pace learners and to provide enrichment for fast learners.

Assessment is the final step in a teaching-learning situation. Even in outcomes-based learning assessment is at the tail end of all teaching-learning activities. That is, assessment can be rightly regarded as the conclusion of outcomes-based learning (Flanagan, 1998:75).

Also important is an understanding of the following, which will be explained in subsequent paragraphs:

❖ criteria/assessment standards

❖ criterion referencing and norm referencing

❖ why, what, when, who and how to assess

❖ how to record and report assessment

❖ some features of continuous assessment

The distinguishing features of continuous assessment indicate that outcomes-based education is learner-centred and is also a complex process. Learners are provided with the necessary assistance to ensure that they achieve learning objectives. Therefore, just like continuous assessment, its distinguishing features also contribute to the successful implementation of outcomes-based education policy.

5.3.8 Criteria/assessment standards

Learners' performance of given tasks is measured against agreed criteria. These criteria serve as indicators of evidence of achievement the educator have to search for in terms of the outcomes. According to Arends (1994:211), the agreed criteria that the learner is expected to meet in order to achieve stated outcomes include the following:

❖ collection of relevant information;

❖ collection of accurate information;

❖ interact critically with different sources of information; and

❖ organise a report in a logical way.

At this stage it is necessary to describe what an assessment standard is. According to the Department of Education (2001:22) assessment standard is the level at which

learners should demonstrate achievement of learning outcomes and ways of demonstrating the achievement. It continues that assessment standards are grade specific and show how conceptual progression will occur in the learning area. Over and above that assessment standards embody the knowledge, skills and values required to achieve learning outcomes.

Before the learner embarks on a given activity or series of activities, the criteria should be explained clearly to him or her. This will assist the learner to understand what the focus of assessment will be. Furthermore, this will also help the learner to set targets and check his or her performance. Another advantage of this exercise is that it makes the assessment process transparent (*The Teacher*, Sept. 2000).

Assessment standards, which emphasise the collection of relevant and accurate information as well as critical interaction with different sources of information, assist in maintaining quality in assessing learners. Quality assurance, which is a complex process, is one of the objectives of outcomes-based education policy. Thus, it can be deduced that assessment standards facilitate the successful implementation of outcomes-based education policy.

After explaining assessment standards, it is necessary to indicate various forms of assessment, which are, criterion referencing and norm referencing.

5.3.9 Criterion referencing and norm referencing

Criterion referencing is assessment using outcomes and related criteria. It involves informing learners in advance about what will be assessed. In addition learners are told by their educator which criteria they have met and which they still need to work on. It is vital that the educator show the learners their achievements and shortcomings, he or she should do so in a constructive and positive manner. This is in fact regarded as the heart of outcomes-based assessment (*The Teacher*, Sept. 2000).

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According to Cullingford (1995:143) criterion-referenced assessment is system-based on the quality of work produced by a learner without regard to how it compares with other learners' work. What serves as criteria for assessment are the set of achievements the educator would expect of a learner. However, regardless of its quality and quantity, whatever the learner has achieved is recognised. Jacobsen, Eggen and Kauchak (1999:314) state that criterion-referenced assessment are evaluations based on the extent to which learners have reached a preselected standard.

Norm referencing is different from criterion referencing. The former, in essence, involves ranking learners' performance from the highest in class to the lowest. In other words, the performance of each learner is judged against the performance of his or her agreed criteria (*The Teacher*, Sept. 2000).

According to Cullingford (1995:153) norm-referencing assessment is based on the principle of comparing learners with one another, putting them in rank order so that the grade a pupil receives depends on how he/she compares with others. For instance, a learner might have done well, but if all others in class have done better he/she will be at the bottom. Jacobsen, Eggen and Kauchak (1999:314) concur with Cullingford when they state that when decisions are made about learners' progress and grades are assigned based on how they compare to other learners, the evaluation is norm-referenced. Criterion referencing and norm referencing emphasise that learners must be informed in advance about issues to be assessed and ranking learners' performance from the highest to the lowest. In this regard, the focus is on fairness, honesty and respect for learners. Undoubtedly, this is a complex process. Therefore, criterion referencing and norm referencing, just like assessment standards, ensures that quality control measures are in place in implementing outcomes-based education policy.

It is necessary for educators to know why they assess, what to assess, when to assess, who assesses and how to assess.

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(a) *Issues to be assessed*

The learner's performance and competence as he/she progresses towards achieving specific and critical outcomes are assessed. Here the educator is guided by the assessment criteria, range statements and performance indicators as evidence that learners have progressed. It is crucial that the results selected for assessment need to be clearly measurable and assessable. In addition, knowledge, skills, values and attitudes to be assessed must be clearly stated (Gauteng Department of Education, 2000a).

Briefly stated, the educator must know the issues to be assessed. Outcomes-based assessment dictates that after obtaining the purpose of assessment the educator needs to develop some focus on issues to be assessed (Lubisi, 1999:19).

(b) *Timing of assessment*

Continuous assessment provides an answer to this question. That is, assessment should be done on an ongoing basis. On account of the fact that learners learn at different rates and use different learning styles, they may not be assessed at the same time and in the same way (Gauteng Department of Education, 2000a). In this regard the Gauteng Department of Education and Vista University (2002:96) concur when they state that assessment can occur at the end of a unit, module, term, year, phase or grade, which is summative. Continuous assessment occurs throughout a learning process. It is explained that assessment may take place at the beginning of a new learning experience as baseline assessment or at any moment of need for diagnostic purposes.

(c) *Persons responsible for assessment*

Although the educator has overall responsibility for the assessment of learners, others who may assess learners' performance and achievement are the learners, parents, the

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District Assessment Team, the School Assessment Team, occupational therapists, speech therapists and psychologists. It is of importance that in this partnership of assessment the learner's right to confidentiality should be ensured. Moreover, parents or guardians and education support personnel form a crucial support system necessary to make assessment as effective as possible (Gauteng Department of Education, 2000a).

(d) *Methods of assessment*

The major determining factor of methods of assessment to be used is the purpose of assessment. An assessment level is any indicator that the educator uses when assessing and is appropriate to the method of assessment. The educator uses special methods to enable learners in many ways to demonstrate their performance evidence (Gauteng Department of Education, 2000a).

The following are the methods of assessment –

❖ written assignments;
❖ portfolios;
❖ observations sheets;
❖ journals;
❖ rubrics and assignment grids;
❖ cassettes;
❖ worksheets;
❖ question papers (Gauteng Department of Education, 2000a).

According to the Gauteng Department of Education (2000a) the following are tech-niques of assessment –

❖ project work;

❖ role-play;

❖ panel discussion;

❖ poster;

❖ presentations and demonstrations;

❖ debates;

❖ construction and design;

❖ drawings, graphs and maps.

Although methods are categorised into different groups, they must not be used rigidly as separate and unrelated components. This will depend on what the educator finds to be appropriate. Therefore, it is essential to know what to assess, which will facilitate the decision on how to assess (Lubisi, 1999:19).

As stated earlier under section 5.3.6, continuous assessment is a cornerstone of outcomes-based education policy. Continuous assessment necessitate the need to utilise different methods of assessment, otherwise assessment will be monotonous and stereotyped. Other essential factors of assessment are issues to be assessed, timing of assessment and persons responsible for assessment. These factors make it possible for assessment to achieve its objective and also indicate that assessment is a complex process. Therefore, collectively, issues to be assessed, timing of assessment, persons responsible for assessment and methods of assessment contribute to the successful implementation of outcomes-based education.

5.3.10   How to record and report

There are various methods of recording and reporting, However, each of them selected for particular circumstances should be simple, clear and meticulous. According to Flanagan (1998:79-80), the selected record should have the following distinguishing features –

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❖ reliable indicators of learners' strengths and weaknesses;

❖ comprehensive enough to reflect learners' progress;

❖ continuous;

❖ clear description of the learning that has occurred;

❖ indicate learners' strengths and weaknesses for parents and subsequent teachers;

❖ compel teachers to be accountable to learners, parents and the wider community.

Thus, it could be stated that policy implementation should be evaluated within a broad context. The objectives of policy are normally wider than may appear in a policy state-ment, e.g. an Act of Parliament. Therefore, in some cases, for example, in outcomes-based education even parents should be involved in establishing the effectiveness of the particular policy.

Concerning recording of assessment the Gauteng Department of Education (2000a) states that –

❖ the success of continuous assessment depends on sound and meticulous methods of recording a learner's achievement over a period of time;

❖ observation sheets should be used to record evidence of learner's progress towards achieving outcomes. The data collected should be the educator's observations as well as the learner's work;

❖ the educator should use performance indicators, expected levels of performance or progress maps to show the learner's progress towards achieving the specific outcomes and critical outcomes;

❖ records used to capture assessment information should be –

　　✧ uncomplicated and easily interpreted by the educator and others;

　　✧ flexible enough to accommodate the addition and deletion of information if need be;

　　✧ genuine, factual indications of learners' strengths and areas of support needed;

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- ✧ comprehensive enough to demonstrate learner progress;
- ✧ ongoing and continuous;
- ✧ helpful in the reporting process;
- ✧ readily accessible; and
- ✧ kept in a secure place to protect the confidentiality of the learner's progression;
- ❖ for each learner a minimum of two records per term must be kept for each learning programme. These are summative records based on all the various day to day information on performance records that have been gathered. Moreover, the records will assist the educator in making valid and reliable judgements and reports about each learner's performance progress as well as areas in which the learner needs to improve and requires support;
- ❖ a learner profile should replace all previous cumulative record documents that have been used before by learning site or schools, for example cumulative record card;
- ❖ the learner profile must include the following information about the learner –
  - ✧ personal information;
  - ✧ school attendance history;
  - ✧ physical condition/medical history;
  - ✧ participation in extramural activities;
  - ✧ achievements;
  - ✧ emotional and social development;
  - ✧ parental involvement;
  - ✧ areas in which support is needed;
  - ✧ special support given;
  - ✧ general remarks;
  - ✧ summative end of year overall report on the progress of the learner in each learning programme;
  - ✧ sample of learner's work in each learning programme; and
  - ✧ the promotion records of each school year.

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Concerning the reporting of the learner's achievement, the Gauteng Department of Education (2000a) maintains that –

❖ reporting is an essential and multifaceted process which provides information to serve the following purposes –
  ✧ describing and detailing the learning that has taken place and the complexity of the learning achieved by the learner;
  ✧ outlining for subsequent educators learner's strengths and weaknesses that need support;
  ✧ enabling parents and guardians to participate in the learning process of their children;
  ✧ making educators more accountable to learners, parents, the education system and the wider community;

❖ reporting can be done by an oral presentation, written summation which is either formal or informal, brief notes, impromptu or planned and stated in general of specific terms;

❖ in exceptional cases, a learner may be retained in the same grade. In such an event, the school management, the grade educator and the parents or guardians are required to motivate in writing using form GDE 450c (Motivation to retain a learner in the same grade the following year);

❖ a progression schedule for each grade must be submitted to the District Education Co-ordinator at the District Office by the end of each year. Report cards may only be completed and issued once the District Office has signed the progression schedule;

❖ three categories are used to report on the progress of learners, which are –
  ✧ learners showing satisfactory progress;
  ✧ learners who must receive additional report the following year;
  ✧ retained learners;

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❖ report cards are used – one report per term on the learner's progress must be sent to the parents or guardians;

❖ when preparing reports the following points must be remembered –

   ✧ comments must be specific and impartial as well as relevant and accurate;

   ✧ focus on the known and avoid speculation;

   ✧ acknowledge all growth made by the learner;

   ✧ distinguish between the learner and his/her work;

   ✧ use accumulated assessment records, which should be comprehensive, detailed, chronological and within reach at all times;

   ✧ respect the confidentiality of the learner's assessment records.

Understanding the various and varied forms of assessment in outcomes-based education makes it possible to critique it, as well as indicating the strengths and weaknesses of this approach to teaching and learning. However, the major advantage to be derived from the critique of outcomes-based education is to strive for successful implementation of an education policy. It is aimed at improving the lives of individuals, committees and society. Therefore, outcomes-based education has to be evaluated within a societal context as well.

Recording and reporting learners' achievements is an essential responsibility of the educator. Various methods are utilised to record and report learners' achievement – which implies that records are used to capture assessment information. These records should be simple, factual, comprehensive, confidential and accessible. Apart from keeping assessment information, records should also reflect learners' personal information, school attendance history as well as medical history. It is thus obvious that recording learners' achievement is a demanding and complex process.

Reporting learners' achievement is an essential and multifaceted process. There are three categories used to report learners' progress. Points to remember when preparing learners' achievement reports indicated that it is also a complex process.

Thus, it can be deduced that recording and reporting learners' achievement is a complex process. Moreover, the process also indicate whether learners have achieved learning outcomes or not. Therefore, recording and reporting learners' progress is an essential component of the implementation of outcomes-based education policy.

5.4   CRITIQUE OF OUTCOMES-BASED EDUCATION

It is a truism that nothing is totally good nor totally bad. In everything there is some-thing useful or beneficial that can be derived from it. In some instances, it is not only how good an object is, but how it is being utilised that counts. The same applies to an education policy. No matter how good or noble its intentions may be, how it is being implemented is important. Therefore, the positive and negative aspects of outcomes-based education as well as its implementation require further explanation.

The introduction of outcomes-based education is based on a political consideration. Its nature and character reveals that it can serve as a vehicle to democratise a society or country, or to bring about other political and social developments. The need for such a system of education for the Republic of South Africa was acutely experienced during and after 1994. Outcomes-based education was preferred as a new education system because it could facilitate the implementation of the bill of rights as enshrined in the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), was explained in paragraph 2.2 *supra*.

A closer look at the definition of outcomes-based education indicates that outcomes form the basis of all educational activities was explained in paragraph 2.3 *supra*. Outcomes serve as pointers or road signs that show the direction of a state, town or city or village. Hence they are of crucial importance to direct the teaching activities and to indicate the required standard to be achieved by learners. In other words, outcomes must make the teaching-learning situation to be goal-directed, focussed, purposeful and business-like.

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Since outcomes are central to all education activities, they should characterise all facets of an education system including qualifications, curricula, assessment of learners, structures and institutions, finances and other relevant resources. To confirm the dominant role to be played by outcomes in outcomes-based education Spady (1994:36) states that the outcomes-based paradigm is defined, focussed, and organised around exit outcomes. He continues that the exit outcomes should culminate in demonstrations of learning simultaneously serving as the focal point, mission, fundamental purpose, top priority, bottom line, and starting point for everything else that will happen in the education system.

It should be borne in mind that there is no unanimity about what outcomes-based education is. In this regard O'Neil (1994:6) states that even within the camps of proponents as well as opponents there is no unanimity about outcomes-based education. This view is also expressed by Lombard (1997) stating that Curriculum 2005 means different things to different people.

The aforementioned lack of agreement about the definition of outcomes-based education makes its implementation difficult. The fact that the outcomes to which both the teacher and the learner must strive is seen differently at different schools, could culminate in striving to achieve diverse objectives. In this respect O'Neil (1994:7) states that the different interpretations of outcomes-based education could explain why amongst those who support an outcomes-driven education system, sharp divisions occur over what it should look like.

Outcomes-based education views knowledge to be open to modification and changeable, as explained in paragraph 2.3 *supra*. It is conceded that knowledge must be acceptable and meaningful to learners. It must also be relevant to the everyday lives of learners and useful to them. This will encourage learners to appreciate the serviceability of knowledge and lures them to acquire more.

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Another distinguishing feature of knowledge is that it remains in a state of flux. As research comes up with novelties and recommendations, old knowledge may be changed, modified or discarded. In addition, technology is changing rapidly. In order to cope with the technological and social changes, knowledge will have to change to remain in step with technology. Hence outcomes-based education's view of knowledge as ever changing is correct, realistic, and prepares learners for the real world, real problems, and the world of work.

Like all other discoveries or inventions, outcomes-based education is rooted in change, innovation and progress. Its roots come from educational objectives, competency-based education, mastery learning and criterion-referenced assessment, as explained in paragraph 2.4 *supra*. In short, outcomes-based education is propelled by four different factors. From an academic point of view this state of affairs is enriching and serves as a sound support base. However, each factor has its own unique origin and has the potential to give outcomes-based education unique characteristics. In practice, this foundation has the potential of making implementation of outcomes-based education policy difficult. For instance, the proponents of educational objectives recommend that teachers should always take into account key issues such as educational purpose, content, organisation and evaluation.

In the case of competency-based education the emphasis is on teaching learners actual skills which they would need in the world of work. The aim of competency-based education is therefore to focus on the integration of outcomes, instructional experiences and assessment devices. Mastering learning focuses on the guiding actions the teacher is expected to perform. His/her responsibility is to create an enabling environment for learners to learn. In compliance with this mandate the teacher must provide more time for learning, use different media and diagnose missing prerequisite knowledge.

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Last, but not least, criterion-referenced assessment dictates that the foremost task of the teacher is to assess. Here the teacher evaluates learners with a given standard against which they are continuously assessed.

From the aforementioned brief descriptions of the roles played by teaching according to the imperatives of the four roots of outcomes-based education, it is clear that the foci areas differ. In some instances divergent. Since these four foci areas have been melted in one big pot, namely, outcomes-based education, its implementation is bound to be interpreted differently. This may breed an education system that is incoherent and inconsistent.

Characteristics of outcomes-based education, which describe its nature and character, could also influence its implementation, as described in paragraph 2.5 *supra*. A deeper understanding and a thorough knowledge of these characteristics could contribute towards the implementation of this education policy. It is necessary to know whether these characteristics are coherent, divergent or a mixture of the two. If the characteristics are divergent it will confuse the implementers.

The four major characteristics of outcomes-based education indicate a changed role of the teacher and new expectations for the learners, as explained in Chapter 4 *supra*. Outcomes-based education indicates clusters of performance roles that are essential to almost all of the major roles learners will face on completing schooling. In this regard Spady (1994:21-22) states that learners must eventually be implementers and performers, problem finders and solvers, planners and designers, creators and producers, learners and thinkers, listeners and communicators, teachers and mentors, supporters and contributors, team members and partners, and leaders and organisers. Learners' expectations are discussed briefly hereafter.

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As implementers and performers, learners in the real work environment are expected to apply basic and advanced ideas, information, skills, tools and technology. They have to come to grips with demands of situations they find themselves in and use available resources properly to get things done.

As problem finders and solvers, learners – after completing schooling – must be able to anticipate, explore, analyse, and solve problems. They should undertake the afore-mentioned activities after examining underlying causes from different angles and formulate appropriate solutions. Learners will demonstrate achievement of leaning objectives by performing the following activities:

❖ As planners and designers, learners – after schooling – must be able to develop effective methods and strategies to solve problems.

❖ As creators and producers, learners – after schooling – must come up with inno-vative ways of doing things. In addition, they must be able to formulate workable and original products or processes which will transform the material and immaterial environments positively.

❖ As learners and thinkers, learners – after schooling – must be in possession of appropriate cognitive skills and strategies which will enable them to translate new information and experiences into sound action. In addition, they must be able to use the knowledge and strategies they have acquired successfully to assimilate, analyse and synthesise new experiences.

❖ As listeners and communicators, learners – after schooling in the world of work – must be able to grasp and express ideas, information, intention, feeling and concern for people in understandable and appreciative ways. Furthermore, they must be able to comprehend and use words, pictures, gestures, deeds, styles, symbols and mannerisms to receive and convey thoughts.

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❖ As teachers and mentors, learners – on completion of schooling – should be able to enthuse and enhance the thinking, skills, performance and motivation of their charges through explanations, counselling and example. Besides, they must be able to impart information, perspectives and skills to their charges.

❖ As supporters and contributors, learners – after schooling – must be able and pre-pared to invest time and resources to improve the quality of life of their fellow-citizens.

❖ As team members and partners, learners – after schooling – must be in possession of a spirit of collegiality to work co-operatively with others to seek agreements on goals, procedures, responsibilities and rewards. At all times they should guard against personal aggrandisement and aim at accomplishing mutual aims or excelling as individuals.

❖ Last, but not least, as leaders and organisers, learners must as workers be able to initiate, co-ordinate and facilitate the accomplishments of collective tasks. This can be done by defining intended results, determining how the tasks might be accom-plished, anticipating impediments, and enlisting and supporting the participation of others to achieve common or shared goals.

Preparing learners for these ten life performance roles is a huge and demanding task. It calls for, what Spady (1994:22) describes as, a major expansion of the school's vision and priorities. In order to provide this level of learning, there must be a major shift of how teaching has been going on in the classroom.   This, in turn, calls for transformation of teacher training education in particular and change of the system of education in general. In other words, implementation of outcomes-based education implies the overhauling of the entire education system. This suggests that all personnel of the Department of Education, both academic and administrative, should be trained purposefully.

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Taking the ten life performance roles into account, learners stand to benefit significantly from learning experiences and capabilities associated with these roles.   Though demanding, the learning environments that continuously involve learners in all these ten roles are possible to conceive, design and implement.   In this regard, Spady (1994:22) states that the key to success is to continually engage learners in both individual and team activities that explore important issues, use multiple media and technologies, create products that embody the results of learners' explorations.   In other words, with the combination of ingenuity and imagination, the implementation of the outcomes-based education, as embodied in the ten roles, is practicable and possible.

A closer look at the ten life performance roles of learners clearly show that they pro-claim the major advantages of outcomes-based education; namely that the purpose of outcomes-based education dictates that learners' performance be based on covering different sets of requirement in varying periods of time.   According to McGhan (1994: 70) outcomes-based education, amongst others, has the following advantages:

❖ Eliminate failure.
❖ Eliminate compromised standards.
❖ Reduce rote learning, absorption of miscellaneous facts, and slavish adherence to procedural knowledge.
❖ Increase learners' ability to appreciate and deal with realistic situations like those that will engage them later in life.
❖ Eliminate tracking because all learners are to achieve the same outcomes, although at different times.

Advantages of outcomes-based education and replies to key questions that outcomes-based educators ask, as explained in paragraph 2.6 *supra*, revolve around the fact that it envisage clearly stated outcomes.   This helps teachers in both preparation and

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teaching. The outcomes in both exercises serve as guiding stars by helping the teacher to be focused and relevant. From the learners' side, they know in advance what is expected from them. Thereby they will be able to measure their achievement. That is, outcomes-based education assists learners to develop self-assessment skills, which is a forerunner to self-discipline. Furthermore, it enables schools to monitor fairly accurately the learners' progress. In short, according to Haack (1994:34-35) outcomes have three important functions, which are that they

❖ provide clear direction to guide the actions of teachers;
❖ convey to the community what is expected from learners and the role to be played by it in education; and
❖ contribute to making schools autonomous.

It could be argued that outcomes-based education involves much more than simply introducing a new educational approach. It requires a novel consideration of a variety of related issues. This once again illustrates the need to carefully consider the total environment within which a policy initiative is evaluated. Outcomes-based education is only one of the facets of a society's efforts to improve its living conditions.

In any teaching-learning situation the role of the teacher occupies a special position. No matter how advanced technology can be used sophisticatedly, it will never ever replace the teacher. Hence, key questions the teacher have to ask himself or herself are necessary. They help the teacher to prepare thoroughly, improve the teaching strategies, create an environment that is conducive to learning. In short, these questions are essential to the purposeful implementation of outcomes-based education policy.

The advantages of outcomes-based education serve to motivate strongly the implementation of outcomes-based education. Although the process of implementation is

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demanding, involved and expensive in terms of the benefits/spinoffs, it will be a worth-while exercise.   Therefore, everything possible should be done for the successful implementation of outcomes-based education policy. All factors that could contribute to the successful implementation of the policy should be identified and responded to appropriately. On the other hand, all impediments should be singled out and turned into strengths rather than problems.

Closely linked to the key questions teachers have to ask themselves when implementing outcomes-based education policy, as well as the advantages of outcomes-based education, is the type of outcomes-based education chosen by the South African government. The South African government introduced transformational outcomes-based education, as described in paragraph 2.7 *supra*. Its main aim was to use education to prepare citizens to participate meaningfully in a new democratic social order and to participate as equal partners in the global economy. This made it imperative for education to equip learners with skills, knowledge and values that will enable them to be useful citizens in a democratic society. From an economic point of view, outcomes-based education is in a much better position to turn out learners who will contribute to the economic development of the country and who can participate in the global economy. These expectations of outcomes-based education policy make its successful implementation an unquestionable necessity. It has to be successfully implemented because the stakes are high. Nevertheless, implementation, especially of this country-wide magnitude, is a demanding task. It needs well-thought out planed education and training of all stakeholders concerned and the necessary financial resources to take it off the ground and to keep it going.

One of the major attractive constituent elements of transformational outcomes-based education is what is called recognition of prior learning. The need to introduce this component of outcomes-based education was felt after it was established that persons who held several or certain jobs were still regarded as unskilled. Recognition of prior

learning, according to Gawe (1999:22), aims at affirming these individuals. According to Harris (1999:38), recognition of prior learning has three significant components; namely, informally acquired knowledge and on learning from experience, articulation and credit transfer.

Taking into account the quality, quantity and level of knowledge that the learner brings to school is valuable. In fact, it is in keeping with one of the basic principles of teaching, namely, from the known to the unknown. In this regard, Harris (1999:42) states that recognition of prior learning should be seen as a social practice because it could promote development of knowledgeable practice. That is, people are encouraged to value what they have learned on their own and to appreciate its relevance to formal teaching and learning. Luckett (1999:69) concurs with the aforementioned arguing that recognition of prior learning is based on the premise that people learn both inside and outside formal learning structures. Kistan (2002:170) also confirms the beneficial role played by recognition of prior learning when he states that it places the challenge to create a balance of what institutions do against what is happening in reality. Therefore, the implementation of outcomes-based education contributes to the self-esteem of individuals as each has unique and useful characteristics to contribute to the teaching-learning situation.

The other two components of recognition of prior learning, namely, articulation and credit transfer, have also brought about improvement in the education system. This practice increases learners' mobility from one institution to another; even from one type of institution to another. Knowledge is valued for its own sake, regardless of the source from which it comes. In addition credits gained from one institution are accepted by another institution and could reduce the period of study for which the learner has registered. Recognition of prior learning has major benefits for the learner, it reduces time of study for a qualification gained in everyday life and the world of work. In this regard Michelson (1999:99-100) states that socially useful knowledge is created and

utilised not only by institutions such as universities and technikons, but also in socially useful human activities. Therefore, the implementation of outcomes-based education as a policy guarantees that knowledge gained from formal as well as informal education is useful for the benefit of the country.

Pursuant to the main aim of changing the social order of South Africa through education, Parliament passed the *South African Qualifications Authority Act*, 1995 (Act 58 of 1995), as explained in paragraph 2.8 *supra*. The Act prescribes a national qualifications framework. In turn, the national qualifications framework provides standardisation and the concomitant portability of credits and qualifications. This indicates that the implementation of outcomes-based education is to a certain extent legally controlled. Hence, outcomes-based education, when implemented, in specific areas, needs to be determined in terms of the provisions of section 5 of the Act. That is, the successful implementation of the outcomes-based education as a policy, as depends on the correct implementation of other policies, such as the *South African Qualifications Authority Act*, 1995 (Act 58 of 1995). This dependency may prove to be an obstacle that needs to be overcome to pave the way for successful implementation of outcomes-based education as a policy.

It is imperative to note that the actual implementation of outcomes-based education will take place in the classroom where teaching practices, strategies and methods are used as vehicles to deliver outcomes-based education to learners. Essential factors that facilitate the implementation of outcomes-based education are –

❖ reflective teaching practice;
❖ today's multicultural classrooms;
❖ possible outcomes of learning;
❖ curriculum organisation; and
❖ lesson planning and preparation.

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From the above, it is clear that the implementation of outcomes-based education touches on all spheres of the education system. Not only teachers and learners are affected by it, but other stakeholders, such as administrators, support staff, parents, authors of textbooks and prescribed books, and employers are affected as well. This shows that the implementation of outcomes-based education is a comprehensive operation which has a bearing on all aspects of the entire education system. In terms of the breadth and depth of change, the implementation of outcomes-based education is demanding and will prove to be a slow series of interrelated processes in order to make an impact on all sectors of the education system.

To illustrate the aforementioned factors, the changed roles of teachers and learners will be examined. This is explained under teaching strategies and teaching methods, lesson planning and preparation, and how to teach outcomes-based education as described in paragraph 4.5 *supra*.

Outcomes-based education calls for a preference of teaching strategies and teaching methods. In some instances, particular aspects of a teaching method are emphasised as it is in keeping with the dictates of outcomes-based education. In the case of a teaching strategy, which is a plan of action for teaching activities, the aim is to meet predetermined objectives.

Some of the well-known teaching strategies are –

- ❖ inductive and deductive teaching;
- ❖ co-operative learning; and
- ❖ problem solving.

Both inductive and deductive teaching strategies, though very old, are still used in today's classrooms in which outcomes-based education is practised, as explained in

paragraph 4.5.1 *supra*.   The two strategies lend themselves to the dictates of the imperatives of outcomes-based education, which are: the teacher sets out outcomes which must be met by all learners, learners need to be active in the teaching-learning situation, and the teacher's role is that of a facilitator in the teaching-learning situation. Not only do these teaching strategies enhance the level of learners' participation in class, but also instills in them a sense of responsibility to seek information and to come to appropriate conclusions on facts at their disposal. This indicates that the implementation of outcomes-based education as a policy calls for the different set of rules for teaching and learning.

Co-operative learning, as a teaching strategy, calls for a group of learners to participate meaningfully, to interact with one another and to develop co-operative group skills, as explained in paragraph 4.5.2 *supra*.   This teaching strategy creates a unique opportunity for learners from different cultural groups to work co-operatively together. In the process they will learn to appreciate one another's culture and by so doing develop the spirit of cultural tolerance and appreciation of diversity. These are qualities that are needed by all citizens in a multicultural democratic society. Therefore, the implementation of outcomes-based education as a policy directive will contribute positively to bringing about a new democratic social order in South Africa.

Problem solving as a teaching strategy is helpful for learners to select appropriate information, to analyse it, to interpret it and to apply it in solving real life problems, as described in paragraph 4.5.3 *supra*. Seen from another viewpoint, problem solving gives learners an opportunity to put into practical use what they have learned. Teaching and learning is not only confined to gaining knowledge for the sake of knowledge, but to use this information for the good of mankind. Knowledge gained may be used to create new things, to improve the economy to manufacture goods, to improve technology, to advance theoretical basis for any field of study and to improve teaching and learning itself. It may, therefore, follow that problem solving gives

learners practical skills to participate meaningfully as productive citizens. Through it, learners are encouraged and guided to become producers and not only consumers. It ushers them into a real world, wherein each day comes with its own unique problems and challenges. Learners are prepared through the application of the problem solving teaching strategy, to provide answers to questions, to give solutions to problems and to suggest better ways of confronting obstacles and to turn them into opportunities. Hence, outcomes-based education through its recommended problem solving teaching strategy gives learners the skills of survival, the skills of invention, the skills of giving meaning to information, and the skills of making the world a better place to live in. Therefore, the implementation of outcomes-based education as a policy will contribute positively to improve the standard of living of South Africans, which is one of the major objectives of the democratic government.

Another important distinguishing feature of outcomes-based education is assessment, as described in paragraph 5.3 *supra*. This is so because performance assessment, according to Marzano (1994:44), provides information about learners' abilities to analyse and apply information. He further states that the traditional forms of assessment used forced-choice response formats such as multi-choice, fill-in-the-blank spaces and true or false, which assessed only learners' recall or recognition of information.

According to Marzano (1994:44), there are several reasons for making use of performance assessment, because it –

❖ provides clear guidelines to learners about teacher expectations;
❖ reflects real life challenges;
❖ makes effective use of teacher judgement;
❖ makes room for learners' difference in style and interests; and
❖ is more engaging than other forms of assessment.

In addition to the reasons provided by Marzano for performance-based assessment, Guskey (1994:51) mentions two major factors that have intensified the interest in this form of assessment, which are that –

❖ research findings have compelled teachers to admit that learning is a complex process and that diverse means are needed to assess learning fulling and fairly; and

❖ teachers have recognised the limitations of assessment systems that relied on multiple-choice and standardised achievement tests.

Assessment should contribute to improvement of teaching and learning. Performance assessment should, therefore, provide what Jamentz (1994:55) calls information that influences what learners are taught, how they are taught, and what schools do to support learning. In order to make sure that performance assessment serves instruction, Jamentz (1994:56-57) states that there are four key practices which will contribute to improve teaching and learning –

❖ articulating standards and assessment design;

❖ building teachers' capacity to use assessment to improve teaching;

❖ building learners' capacity to use assessment to improve their learning; and

❖ monitoring to gauge their impact on teaching and learning.

As teachers employ performance assessment, they are faced with a number of challenges, which, according to Baker (1994:58), are:

❖ Which forms of assessment are most useful for which educational purposes?

❖ That challenging the fundamental beliefs and instructional practices of teachers is much more difficult than assessment itself.

❖ By raising the stakes for the use of performance assessments simultaneously calls for the need for judging of the quality of assessments.

Performance assessment is a radical departure from the traditional forms of assessment. It calls for new ways of assessing learners' performance, it calls for new strategies of assessment and demands that teachers must be realistic and practical. Furthermore, it dictates that the teacher is personally best able to assess his/her learners. For performance-based assessments to be helpful to the teaching-learning situation, according to Guskey (1994:51 and 53), teachers must be provided with requisite time, resources, and training opportunities. That is, for the implementation of outcomes-based education, teachers must be reliable and dependable assessors for whose preparation time, money, and education and training is needed. This also calls for money to be made available for retraining teachers and to buy appropriate resources that will promote the implementation of outcomes-based education.

Religion has its own view regarding outcomes-based education. Christians have some reservations about some aspects of outcomes-based education. In this regard, Burron (1994:73) states that outcomes-based education is unacceptable to traditionalist Christians.

Outcomes-based education promote the observance of democratic principles and values, views all forms of religion as equal. Christians maintain that Christianity is the only true religion. This view was in vogue particularly prior to the adoption of the new *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996).   In fact, Christianity was so highly regarded that it was even taught at schools, public and private. However, it was decided that there should be freedom of religion. This makes some Christians uncomfortable, for they regard this exercise, according to Burron (1994:73), as a threat to the eternal well-being of their children. He continues to oppose the relegation of Christianity to the same level as other religions because they regard it as inculcation of universalism. Hence, the implementation of outcomes-based education must take into account the way Christians feel about putting all forms of religion on par. Otherwise, Christians, who are in the majority in South Africa, will oppose, openly or through passive resistence, outcomes-based education. The result

could be that the benefit of the implementation of outcomes-based education as a policy not be optimally realised.

Advocates or proponents of outcomes-based education are surprised by the criticism levelled against it by some Christians. According to Zitterkopf (1996:76), various church reports and related media reveal that they are outcomes-based. He gives an example of a church strategic plan, which includes a purpose statement, a statement of beliefs as well as the desired impact of it on its congregation and the community. Within the strategic plan, goals, outcomes are formulated which are in keeping with its purpose and doctrine. This indicates that structurally, or administratively, a church makes use of outcomes-based education principles. However, the spiritual component of the church treats outcomes-based education with caution and suspicion. Thus, the implementation of outcomes-based education could be opposed by missionary schools or schools that are established by particular proponents within the Christian religious grouping. To counteract challenges posed by Christianity to the implementation of outcomes-based education, Fritz (1994) calls for a more balanced approach in order not to discard the worthwhile reforms that come with it. In other words, the implementation of outcomes-based education should be done in such a way that it accommodates and addresses the concerns raised by Christians.

Jones (1994:16-17) states that he and his colleagues are convinced that traditional studies are not rich enough to portray the changes that the outcomes-based education system may inspire. They challenge researchers to come up with new evaluation methodologies that may capture excitement and change brought about by outcomes-based education. This view is also held by Slavin (1994:14) when he states that no studies directly compare students in outcomes-based education classes or schools to students in similar control schools.

Outcomes-based education, as an education policy, has affected the entire system of education in South Africa. This fact is confirmed by Killen (2001:6) when he stated that

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outcomes-based education be viewed from three different ways; namely, as a theory of education, or as a systematic structure for education, or as classroom practice.

The critique of outcomes-based education demonstrates that it is a complex, multi-faceted and multipurpose exercise. It also reveals that the policy brought about drastic change in curriculum development as well as how learners are assessed. As assessment is closely related to teaching and learning, outcomes-based education policy also introduced new methods of teaching and learning. Criticism aims at identification of strengths and weaknesses of a public policy with the aim of improving its impact. Therefore, the critique of outcomes-based education policy contributes to its successful implementation.

5.5   CONCLUSION

Curriculum development encapsulates various and varied activities to be performed, such as defining, formulating and translating outcomes into patterns of learning. Issues that the curriculum addresses are not only of a practical nature, but are also theoretical; for instance, curriculum orientations and perspective. Thus, it can be concluded that curriculum development is a complex process, and facilitates the implementation of outcomes-based education policy.

Assessment, according to outcomes-based education policy, forms part of teaching and learning. Moreover, principles of assessment govern its implementation. In addition, there are different methods used to assess learners' performance continuously. Therefore, assessment is a complex process which contributes to the implementation of outcomes-based education policy.

Public policies are formulated to serve a specific societal need. It may be provision of essential services such as education, water, electricity and public transport. Or it may have to do with the promotion of good health such as the prohibition of smoking in

public places. As a result of their utilitarian value, it is imperative to do the utmost to enhance the chances of successful public policy implementation. One way of increasing the chances of successful policy implementation is to employ a policy implementation model. The model serves as a crucial technique of producing products or services within the shortest possible time cost-effectively. Hence, the next chapter, Chapter 6, proposes a public policy implementation model for outcomes-based education.

CHAPTER 6

POLICY IMPLEMENTATION MODEL FOR OUTCOMES-BASED EDUCATION

6.1 INTRODUCTION

Education became one of the principal tasks of the state in the Republic of South Africa. Therefore extensive provision had to be made by Parliament for education policy and its implementation. Various aspects of education policy and its implementation were dealt with in Chapters 2, 4 and 5 of this thesis. This chapter is devoted to policy imple-mentation activities whereby objectives could be realised.

Apart from governmental policy directives on outcomes-based education, it is necessary to briefly explain the policy analysis techniques, the national curriculum statement, managerial functions, and monitoring and evaluation. The focus will be on how these matters would facilitate the successful implementation of outcomes-based education policy.

Models have been devised to ensure that future products are produced in time, with precision and without a waste of money. In this context, the primary intention is to propose an implementation model of outcomes-based education. The secondary aim is to apply the proposed policy implementation model to any new or modified public policy.

6.2 POLICY ANALYSIS TECHNIQUES

Although there are numerous policy analysis techniques which are both impressive and useful, only four of them will be explained. The four policy analysis tools in question are, according to Heinemann *et al.* (1997:43) –

❖   cost-benefit analysis;

❖   decision tree methods;

❖   simulations and models; and

❖   experimental analysis.

6.2.1   Cost-benefit analysis

Cost-benefit analysis is one of the basic requirements for effective policy analysis. In applying this evaluation method, one calculates the costs of the programme, then establishes its benefits. Thereafter, costs are subtracted from benefits. If several options are being considered, the one with the greatest net benefit should be selected. This axiom is referred to as the *fundamental role of cost-benefit analysis*. The following example illustrates how cost-benefit analysis is calculated. A study examining the effects of helicopter surveillance patrols on burglary rates in high-crime areas illustrates the essential elements of cost-benefit analysis. Adding patrol cars to such areas may have no apparent impact, but helicopters, which provide law enforcement officers with greater ability to see wrongful acts, might have a more significant impact on crime. The study indicates a reduction of crime rates with the introduction of helicopter patrols. The relevant question then becomes whether the reduction in crime is worth the programme cost. The table below summarises the basic data.

TABLE 6.1: HELICOPTER PATROL COST-BENEFIT ANALYSIS

	Daily
Cost of program	$126
Cost of burglaries during no-helicopter patrol periods	$494
Cost of burglaries during helicopter patrol periods	$161
Benefits	$333
Benefits to cost ratio: $333 / $126 = 2.6	

(Heinemann *et al.*, 1997:44)

On a cost-per-day basis helicopter patrols expended $126; benefits amounted to $333 per day, which is calculated as follows: cost of burglaries during no helicopter patrol minus cost of burglaries committed during helicopter patrol. The resulting ratio of benefits to costs was 2.6:1, indicating that, under the logic of the Fundamental Rule, the programme was justified (Heinemann, *et al.*, 1997:44).

Scott and Sechrest (1992:245) explain cost benefit in much simpler form. They state that to determine how one gains from an action, how much the action costs, and divide the former by the latter. A quotient greater than 1,00 suggests that the action is a good investment. They also concede that the actual situation is not that simple, and that many theoretical questions must be resolved in order to arrive at a useful cost-benefit analysis. Essentially, the theoretical questions centre on the necessity for obtaining benefits, and a theory of costs.

The theory of intervention provides an understanding of treatment. According to Lipsey (1990:36), if no theory of an intervention exists, then one cannot determine what to do when intervening. Most importantly, one does not know what a person does when attempting to extrapolate any evidence for the effectiveness of the intervention to some other group, setting or problem. For example, an intervention may appear to have an unacceptably low cost-benefit ratio, but that may be the result of having an intervention that has unnecessary issues attached to it that make it more expensive but not more effective. To further shed light on the example, the cost-effectiveness of screening for and remedying hearing losses among elderly veterans could be mentinoed. It was noted that the estimate of the cost obtained from the research trial was probably 33 to 50 per cent higher than would be necessary in a community implementation. The reasons have to do with the use of more expensive screening, data recording, equip-ment, and follow-up procedures in the research and the reliance on much more highly trained, expert personnel than would be required to implement the programme.

The intervention theory assists in recognising that many social programmes overlap and complement each other. For example, health issues are affected by educational, occupational, and housing issues, yet often one of these programme areas may be funded by the elimination of other programme areas. Although a theory sufficiently comprehensive to illuminate all the connections among the many interventions that might be possible is probably beyond full comprehension at the present time, the difficulties involved in formulating one should not detract from the need to engage in such an exercise (Scott Sechrest, 1992:246).

Secondly, the theory of benefits is required in order to specify the benefits that are to be sought. In any evaluation, if sufficient independent outcome measures are analysed, some will prove to be significant by chance, which may lead to the possibility of erroneous inferences. In this regard Dales, Friedman and Collen (1979:389) provide a study of a multiphasic health-screening programme. After extensive analysis, it was found that the screening programme might have reduced deaths from complications of hypertension and colorectal cancer in older men. On account of lack of effective theory to account for the specificity of such findings as well as the problem of extensive analyses that were done, lives could not be saved. Therefore, judiciously applied theory can either limit the number of measures that need to be analysed, which is preferable, or help avoid erroneous inferences based on specious findings.

According to Scott and Sechrest (1992:247-250), the theory of benefits may take the functional form of effects, dynamics of benefits, negative benefits and intervention dynamics. These forms of benefits are briefly described below –

❖   functional form of effects refers to theory which is required to specify the structure or functional form of the effects;

❖   dynamics of benefits state that, in addition to assess benefits adequately, theory is needed as well as empirical observation to indicate whether effects are likely to snowball, dissipate, or simply to have an incremental effect;

❖ negative benefits refer to giving a full account of the benefits of any intervention including negative benefits, that is, detrimental as well as positive benefits; and

❖ intervention dynamics refers to detailed theoretical knowledge about the effectiveness of components of treatment necessary to anticipate the way in which the intervention will actually be carried out in the field in order to estimate the potential social benefits of some intervention.

Thirdly, and lastly, the theory of costs is necessary for guiding analyses of the costs of intervention. Major questions that hinge on a proper understanding of the intervention have to do with start-up and evaluation costs from those that would be operating costs in a long-term implementation. For example, an experimental intervention to be evaluated might be carried out by specialised personnel trained to a much higher level than would be required for operational implementation. A suitable theory of intervention would enable one to determine what level of personnel at what cost should be attached to estimates of programme operating expenses for cost-benefit accounting purposes (Krause & Howard, 1976:298).

Research has indicated that there are a number of difficulties with the method of cost-benefit analysis. Some of them are obvious, such as the problem of putting rand figures on intangibles like quality of life, value of human life, or the benefits of beauty, although these are often assessed indirectly. For example, a value of human life can be calculated from the rate of awards in wrongful death cases that go to trail (*The South African Treasurer*, 1973:79-80).

There are challenges in evaluating benefits and costs. There are uncertainties in relation to the choice of the investment criterion, in selecting and ranking alternative investment projects and in making allowance for uncertainty. Consequently, the degree of skill to be applied in cost-benefit analysis is high and will stretch the abilities of the analyst in bringing the various factors into account, not only in determining market prices but in applying estimated prices according to the needs of the case and the constraints of the situation (*The South African Treasurer*, 1973:79-80).

CHAPTER 6

Another noteworthy obstacle in the use of quantitative measurement is the uncertainty often associated with social issues. It stands to reason that more systematic treatment can be given to known than to unknown probabilities. It is not always clear what the facts really are; therefore, costs and benefits calculated under conditions in which probabilities are not known will surely not be as reliable as desired. In this regard Wildavsky (1966:296) states that the cost-benefit analyst must learn to live with uncertainty, for he/she can never know what changes may occur in policy and in technology. This is not a counsel of despair, on the contrary, it is an admonition of the need to be sensitive to uncertainty.

The future can be an imponderable complicating factor in the cost-benefit calculations of the analyst. In theory, through discounting, it is possible to incorporate the future in cost-benefit analysis. In practice important questions remain. Firstly, and most apparent, the future is opaque and not easily predictable; hence, there is often built-in uncertainty in considering the future. Secondly, as a result of the previously mentioned concern, consequences in actual practice are often not seriously weighed. An example of these problems is as follows. In the private sector, weighing costs and benefits tend currently to be tied to short-term thinking. A tendency to focus on the importance of immediate profits relegated basic research and capital investment to lower priorities. This is one reason for the competitive success of Japanese firms against their American counterparts. Many of the former have a future orientation and are willing to forgo present profits for longer-term profits. In the semi-conductor industry, for instance, American firms have seen their share of the market drop markedly as the Japanese attention to long-term planning and investment had resulted in sophisticated products and a co-ordinated market strategy. Recently, American industry began to recognise that maintenance of a competitive position in the world economy requires planning that employs a much longer time horizon than that based on investors' demands for short-term profitability. Other possible contributory factors to these different approaches of the Americans and Japanese, may be different discount rates as well as cultural differences (Heinemann *et al.*, 1997:45).

Cost-benefit analysis, with its emphasis on measurement and tangible factors has enjoyed wide popularity with policy analysts. These characteristics may be viewed as limitations in the evaluation of public policy. Undoubtedly in some ways, the use of cost-benefit analysis can be a hindrance to long-range planning or commitment. This shortcoming is derived from its insistence on quantifiable measures as well as its inherently incremental bias. The cost-benefit approach used in the area of public policy usually stresses costs over benefits. The reason for this inclination is that various public programmes in areas such as health, education and environmental protection produce intangible benefits that are not quantifiable, although their rand costs are readily calculated.   From the political point of view, cost-benefit analysis is politically debilitating for it tends to saddle leaders with the onus of costs when their actions may have averted major disasters. Citizens can be affected by the costs of public measures designed to prevent serious misfortunes such as a natural disaster, enemy attack or economic depression, but they may experience no noticeable benefits if the measures taken are successful. In these instances, unfortunately, leaders may be punished by the voters for their lack of foresight. Notwithstanding, careful analysis of social problems remains an especially useful approach, and knowledgeable and responsible public leaders would be well advised to consider its findings (Heinemann *et al.*, 1997:47).

A problem in applying cost-benefit scales of evaluation is that one must contend with the many intangible consequences of public policy. Some programmes aim at increasing the participation of the poor or any other special class of people in the planning and administration of local programmes that may carry over into increased political demands for other benefit and services. Although this intangible consequence is difficult to measure, it may affect future policy decisions. Therefore, the symbolic and intangible results of public policies cannot be ignored in any thorough evaluation analysis, and it is likely that they will be assigned a value as favourable or unfavourable, even though they are difficult to measure (Dubnick & Bardes, 1983:215).

Despite its shortcomings cost-benefit analysis appears to be an objective and value-free technique. Contrariwise, basic values are built into it. The fundamental rule demands that the most efficient alternative be selected. Maximisation of goods or services in quantifiable terms, usually in rand, guides decisions when applying cost-benefit analysis. This, in turn, devalues or de-emphasizes the many factors involved in the process by which decisions are made. By de-emphasizing these factors, utilitarian values tend to eclipse or outweight or override other concerns. Although cost-benefit analysis is exceptionally valuable for clarifying and arranging alternative ways of approaching problems, it is by no means to be considered value free (Heinemann *et al.*, 1997:47).

Despite the aforementioned problems, cost-benefit analysis is not useless. On the contrary, it has considerable potential and is frequently used in analyses that require precision, consistency and reliability. In the case of the analyses of the effects of outcomes-based education, it would be possible to establish the costs of the policy and gauge the benefits derived therefrom. However, it should be borne in mind that financial costs would only reflect the monetary requirements to implement the policy. The human resource cost should, for example, also be calculated. Similarly various intangible results, not only direct competency improvements, could be derived. This is the area of interest regarding cost-benefit analysis.

6.2.2   Decision analysis

The second technique of policy analysis which will be discussed is decision analysis. This technique is used when decisions must be taken sequentially and where uncertainty is a critical element. One common technique of decision analysis which is used under these conditions is called the *Decision Tree*. The following example will indicate clearly how the concept of the decision tree is applied in practice. The choice between the cost per month of purchasing a new car as compared with the purchase of a used car provides a simple example of this approach. The figure below represents a decision tree for purchasing a car.
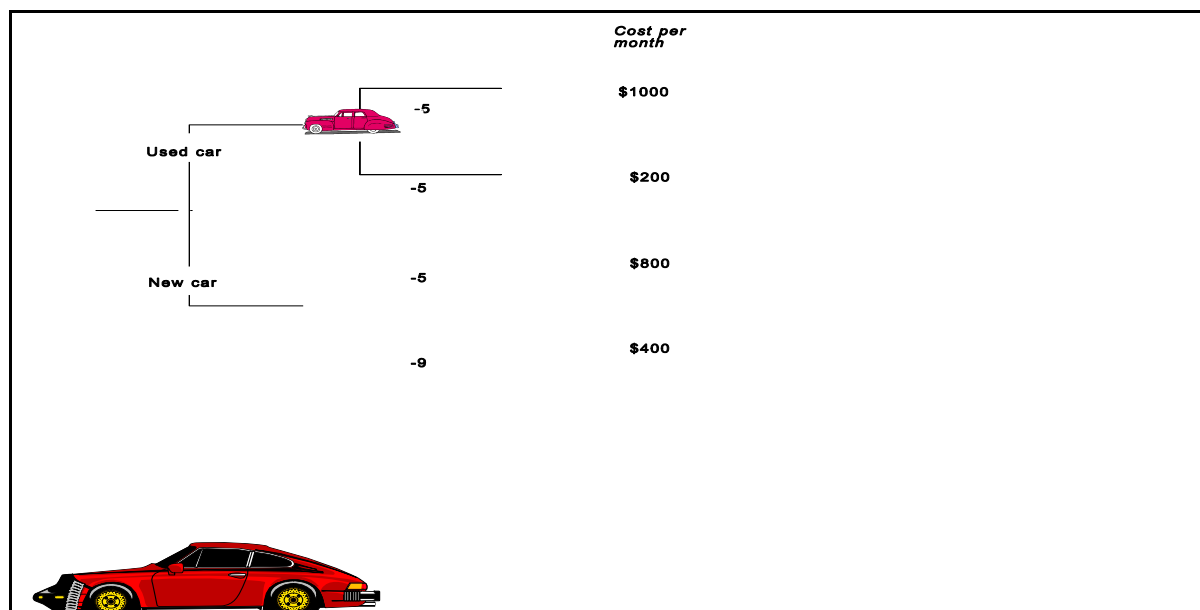
(Source: Heinemann *et al.*, 1997:48)

Figure 6.1: Decision tree for purchasing a car

In this example there is firstly the decision node to determine the courses of action open to the decision maker; and secondly the node to overcome the uncertain events which could affect the possible outcomes. Cost per month associated with purchase of a used car (a) versus a new car (b) probabilities associated with each outcome; and payoffs, the consequences of each possible combination of choice and chance. The Expected Monetary Value (EMV) of buying a used car (EMV/a) is the average of the sum of each choice multiplied by the adds of the different choices. Simply calculated, for a used car in this case, EMV/a = .5 (1000) + .5 (200) = $600. For a new car, EMV/b = .1(800) + .9(400) = $440. From the two possible choices, the better choice would be to purchase a new car, since the expected monetary cost ($440) in this case, is less than that of acquiring a used car ($600 per month) (Heinemann *et al.*, 1997:48). In other words, to maintain a new car by applying the formula will be much cheaper. Reference to prior research indicate that it is cheaper to maintain a new car than an old car.

One immediate question about this technique is the set of quantitative assumptions

undergirding each decision choice. Although, estimates and costs associated with the array of choices are straightforward in the example above, decision trees are often constructed when there is considerable uncertainty about root assumptions. In complex situations, branches representing various choices can be added at a geometric rate, which will make the final result dependent upon estimation. In this regard Welch and Comer (1983:266) state that decision tree analysis seems to be a more useful heuristic device than a yardstick by which a final decision should be measured. Experience in dealing with decision trees indicates that failure rates of systems and other risks are often severely underestimated, which reduces the benefits to be derived from this form of calculation.

A problem of using decision trees is that it is not always easy to identify all relevant branches of the decision tree. This may result in some alternatives being ignored, especially in complex situations. For example, the Rasmussen Reactor Safety Study, making use of event-tree analysis and fault-tree analysis, methods similar to the decision tree approach, cost $4 million over three years. In spite of the thoroughness with which the study was conducted, within a short time after its completion it was severely criticised because of its flawed methodology and assumptions. This criticism indicates the need for any analyst to retain a critical posture in the application of analytical techniques (Lowrence, 1985:142-149). In case of the implementation of outcomes-based education policy, there are many branches such as human resources, textbooks, audiovisual aids, and classrooms to be budgeted for.

Values which apply to the decision tree method are parallel to those underlying the cost-benefit analysis. The decision tree method is outcome-oriented and hence reflects utilitarian values. On the surface this method seems to be more future-oriented compared to cost-benefit analysis; this is incorrect. Probability and cost estimates are essentially based on current understandings, and efficiency is a built-in value. Therefore, it should be accepted that values play a critical role in the decision tree method (Heinemann *et al.*, 1997:49).

The major difference between the decision tree technique and the cost-benefit analysis is that the former adapts more easily and usefully to decision situations where monetary units are not particularly important. For example, decision tree analysis can be applied to military strategy or other situations where one has to assess the probability of an opponent's response. Another example could be natural disasters threatening human life or health and other situations where decisions could be formed by the nonmonetary probabilities associated with each choice alternative. It is worth noting that decision tree analysis continues to be limited by the exclusion of other possibilities once particular choices are articulated in the calculation and by the tenuous/insignificant nature of estimated probabilities. These estimates are analogous to votes of participants in the analysis rather than the reflections of the possibilities of actual occurrences (Lowrence, 1985:122)

For the purpose of evaluating outcomes-based education, the decision tree could be utilised. In this regard it would be required to identify the various alternatives, establish the linkages and indicate how the particular choice was justified.

6.2.3 Simulations and models

The third technique of policy analysis is the application of simulations and models. These techniques represent attempts to create the equivalent of a laboratory setting to determine the likely outcomes of various policy choices. The result is a prediction in the following form: Given conditions X_1 through X_2, policy choices A_1 to A_2, will have impacts Y_1 to Y_2. With this information at the disposal of the policy analyst, he/she will select the option that seems best, normally the most cost effective option. Computers and software packages are used to carry out simulations and models. The aim of these techniques is to develop more rational control over decisions and to increase the chances that the policy adopted will be an efficient choice (Heinemann *et al.*, 1997:50).

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Governments have increasingly purchased computer software models to rationalise the budget making process. The computer models, which are known as Fiscal Impact Budgeting Systems, forecast government service needs and both expenditure and revenue needs over the next year and subsequent years. The data base for projection includes previous expenditure and revenue levels, demographics, intergovernmental funding relationships, and predicted changes in each of these parameters. Therefore, the Fiscal Impact Budgeting Systems can be rightfully regarded as a classic management science response to a fundamental policy problem, which is developing more rational control by elected officials and the general public over decisions that affect the fiscal position of government. They are promoted because they contribute improving information processing, content, and flows thereby representing a potential tool for managerial rationalism (Kraemer & Dutton, 1982:190).

Just like cost-benefit analysis, modelling draws heavily on phenomena from economics, especially in areas involving budgeting. Admittedly, other models are not based on economic assumptions, for example, those making use of engineering principles. Many of the questions raised about this instrument of policy analysis are familiar. There is uncertainty in decision situations, and computer simulations tend to oversimplify reality and are based on artificial assumptions. Be that as it may, this is an outcomes-oriented technique and reflects utilitarian premises (Heinemann *et al.*, 1997:50-51).

In the application of the simulations and models technique, some challenges are encountered. For instance, while the number of policy alternatives examined must be limited to be manageable, political bias often determines the boundaries of choices. More often than not, public officials specify that they want a choice about just A and B. For instance, a choice between traditional outcomes-based education and transformational outcomes-based education. Such an arrangement, obviously, produces a pre-arranged result if one of the options is preferable to the other. The unfortunate tendency is for the political preferences of public officials to encourage manipulation of the simulations and models technique. However, experience has shown that political pressures on elected officials produce short-term thinking that can overwhelm the

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results of policy analysis or lead to skewing of analyses for political ends. Notwithstanding, overt political concerns, the analyst must make initial choices in modelling. The overriding factor is that he/she remains responsible and aware of the ramifications of these choices for future policy decisions (Heinemann *et al.*, 1997:51).

The three policy analysis techniques explained thus far are amenable to manipulation through control of the choices of alternatives to be considered making all three of the techniques vulnerable in the policy process. Fortunately, students of policy analysis are fully aware of the possibilities in this respect and caution that the legitimacy of policy analysis depends on everyone playing by the rules. With regard to cost-benefit analysis they note that outright deception can involve submerged assumptions, unfairly chosen valuations, and purposeful misestimates, and add the caveat that any procedure for making policy choices, from divine guidance to computer algorithms, can be manipulated unfairly. Besides the aforementioned problems, it has been discovered that these techniques, even if applied by the most fairminded and circumspect of analytical technicians, will involve opportunity costs. They will de-emphasise or omit certain possibilities or opportunities on their formulation. Although these techniques can be subjected to the powerful hydraulic forces of the political system, there are insufficient guarantees that they will be able to withstand skewing and twisting for partisan purposes, even if the use of technical committees specially designed for quality control and review may provide some barrier to such skewing. Organisations under pressure to undertake projects may find themselves tempted to underestimate their costs and ignore valuable alternatives for the sake of winning legislative approval. Which are both regrettable and unfortunate (Buchanan & Flowers, 1975:183-184).

6.2.4 Experimental analysis

The fourth technique of policy analysis is experimental analysis. In using this technique the policy analyst would examine results from quasi-experiments or true experiments to determine the best course of action. True social experiment relies on random assignment of subjects to an experimental group receiving the services of the programme

being tested and a control group not receiving those services. Usually, experiments are conducted with pilot or demonstration studies to determine if the experimental pro-grammes should become general policy. Should those assigned to the experimental group benefit more than those in the control group, it can be concluded that the pro-gramme has had a positive benefit, i.e. if the programme works or is a success. The quasi-experiment proceeds without random assignment of subjects and is procedurally less rigorous. Although quasi-experiments are often the best available technique given the constraints of particular situations, they cannot produce results with the same level of validity as those from the more rigorous experimental design. It should be noted that the experimental analysis technique attempts to apply the scientific method of the natural sciences to the social sciences, especially sociology and political science (Heine-mann *et al.*, 1997:52).

An impressive array of policy experiments have been carried out from the 1960s, which include various income maintenance (negative income tax or guaranteed annual income) experiments, housing allowance programmes, aid to families with dependent children adjustments, and voucher-type plans for educational expenses. The ostensible goal of these policy experiments has been to use results from these pilot studies to assist in designing more effective education programmes on a large scale. In these instances, the policy analyst can base policy recommendations on actual experiments carried out in a real world environment (Henneman *et al.*, 1997:52).

According to Scott and Sechrest (1992:254), determining the benefits of different evaluation strategies depends on the determined perspectives. Evaluations using experimental designs, with random assignment produce more definite results, but they often take too long, are too expensive, and can cause political problems. These issues need to be addressed by those involved in the evaluation. What is important in these social experiments is whether the benefits in terms of the society as a whole are worth more. The answers depend upon factors such as the size of the programme, its usefulness to society, and what the alternatives are. Eventually, randomised experi-ments will be less costly in terms of putting funds into programmes that work.

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Apart from the problem of full experiments taking much time to complete as well as opponents of programmes using experimental techniques as a way of delaying action on a major commitment until it can be safely curtailed, there are other problems. They include the difficult task of getting sufficient participants, the resistance of prospective subjects to being experimented upon, the tendency of experimental programmes to drift (that is to evolve over time and change) and render uncertain how the programme actually affected people, and the question of external validity (that is, how generalisable to other settings are the results of a particular social experiment?) (Greenberg & Robins, 1986:340).

In addition to the aforementioned technical issues, this technique of experimental analysis also experiences ethical problems. For example, to construct a tight experimental design, one can withhold services from some while supplying them to others? Therefore, ethical considerations prevent a wide variety of experiments on humans. When ethics was ignored, as in the Tuskegee quasi-experiments of the 1930s, in which a group of over 400 blacks was not treated for syphilis in order to study the disease's progress, over decades, the result was grotesque and a violation of the subjects' human rights (Heinemann *et al.*, 1997:53).

Other problems that the experimental analyst is faced with are related to interpretation and subjectivity. For instance, the initial steps of defining a social problem to be examined must reflect someone's normative perspective. Secondly, the selection of kinds of intervention raises the problem of opportunity costs in that this decision will eliminate further consideration of other forms of intervention. Thirdly, interpretation of the results of a social experiment admit a wide variety of views, and analysts from different normative perspectives may agree on the substance of the findings but differ sharply on whether the proposed social intervention was a success (Heinemann *et al.*, 1997:53).

6.2.5 Policy analysis techniques: implications for policy implementation

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From the above consideration of policy analysis techniques, it is clear that numerous difficulties could be encountered. However, this does not discredit the technical procedures described. On the contrary, the aim is to warn against them in order to enhance the chances of successful application of experimental analysis.

The four techniques of policy analysis described above can contribute significantly to the implementation of outcomes-based education policy.

Firstly, the technique of cost-benefit analysis can be used to indicate whether a policy intervention will be successful. Or, to indicate whether any policy intervention is worthwhile. This technique, as described earlier, is calculated by dividing the cost of the programme that is to be intervened by the cost benefits to be derived from the intervention. Any quotient that is greater than 1,00 means that the intervention is beneficial.

It is possible to cost the introduction of outcomes-based education policy. It is also possible to obtain an estimation of the cost of benefits to be derived from the introduction of outcomes-based education policy. If the quotient of the cost of benefits divided by the cost of the implementation of outcomes-based education policy is greater than 1,00, the intervention will be beneficial. Only beneficial interventions should be encouraged and entertained because they contribute to the improvement of the quality of life of people.

Not all benefits are positive. There are negative or harmful benefits. According to Spady (1999) as quoted by the National Qualifications Framework (NQF) and *Curriculum2005* a South African Qualifications Authority (SAQA) position paper, outcomes-based education is about a consistent, focused, systematic, creative implementation of four principles; namely, a clarity of focus on the learning outcomes, the design-down approach to building the curriculum, high expectations and expanded opportunity. From the aforementioned description of outcomes-based education, it could be argued

that its implementation could yield positive benefits (SAQA, 2003:4-5).

The application of the cost-benefit analysis technique reveals deficiencies such as uncertainty associated with social problems. The future is unpredictable, however, the insistence on tangible benefits and the possibility of encouraging the public to demand more benefits after participating in some social intervention programmes may require quantifiable techniques such as cost-benefit analysis. Undoubtedly cost-benefit analysis as a technique of policy analysis is a useful tool. It can be applied to measure the degree of success of the implementation of the outcomes-based education policy. This is due to the fact that it indicates the cost of implementing outcomes-based education and the value of the benefit to be derived.

Secondly, just like cost-benefit analysis, the second technique of policy analysis, which is *decision analysis*, can be used in the implementation of outcomes-based education policy. There are three types of outcomes-based education, *viz.*, traditional, transitional and transformational. These three types are courses of action open to the decision makers. The last type of outcomes-based education, transformational outcomes-based education, was chosen for South Africa because it could serve as a vehicle to change both the social and political life of the country to meet the requirements of a democratic system of government. (See Chapter 2, section 2.7.)

It is difficult in some instances to identify the branches of a decision tree as it is not always possible to exhaust the list of alternative policy choices. For example, at present three types of outcomes-based education have been identified. It is possible, through research, that in the near or distant future other types of outcomes-based education could be identified, thus increasing the branches of a decision tree. It may also increase the possible alternative policy choices for social intervention.

Thirdly, simulations and models as techniques of policy analysis could contribute to the implementation of outcomes-based education. A technique could serve as an equiva-

lent of a laboratory setting to determine the likely outcomes of various policy choices; in fact, it could encourage the making of choices based on given conditions and policy choices. This technique should use computer and software packages to carry out simulations and models. Governments could use this technique to rationalise the budgeting processes. For instance, the implementation of outcomes-based education policy is a costly matter. It involves the overhaul or re-engineering of the entire educa-tion system. Money will be needed for education and training of pre-service trainees, rewriting of the new curriculum, provision of teaching and learning aids, provision of additional classrooms, rewriting of textbooks, education and training of both governing bodies and school managers and education and training of examiners. In order to prepare a budget that will address these needs, the simulations and models technique of policy analysis will prove to be very useful, because it is able to forecast government service needs and expenditure and revenue needs over a year to several years.

Fourthly, experimental analysis can be used in the implementation of outcomes-based education policy, because with this technique the analyst would examine results from quasi-experiments or true experiments to determine the course of action. This tech-nique is applied by providing social services to an experimental group while the control group is not given those services. In fact, this technique stresses the need and im-portance of conducting pilot projects to determine whether the experimental pro-gramme should become general policy. The major benefits to be derived from con-ducting pilot projects is that they give one the idea of costs involved, identification of short-comings, duration of full implementation, education and training needs, and the advisability of implementation or discarding the introduction of the new policy. There-fore, pilot projects should be conducted before any new or modified public policy can be implemented. The same applies to the outcomes-based education policy.

Although there are advantages to be derived from the experimental analysis technique, the main disadvantage is ethical considerations. It is a serious ethical problem to provide social services to an experimental group and deny the service for the control group. However, in order to determine the benefits to be derived from an introduction of a public policy, it is imperative to subject an experimental group to it and not the control group. It is the only way in which the effects and impact of the new or modified public policy can be established. Therefore, the usage of pilot projects is an unavoidable and necessary factor to contend with.

The preceding explanation indicates how policy analysis techniques can be applied to the implementation of outcomes-based education policy. It is now prudent to describe the *National Curriculum Statement* which served as the major foundation for outcomes-based education policy for South Africa.

6.3 THE NATIONAL CURRICULUM STATEMENT

The *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), provides the basis for curriculum transformation and development. Education with appropriate curricula have an important assignment; namely, to realise the provisions of the Constitution. Of paramount importance is that the curricula should develop the full potential of each learner as a citizen of a democratic South Africa.

6.3.1 Outcomes-based education

Outcomes-based education is prescribed as the foundation of the curriculum in South Africa. The main aim will thus be to enable all learners to achieve their maximum potential. To achieve the envisaged outcomes there will have to be a learner-centred and activity-based approach to education. The revised National Curriculum Statement builds its learning outcomes for the General Education and Training Band for Grades R-9 on the outcomes that were inspired by the Constitution (Revised National Curriculum Statement Grades R-9 Schools Policy, 2002:1).

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An important perspective of outcomes-based education is that it does not only concern curriculum change. Its envisaged impact is much wider; namely changing the nature, character and function of the entire education system. On account of the fact that outcomes-based education aims at overhauling the education system, it is bound to challenge current practices of curriculum development and delivery. However, it must be emphasised that the focus of outcomes-based education is primarily about systemic change and not curriculum change (SAQA, 2003:4).

Outcomes-based education spells out the critical outcomes and also requires the for-mulation of developmental outcomes which envisage learners who are able to perform particular actions. These were explained in Chapter 2, section 2.8.8.

6.3.2   Revised National Curriculum Statement: Learning Areas Statements

The Revised National Curriculum Statement: Learning Areas Statements were discussed in Chapter 2, section 2.8.10 (a).

6.3.3   Revised National Curriculum Statement: Learning Programmes

The purpose to be served by the Revised National Curriculum Statement: Learning Programmes is to promote commitment and competence among educators who will be responsible for their own learning programmes. To ease the burden on the shoulders of educators, the Department of Education provides policy guidelines based on each learning area. If need be the provinces charged with school education will develop further guidelines to accommodate diversity (Revised National Curriculum Statement Grades R-9 School Policy, 2002:2).

Principles and values underlying the Revised Curriculum Statement: Learning Areas Statements form the basis of the learning programmes. On the one hand the learning areas stipulate the concepts, skills and values to be achieved on a grade by grade basis.

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On the other hand learning programmes specify the scope of learning and assessment activities for each phase. Moreover, learning programmes contain work schedules that specify the pace and sequence of these activities each year, and examples of lesson plans to be implemented in any given period (Revised National Curriculum Statement Grades R-9 School Policy, 2002:2).

To illustrate or to shed light on the aforementioned points, in the foundation phase, there are three learning programmes; namely, literacy, numeracy and life skills. In the intermediate phase, languages and mathematics remain as individual learning programmes. The schools are at liberty to develop other integrated learning programmes, on condition that approval of provincial departments of education is granted. Provinces themselves have the authority to develop province-wide decisions on combinations in the intermediate phase. In the case of the senior phase there are eight learning programmes based on the learning areas. In addition, time allocations for each learning area are uniformly prescribed for all grades and phases (Wilkens, 1999:46, 57 & 59-60).

6.3.4   Time allocations

Time allocations are calculated as percentages of the hours that are to be devoted to formal teaching. In each of the five days of a school week, educators are at school for 35 hours. Time allocated for formal teaching varies in the different grades. For instance, in the foundation phase there should be 22,5 hours of teaching in Grades 1 and 2, and 25 hours of teaching in Grade 3. The intermediate phase (Grades 4 to 6) should contain 26,5 hours of teaching. Last, but not least, in the senior phase, Grade 7 will have 26,5 teaching hours and Grades 8, 9 and 10 will have 27,5 hours of teaching (Revised National Curriculum Statement Grades R-9 School Policy, 2002:3).

6.3.5 Assessment

Each learning area statement includes a detailed section on assessment. Outcomes-based education uses assessment methods that are able to accommodate divergent contextual factors. Assessment according to the outcomes-based education policy has been explained in detail in Chapter 5, section 5.3.

6.3.6 Envisaged educator

The kind of educator that is envisaged by the outcomes-based education policy is described in detail in Chapter 4, section 4.7.

6.3.7 Envisaged learner

The kind of learner that is envisaged by outcomes-based education policy is explained at length in Chapter 4, section 4.7.

6.3.8 The national curriculum statement: Implications for policy imple-mentation

The South African National Curriculum Statement is in fact a detailed, in-depth and comprehensive explanation of what the policy of outcomes-based education is all about. It explains outcomes-based education, learning areas, learning programmes, time allocations, assessment, the kind of educator envisaged as well as the kind of learner envisaged.

Much as it is impossible to solve an unknown problem or to travel to an unknown destination, it is equally impossible to implement an unknown public policy. Since the national curriculum statement explains clearly, in unambiguous terms, the public policy of outcomes-based education, it is possible to comprehend what it means and how it

should be implemented. Therefore, the Curriculum Statement is a clear policy statement which facilitates the implementation of outcomes-based education.

6.4 MANAGEMENT OF THE IMPLEMENTATION PROCESS

For any public policy to be successfully implemented, preparatory work needs to be thoroughly done. This entails, amongst other things, management directives for the implementation process. Some of the relevant matters are satisfactory personnel and financial provision, procedural prescriptions, control and managerial functions. These are explained hereafter in the order in which they are mentioned above.

6.4.1 Human resources

It is a truism that the prime asset of a country is quality citizens. This could lead to excellent employees as invaluable assets for successful policy implementation.

Every public institution should seek effectiveness through satisfactory recruitment, placement, pay, and fair treatment of its employees. Government employees should be selected, placed, promoted, and paid on the basis of their competence to work effectively and efficiently. Besides, there should be protection from victimisation and other unfair labour practices. There must be career growth through education and training. Employees should be appraised periodically to establish how their performance could be improved (Rosenbloom, 1986:194). Although each of these functions are valuable for the purposes of this thesis, the following aspects of human resource management will be explained:

- ❖   Leadership;
- ❖   Position classification;
- ❖   Training and development;

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❖   Utilisation of personnel; and

❖   Ethics in the public service.

(a) *Leadership*

A true leader may be defined as a person who is able to unite people to pursue a goal. Leadership is the personal qualities and abilities of a person to influence a group to perform satisfactorily in specific situations (Simon, Smithburg & Thompson, 1950:102).

Leadership, amongst other things, contains aspects of management. There are other functions that leaders perform besides planning, organising, directing, and control, which are four functions constituting management (Cloete, 1997:191). In addition to performing the aforementioned functions, leaders have to satisfy individual needs as well as group needs. The former needs arise from when a leader gives his/her followers something that they want in exchange for something that he/she wants. That is, it is a barter of sorts in which both sides gain and neither side loses. The latter needs are a result of the fact that each group is faced with group tasks (Kellerman, 1984:79-81).

Although some leadership qualities are innate, others are acquired and sharpened by learning and experience. On account of the fact that leadership is the rational ability to make a group more effective, more productive, it can be taught and learned (Clark & Clark, 1990:5). In addition leadership thrives because of superior intelligence and experience. That is, proper qualifications and relevant experience influence followers to accept the leadership of the experienced leader (Simon, Smithburg & Thompson, 1950:102).

According to Cloete (1997:192), leadership, as one of the groups of functions of human resource utilisation, consists of those functions which must be performed specifically to make employees work to the utmost of their physical and mental capabilities, namely –

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❖   communicating with the employees;

❖   directing or commanding;

❖   constructing work programmes; and

❖   conducting suggestion schemes.

Another function of personnel utilisation is inspiring employees. That is, leaders will always have to ensure that each worker performs to the utmost of his/her abilities. This is also referred to as motivating employees (Cloete, 1997:192-193). In this regard Lucas (1987:67) concurs with Cloete (1997:192-193) when he states that the overriding principle is that individuals are motivated to perform tasks for which they are rewarded.

To stress the importance and power of leadership Adair (1988:22) states that it requires understanding, courage, single mindedness, drive and an ability to persuade and lead others. He continues that other key matters that could affect leadership are:

❖   the calibre and knowledge of leaders;

❖   capacity to grow and change, to progress along planned lines to upgrade the professional and technical capability of the people;

❖   the ability of leaders to be evident at every level of the organisational structure;

❖   leadership strategy.

In the case of implementing outcomes-based education leaders are required to motivate educational employees to adopt the policy and give effect to it. Similarly leaders have to exhibit enthusiasm for the policy to obtain support by the implementers of the policy.

(b) *Position classification*

Position classification is a foremost aspect of human resources management. It is the system of designing jobs, organising them into useful managerial and career categories,

and establishing their remuneration. A well-designed position classification system provides a convenient inventory of every activity of a public employee. The position classification system indicates the work actually done according to established rules. The classification system, according to Rosenbloom (1986:194-195), should be based on the following principles:

❖ Positions and not individuals should be classified.
❖ The duties and responsibilities pertaining to a position constitute the outstanding characteristics that distinguish it from or make it similar to other positions. Some of the classification factors used concern the nature and variety of the work; the nature of the supervision received by whoever is occupying the position; the nature of the work; the originality required; the purpose and nature of person-to-person work relationships; the scope and nature of decision making; the nature and extent of supervision over other employees; and the qualifications required.
❖ The individual characteristics of an employee occupying a position should have no bearing on the classification of the position.
❖ Persons on the same position level should have the same kind of duties and responsibilities.

To illustrate what position classification is all about it is useful to think in terms of categories of positions – such as executive; administrative, professional, and technological; clerical, office machine operator, technician; and trade, crafts, and manual labour. Within each of these broad categories would be hierarchies of positions. Each of these positions would bear a classification and a rank. The rank would be related to remuneration (Miewald, 1978:217).

Position classification informs managers and employees what the occupants of each position would be able to do. It makes it possible to design career paths for employees as well as facilitating testing applicants for competence. Moreover, it provides a basis for evaluating the performance of the employees. At the same time position classification can be problematic because it is dehumanising the employees. On the one hand,

the job is designed and classified without regard to the employee who holds it. On the other hand, the organisation is viewed as a set of positions that are co-ordinated in some fashion, through hierarchy. An employee may be able to contribute more to the organisation than required by the position he/she is in allows. That is, the employee can neither operate beyond the level of work required in the position nor fall short of it. In reality, the employee is treated as a cog that is forced into a machine, not as an individual human being who forms part of an organisation (Rosenbloom, 1986:195-196).

(c) *Training and development*

The need for formal training for employees need not be overemphasised. However, where an entire system or ways of doing things are changed, it is acutely needed. To give effect to proposed changes or to enhance the level of efficiency and productivity, employers need a diversity of training and development programmes. It therefore follows that every employer should devise relevant and appropriate training and development programmes to satisfy specific needs.

No employee will be able to perform his/her duties properly from the outset without suitable training. Although on-the-job training will always have to take place, this type of training cannot satisfy all the needs of workers. Therefore, public authorities should prepare proper training programmes that will address the training needs of each category of workers. It is preferable that training be provided by ordinary educational institutions because they already have all the facilities as well as the expertise (Cloete, 1998:238). For example, technical colleges and technikons (now universities of technology) can assist in training apprentices and technicians.

It is a prerequisite that all public workers should be in possession of appropriate educational qualifications. The authorities could thus request educational institutions to present programmes for training recruits for specific professions. For example, they may request universities to provide appropriate degree courses for public administrators and engineers employed on specialised work in the public sector, police, income tax officials,

public prosecutors, educators and other occupational groups employed solely by the public authorities (Simon, Smithburg & Thompson, 1950:ix).

Cloete (1977:126) maintains that the central personnel institution should take the lead in conceiving training schemes. Although larger institutions may employ training officers, it is advisable that supervisors should do most of the training because they are ideally placed to identify the needs of the workers. Currently the South African Management Development Institute performs this function on behalf of the Department of Public Service and Administration.

In order to address the training needs of its workers, an institution should undertake a training audit. Training programmes should constantly be adapted to the changing circumstances. Training should not only be provided once, specific provision should also be made for retraining workers to prevent them from clinging to obsolete practices (Cloete, 1977:126).

On promotion, officials are required to do more complex work. This implies that their knowledge and skills should improve in keeping with the demands of their new positions. Therefore, it is necessary that specific provision should be made for this aspect of staff development. In fact, public officials should undergo continuous education and training. The potential of each public official may be developed to the benefit of the employee as well as the employer. It must be emphasised that the supervisors should play a key role in identifying development needs and in satisfying these needs. If they are unable to address the development needs of their subordinates, they should request assistance of appropriate educational institutions (Cloete, 1997:150).

(d) *Ethics in the public service*

Public servants, like all other employees, are required to respect specific guidelines that govern their conduct when carrying out their work. These guidelines, derived from the body politic of the state and prevailing values of society, are the foundations of public administration. Moreover, the guidelines should provide the content values for the ethos and culture of government and public administration in a democratic state (Cloete, 1998:91).

Public administration ethics should address some considerations, which, according to Rosenbloom (1986:478) are –

❖   basic honesty and conformity to law;
❖   avoidance of conflict of interests;
❖   service orientation and procedural fairness;
❖   democratic responsibility;
❖   public policy determination;
❖   compromise and social integration.

Concerning the role to be played by the public manager with respect to ethical standards, Stewart (1984:14-22) states that the manager should –

❖   consider competing interests;
❖   experience informed moral judgement regarding the balance of these interests;
❖   purposefully use the premises underlying that judgement as the guide to administrative action.

Pursuant to the ideal of rendering public services and attain goals in a responsible, accountable, efficient, effective and fair manner, public servants need to observe codes of ethics. Codes of ethics prescribe guidelines for the conduct of professional workers

or public servants, for example, the Code of Ethics for councillors and for officials prescribed by the *Local Government: Municipal Systems Act*, 2000 (Act 32 of 2000) (Cloete, 1998:114).

Despite their intentions, codes of ethics are not generally accepted as effective instruments for bringing about ethical behaviour of public servants. Be that as it may, it is necessary that public servants should be bound to conduct themselves beyond reproach in the performance of their functions and in private life. Therefore, it is imperative to prescribe enforceable codes of ethics wherever possible and to include them in the education and training programmes of government employees (Cloete, 1998:114).

(e) *Human resources: Implications for policy implementation*

It is accepted that the foremost asset of any organisation is its employees and their superiors. An institution is established to serve a specific societal need or needs. In order for it to attain its predetermined public objective, it must have supervisors and subordinates who are committed, motivated, educated and trained, and willing to serve the public. That is, activities do not just take place, people are responsible to see to it that functions are performed. Therefore, the human element is central to the success or failure of any organisation in fulfilling its mandate. Stated differently, in order to implement any public policy successfully, the personnel must play a crucial and decisive role.

Teaching is labour intensive. Each classroom and grade level is allocated a particular number of learners and educators. Besides learners and educators, there are school managers, district managers and subject advisors, who support the former group. Hence, the successful implementation of any public policy on education, in particular outcomes-based education, is entirely dependent on the commitment of the afore-mentioned functionaries.

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From the above-mentioned arguments it is clear that good leadership is needed to give guidance to educators and learners. Moreover, leadership is responsible for creating an enabling environment that will make it possible for both educators and learners to achieve stated objectives. Furthermore, leadership should see to it that the sub-ordinates are motivated to perform tasks assigned to them, and to obtain and maintain the motivation level in the units for which they are responsible. That is, leaders are entrusted with the responsibility to ensure that public policy objectives are met. It is their duty to ensure successful implementation of outcomes-based education policy.

Teaching as a profession dictates that people who provide it must have specific academic and professional qualifications. On account of information explosion and outcomes of research, information and knowledge that are currently valuable, could be obsolete within a limited period. Hence, the need for in-service training. Ongoing training and development is needed to fill the gaps created by information explosion and research. Besides, from time to time, new public policies are introduced, and the functionaries who are to implement them need training and education. Consequently, training and development are needed to implement outcomes-based education.

Teaching is not only concerned with imparting knowledge and skills to learners, but also with character formation. Hence, ethics and accountability are essential ingredients of education. In fact, both of them are instrumental in combatting the enemies of public administration, which are corruption and maladministration. Therefore, in pursuit of refining learners' characters and personalities through education, they must be taught ethics and accountability. It also follows that ethics and accountability play a pivotal role in the implementation of outcomes-based education.

Although there is a directorate responsible for outcomes-based education policy, all posts of educators – vacant as well as new – are filled in taking into account other con-siderations. Be that as it may, the directorate is responsible for producing "Teacher's Guides for the Development of Learning Programmes" for each subject that is taught in

schools. The purpose of the guides, according to the Revised National Curriculum Statement Grades R-9, Mathematics (2003:1) are to –

❖ provide the essential features and underlying principles of a Learning Programme;
❖ promote and encourage adherence to the Revised National Curriculum Statement and support for its implementation;
❖ provide a framework for teacher development and training.

6.4.2 Financing

Public institutions, just like all other undertakings cannot function or be up and running without money. However, public institutions are dependent upon the citizens for their income through taxation or payments for services rendered. Consequently, legislative directives must be followed in the procurement and expenditure of money in the public sector, for example, the *Auditor-General Act*, 1995 (Act 12 of 1995) (Cloete, 1998:191).

In order to understand the financing of the state or institutions within an outcomes-based education framework, it is necessary to look at the following aspects –

❖ organisational arrangements;
❖ budget; and
❖ control.

(a) *Organisational arrangements*

Separate groups of public servants are needed for separate and unique activities. These employees may be placed in groups to form institutions. Stated differently, organisational arrangements are made to perform different state functions. For instance, the collection, banking and expending of public money are important functions in any civilised community. Therefore, it is sensible that in the course of time

clarity will have to be obtained about the organisational arrangements needed for dealing with public funds (Thornhill, 1985:76).

In the public sector, the legislatures top the hierarchy of public institutions, including those which are responsible for collecting, banking and expending public funds. Hereunder are the political office-bearers who head the executive institutions, each of which has its own hierarchy of appointed officials. Normally, a specific institution is created at the executive level to serve as a centralised initiatory and directive institution in regard to financial matters. In other words, to provide the political executive office-bearers responsible for financial matters as well as the administrative executive institutions with factual information, advice and instructions. Such a centralised financial institution is the Department of Finance and it supervises as prescribed the financial activities of the executive institutions (Cloete, 1998:191-192).

Pursuant to its objective of implementing outcomes-based education policy, the National Department of Education established a directorate specifically responsible for the implementation of outcomes-based education policy. The directorate is responsible for the production and distribution of teacher's guidelines. In addition, the directorate conducts workshops to assist educators in understanding and implementing outcomes-based education policy.

(b) *Budget*

A budget as an administrative tool has specific functions to perform. Firstly, it has a financial control function. This function emphasises the responsibility of administrators to give effect to only officially approved policies and practices. Furthermore, it aims at the elimination of the corrupt and irresponsible use of public funds. Secondly, it has a managerial control function. In this regard the executive uses the budget as a tool to ensure that government action is carried out in the most efficient manner. Thirdly, and

lastly, it has a strategic planning function. This involves the establishment of goals for society and choosing ways and means of attaining those goals in a world of scarce and limited resources (Schultze, 1968:1).

It is imperative for governments to identify and also establish their sources of revenue. They cannot simply print unlimited numbers of banknotes and expect them to remain valuable. They can borrow unlimited funds from private parties, but repayment will be required while interest will have to be paid on outstanding amounts. Borrowing causes debt which must eventually be paid. The options of printing money and unlimited borrowing are unrealistic solutions. Taxation ranks high as a source of revenue for governments. The following definition of tax clearly indicates its function. Tax is a compulsory contribution levied by the state to finance the provision of general public services (Cloete, 1977:205), such as the purchase of textbooks, audiovisual equipment, and the printing and dispatch of "Teacher's Guide for the Development of Learning Programmes" that facilitate the implementation of outcomes-based education policy.

Before a budget can be drawn up, some preliminary work needs to be done. According to Henry (2001:209), budgets can be categorised as –

- ❖ line-item budgeting with its control orientation;
- ❖ Planning-Programming-Budgeting, with its economic planning orientation;
- ❖ Management-by-Objectives, with its emphasis on budgetary decentralisation;
- ❖ zero-base budgeting, with its stress on ranking programme priorities;
- ❖ top-down budgeting, with its centralising and legislative overtones; and
- ❖ budgeting for results.

Only the first two categories of budgeting will be explained.

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(i)   *Line-item budgeting*

A budget is structured in such a way that each line on a sheet of paper has an item on the left side followed by a cost on the right side. As a result, the traditional budget acquired its descriptive title of "line item". A line-item budget, according to Henry (2001:211), is the allocation of resources according to the cost of each object of expenditure.

The line-item budgeting strategy came about as a result of some forms of pressure. Firstly, pressure came to bear as a result of the drive to establish a consolidated executive budget. The intention of this pressure was to oust financial corruption in government by consolidating public management bureaus under the chief executive. Secondly, pressure came as a result of the administrative integration movement, which advocated the functional consolidation of agencies, the abandonment of various independent boards, and the enhancement of the chief executive's appointive and removal powers, among similar reforms designed to assure efficiency and coordination in government. Thirdly, pressure was exercised as a result of the desire of political reformers to build in administrative honesty by restricting the discretionary powers held by public administrators. Consequently, innovations such as centralised purchasing, standardised accounting procedures, and expenditure audits emerged (Henry, 2001:211).

Line-budgeting will survive because budgets must, fundamentally, indicate how much each item costs, and the line-item budget does this. Research has indicated that four-fifths of American cities still use this traditional format, although many do so in conjunction with another type of budget format, especially through the performance or programme budget. However, the absence of abstraction inherent in, and the simplicity of, the line-time budget does not render it suitable for larger purposes, and it is best used at the lower level of the organisation. Occasionally, this is not fully appreciated by executives, and when it is not, use of the line-item budget can result in micro-

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management at the macro level (Lewis, 1988:7).

(ii)   *Performance budgeting*

Performance budgeting, also known as programme budgeting, emphasise budgeting by way of identifying programmes, or stressing agency performance and measurement. In practice, it does both, thus it is defined as a system of resource allocation that organises the budget document by operations and programmes, and links the per-formance levels of those operations and programmes to specific budget amounts (Henry, 2001:213).

Performance budgeting cover more administrative activities than the line-item budgeting did. Unlike in line-item budgeting, outputs as well as inputs are considered. Thus, budget officers consider their mission not only as one of precise and controlled accounting, but rather as the development of programmes classifications – description of an agency's programmes and its performance, and the exploration of various kinds of work/cost measurement. Performance budgeting is considered to be managerial, as opposed to accounting, as skills are stressed and activities of the institution are given precedence over the purchase of items required to run the institution, management responsibilities become centralised, although planning responsibility remain dispersed, policy-making remain incremental, and the role of the budget agency evolved from a fiduciary to an efficiency function (Henry, 2001:213).

According to the *South African Survey* (2000/01:276), in 2000/01 an amount of R50,7 billion was allocated to the National Department of Education. It was projected that the amount allocated to education would increase to R53,7 billion in 2001/02, and R56,5 billion in 2002/03. The budget had to cater for all the activities of the Department as well as the activities of the nine provincial education departments. It was up to the provincial education departments to decide on how much had to be allocated for the implementation of outcomes-based education policy.   For   example,   the *Intergovernmental Fiscal Review* (2001:15) indicated the amounts budgeted for for the

provision of education in all nine provinces, *viz*: R46.947 billion for 2001/02, R50.164 billion for 2002/03, and R53.335 billion for 2003/04. It is worth mentioning that the bulk of the provincial education departments' expenditure goes to human resources. For instance, in 2000/01 57,3 percent of the budget was spent on human resources (*Intergovernmental Fiscal Review*, 2001:21). Table 6.1 indicates human resources expenditure for education by province:

TABLE 6.2:   HUMAN RESOURCES EXPENDITURE FOR EDUCATION BY PROVINCE

R million	Actual			Estimated actual	Medium-term estimate		
	1997/98	1998/99	1999/00	2000/01	2001/02	2002/03	2003/04
Eastern Cape	5 850	6 031	6 371	6 771	6 956	6 988	7 352
Free State	2 265	2 388	2 472	2 674	2 812	2 970	3 137
Gauteng	5 153	5 289	5 345	5 841	6 268	6 765	7 171
KwaZulu-Natal	6 531	6 503	6 721	7 535	8 273	8 753	9 338
Mpumalanga	2 289	2 434	2 587	2 788	2 853	3 015	3 220
Northern Cape	732	746	773	814	872	928	978
Northern Province	4 988	5 469	5 401	5 871	6 025	6 468	6 727
North West	2 875	3 018	3 129	3 403	3 393	3 555	3 728
Western Cape	3 412	3 374	3 318	3 542	3 764	3 932	4 082
Total	**34 095**	**35 252**	**36 118**	**39 237**	**41 215**	**43 376**	**45 734**

Both line-item budgeting and performance budgeting are the tools that lend themselves to budgeting for education activities. As far as the implementation of outcomes-based education is concerned, these forms of budgeting offer techniques that are relevant and useful. Therefore, knowledge gained with these forms of budgeting would be instrumental in drawing up budgets for the implementation of outcomes-based education policy.

(c) *Control*

After the approval of the budget by the legislature, a start can be made with imple-
menting the programme of work provided for. Money voted to finance the work to be
done can be used. On account of the fact that money voted is in fact estimated
amounts and cannot be used without reason, specific requirements must be satisfied
before any voted money can be released. On receipt of the voted money by an
authority, control has to be exercised over the way in which money is kept pending
payment of accounts, and also over the way in which actual payment is made. For this
purpose, specific instructions are issued. Various rules apply in this connection for all
central levels of government in the Republic of South Africa. For example, the *Consti-
tution of the Republic of South Africa*, 1996 (Act 108 of 1996), provides *inter alia* as
follows:

> 2.1.3(1) There is a National Revenue Fund into which all money received by the national
> government must be paid, except money reasonably excluded by an act of
> parliament.

Over and above the provisions of the Constitution, there will always be further legisla-
tion on financial affairs to direct the financial activities of the executive institutions. In
this regard the *Public Finance Management Act*, 1999 (Act 1 of 1999), is particularly
significant. This Act provides *inter alia* as follows:

> 11 (1) The National Treasury is in charge of the National Revenue Fund and must enforce
> compliance with the provisions of section 213 of the Constitution.

The *Public Finance Management Act*, 1999 (Act 1 of 1999), provides further in section
11(4) that –

> 11 (4) The National Treasury must establish appropriate and effective cash management
> and banking arrangements for the National Revenue Fund.

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Furthermore, the Act prescribes how money must be banked, how approval may be obtained for authorised expenditure, how money may be borrowed, and how books and accounts must be audited.

It must be emphasised that the implementation of the budget should not be regarded solely as a financial matter. Neither the aforementioned provisions of law nor all the other instructions that are issued on financial matters will ensure that the set objectives are realised and the programmes of work carried out satisfactorily. Only if resources are not wasted, will there be financial efficiency in rendering goods and providing services to the community. That is, corruption which is the problem of officers using taxpayers' money to reward themselves. Hence, the need for stringent financial control through the application of administrative principles and the installation of appropriate organisational structures and processes (Henry, 2001:170-171).

Control of schools, in general, and the management of the implementation of outcomes-based education policy, in particular, is the responsibility of school governing bodies. On the one hand, the *South African Schools Act*, 1996 (Act 84 of 1996), empowers school governing bodies for public schools. Section 37(1) of this Act also requires the school governing bodies to be responsible for the collection and expenditure of school funds. Therefore, school governing bodies, by implication, are responsible for financing of outcomes-based education policy-related activities. On the other hand, section 6(3) of the *Employment of Educators Act*, 1998 (Act 76 of 1998), provides that the school governing body should recommend an educator to be appointed, transferred or promoted – which implies that the school governing body is responsible for appointing educators to implement outcomes-based education policy (*South Africa Yearbook*, 2000/01:430-431).

(d) *Financing: Implications for policy implementation*

No institution can run its affairs without money. Each institution has a specific mandate or mandates to fulfil. For this to happen different tasks have to be performed by employees. These tasks may involve the usage of particular equipment, time and space. All of these factors can be costed and be expressed in monetary terms. Money is needed to keep institutions and their units up and running. The Department of Education and its constituent units, including schools, need money to perform the tasks assigned to them. Implementation of outcomes-based education policy requires money.

An effective tool that is used by the leadership of any institution or unit to finance its operations is a budget. It provides for items that will be needed to perform the tasks assigned to the institution or unit, and estimate the expenditure for a specific period – normally a year. This information is crucial for the running and maintenance of every institution. Any new assignment that is given to an institution or part of it must be costed and funds must be made available in advance or periodically as the task that has been given is embarked upon. Otherwise, the given mandate will not be discharged because of lack of money. The principle of costing the implementation of a new public policy also applies to outcomes-based education policy. Thus, a workable budget is crucial in implementing outcomes-based education.

On account of the importance of a budget, attempts have been made to develop different budgetary strategies, for example, line-item budgeting, performance budget-ing, planning-programming-budgeting, management by objectives, zero-base budget-ing, top-down budgeting and budgeting for results. The major objective of these budgetary strategies is to obtain maximum benefit from limited financial resources. Hence, these strategies are also helpful in the implementation of outcomes-based education policy.

Control over collection, banking and expenditure of funds is central to the success of an institution. Nevertheless, control of expenditure in terms of an approved budget is equally important. It ensures that items that have to be purchased are bought satisfactorily, services that are required are paid for and that public goods that are to be produced are produced satisfactorily. Budget control ensures that a public policy is implemented satisfactorily. Hence, budget control can enhance the chances of successful implementation of outcomes-based education policy.

6.4.3 Procedural arrangements

After policy has been formulated, the organising and financing functions have been completed, and personnel appointed, the function of service delivery can commence. To attain a public policy objective, functionaries need to cooperate. However, these functionaries may hold conflicting views on how to perform a specific task. To ensure that everyone in a specific organisational unit cooperates in attaining the policy objective and does not waste time in the process, it is essential for a specific work procedure to be laid down for each task. Hence, work will be done efficiently, timeously, using the minimum amount of labour, and cost effectively (Cloete, 1998:248).

From the above, is it necessary to explain how work procedures develop, why formal work procedures are necessary, factors that necessitate the revision of work procedures, and delivery functions.

(a) *Development of work procedures*

In order for an individual to perform a completely new task, he/she has to devise a method to perform that task. From time immemorial human beings developed work procedures to do numerous tasks. These procedures have been developed also for education to serve as the foundations for vocational education and training, for example, for accountants and bookkeepers. For the implementation of outcomes-based

education policy, both learners and educators must have specific ways of learning and teaching respectively.

In general, it is the responsibility of all workers, particularly supervisors, to devise and perpetually improve work procedures. It is also noteworthy that specific functionaries should be appointed to improve current work procedures. These functionaries should possess appropriate personal qualities to perform their task as well as being able to apply the various aids and techniques developed for this purpose (Public Service Commission, 1971:129). School principals and heads of academic departments receive training on how to improve educators' work procedure.

There are two types of work procedures in the public sector. Firstly, there is the procedure to be followed when the government decides to embark on a new course of action. The government has the option of encouraging private individuals or enterprises to do the work on its behalf on certain specified conditions. To this end the government may issue licences or permits stipulating the objectives. The government has the option of dealing with the matter itself, in which case it may be entrusted to an existing public institution such as a state department, a public corporation or a municipal authority. Alternatively, a new institution may be created specifically for this purpose; this is the procedure that could be followed in dealing with the diverse sections of the public sector (Cloete, 1998:249).

(b) *Necessity for formal procedures*

It is standard practice that at least two functionaries are engaged in any particular sphere of activity, such as rendering a service or supplying a product to the community. Therefore, there should be a clear procedure to be followed in doing the work to ensure that each makes a constructive contribution to achieve the objective. These work procedures determine the manner and speed with which a service is rendered or a product supplied (Cloete, 1998:250).

It is imperative that steps should be taken to rationalise work procedures on a con-
tinuing basis; where necessary the procedures should be prescribed with printed
manuals and codes for the following reasons (Public Service Commission, 1971:129-
131):

❖ to prevent a confusing multiplicity of work procedures because individual officers
serving in a team may each have a personal way of doing a particular task;

❖ to ensure that officials work to attain the set objective and to prevent differences
of opinion about what has to be done to reach the objective;

❖ to ensure that clear work assignments are given to individual personnel members;

❖ to bring about effective and efficient work performance and to permit the exercise
of control to ensure that the supply of the products and the provision of services
satisfy all requirements of quality and quantity;

❖ to explain the policy and the objectives to the personnel to ensure that all
understand how their work is connected with the work of their colleagues;

❖ to ensure uniform and integrated action in matters where more than one institu-
tion, department, branch or unit is involved;

❖ to make the personnel aware of new work procedures in an orderly manner;

❖ to ensure that all new personnel receive appropriate training;

❖ to ensure that work procedures are examined and revised in an orderly manner;

❖ to provide authoritative codes/manuals to regional, local and other workplaces;

❖ to provide specific instructions on how to exercise delegated powers; and

❖ to ensure that members of the public are kept informed about how to make the
best use of the services that public institutions provide as well as the products that
they supply.

In the case of outcomes-based education policy guidance is provided by the "Teacher's
Guide for the Development of Learning Programmes" that is subject-specific. The Guide
provides information about work schedules and lesson plans, development process and
assessment.   In addition, the directorate responsible for the implementation of

outcomes-based education policy conducts workshops to assist educators to implement outcomes-based education in different learning areas (*Revised National Curriculum Statement Grades R-9: Mathematics*, 2003:1).

(c)   ***Factors that necessitate the revision of procedures***

It is a fact that every aspect of the administration of a country is in a continual state of flux, especially as far as work procedures are concerned. By taking into account the factors that necessitate change, specific changes in work procedures can be anticipated. It is then possible to prevent procedures from becoming obsolete. The factors that necessitate changes in work procedures, according to Cloete (1998:253-256), are:

❖ Firstly, the needs of the people. Since constant changes take place in human society, new relationships develop continually between individuals and groups. Therefore, it follows that the authorities have to adapt their policies, organisational arrangements and work procedures continually to ensure that they keep pace with the changes taking place in society. The authorities will then be able to continue playing a meaningful role in society.

❖ Secondly, technological progress, which is a feature of the twentieth century, necessitate the revision of work procedures. The aeroplane and the motor car are some of the striking manifestations of technological progress, but the less spec-tacular developments, such as improved office machines, have had far-reaching effects on the work methods and procedures of public institutions.

❖ Thirdly, great scientific progress in all the sciences, physical as well as social, also contributed to the need to revise work procedures. A manifestation of this pro-gress is the spectacular increase in the number of technology and university stu-dents. In the public sector greater use is being made of persons with higher education qualifications. New fields of work are constantly being given to profes-sional and technical officials.

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❖ Fourthly, the development of the administrative/managerial sciences also contributed to the need to revise work procedures. The training and development of supervisors performing administrative/managerial functions in the public sector have received increasing priority. The discipline Public Administration and other social sciences are drawing increasing numbers of researchers. This academic awakening has led to the renovation of organisation systems and work procedures in the public sector.

❖ Fifthly, and finally, the prevention of discrepancies, deviations and obsolescence also necessitate the need to revise work procedures. This is so because the administration of a country is undertaken by numerous institutions, some of which are so large and have many branches, divisions, sub-divisions and sections as well as regional and local workplaces. The institutions and their units have to change to provide for new need. Division of labour and specialisation occur and this results in a multiplicity of institutions. Changes are implemented in each institution as the need arises. However, the authorities sometimes forget to make consequential adjustments in related fields. The result is overlapping and or duplication of activities. This state of affairs has necessitated the appointment of commissions of enquiry to enquire into the organisation system, the work methods and procedures of public institutions and to make recommendations on how they should be adapted in the light of changed circumstances.

(d) ***Procedural arrangements: Implications for policy implementation***

Any public policy has the connotation of inaction as well as action on the part of government through its organs of state, citizens as well as organisations and institutions. For instance, on the one hand, the policy of no smoking in public buildings indicates inaction, that is, people are barred from smoking in public buildings. On the other hand, a policy on compulsory schooling up to a certain age indicates action, which is, parents are legally bound to see to it that their children attend school. Therefore, a public policy is analogous to a verb, it indicates action or lack of it.

From the aforementioned nature and character of public policy, it follows that the public policy of outcomes-based education also indicates action by government, schools, teacher training institutions, school governing bodies, district managers, school managers, educators, learners and parents. Action implied in policy implementation does not take place haphazardly or in a disorderly fashion. On the contrary, it occurs systematically, orderly and controllably. For this to happen, procedural arrangements are crucial in policy implementation. Therefore, work methods and prescribed pro-cedures are central to the implementation of the public policy of outcomes-based education.

6.4.4   Control and accountability

A fundamental requirement of public administration in any state is that the population is the highest authority and that functions performed by the government and its officials should be beneficial to the majority of the citizens, individually and collectively. On account of the fact that the population cannot exercise the required authority, the legislative, executive and judicial institutions were created and staffed by functionaries to satisfy community needs. The population gave the functionaries authority to perform their respective functions. Be that as it may, the people must exercise control to ensure that the functionaries use their powers to further the well-being of the community (Cloete, 1978:265).

Control in the public sector consists of two parts; namely, internal control which is exer-cised by the executive functionaries to give account in the meetings of the legislatures (Cloete, 1998:265).

(a)   *Internal control*

Internal control is the responsibility of all political executive office-bearers in charge of executive institutions and the officials attached to public institutions. Control can be

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defined as the demarcation of work environments within which the functionaries individually and collectively have to pursue their collective goals subject to legislative and other valid directives (Cloete, 1998:266).

According to Miewald (1978:149-151) there are three ways in which control can be exercised.

Firstly, control can be exercised by the institutional situation created by –

❖ policy-making, which demarcates the field of work and sets the objectives;

❖ the organisational arrangements, which give form to the institutions responsible for the field of work and which also determine the relationships that each functionary bears to the others;

❖ the determination where necessary of recording the work procedures which the functionaries must follow;

❖ the financial arrangements, since the programme of work to be done is set out in detail when the legislatures are asked to approve the budgets of executive institutions each year;

❖ prescribing conduct rules for the political office-bearers and the officials employed in public institutions.

Secondly, control is exercised in the institutional situation by the use of formal control measures which ensure that everything that the functionaries do, is aimed at achieving the set objectives. Examples of such control measures are reports, inspections, audits, cost accounting, statistical returns, instructions setting out the minimum standard and volume of work expected of functionaries as they provide services or supply products to the community, as well as the programmes of work which have to be adhered to.

Thirdly, control is exercised in an informal manner by the influence functionaries exercise over each other. Of particular significance in this regard is the continuing super-

vision that supervisors exercise over their subordinates, the example they set for them and the leadership they give them. These supervisors may be at any level of the administrative hierarchy of a public institution.

In practice control of public schools is the responsibility of District Managers and Circuit Managers at provincial level. At school level, the control of the school is under the school governing body, which is assisted by the principal who could be known as the school manager. The institutional hierarchy for schools in implementing outcomes-based education policy is as follows: the Director responsible for outcomes-based education policy, school govening body, school manager, heads of departments and educators.

(i)   *Formal control measures*

There are five major formal control measures that must be exercised cautiously. The measures according to Cloete (1998:267-270) are the following:

❖   Firstly, written reports, which are the best known traditional control measures in the public sector. An advantage of the written report is that it provides tangible documentary evidence of whatever takes place. The mere fact that political office-bearers and officials must submit written reports on their activities will encourage them to do their work carefully and meticulously. It is also necessary to determine beforehand whether a report will indeed serve its intended purpose. Should it be found that a written report will satisfy requirements, then specific instructions should be issued on how to draw up the report and what information to give.

❖   Secondly, inspection and investigation *in loco* are also a well-known traditional control measures in the public sector. The advantage of an inspection or an *in loco* investigation is that it takes place in the actual work environment with the result that it can readily be established whether any action taken did in fact serve

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a useful purpose.

❖　Thirdly, auditing is one of the traditional control measures which undoubtedly will continue to be used. Usually auditing is done after transactions have taken place, which is its serious shortcoming as a control measure. Furthermore, auditing is usually concerned only with the legal correctness of transactions. Be that as it may, it is being realised that auditing should be done in such a way as to prevent any wrongful transactions from taking place.

❖　Fourthly, cost accounting, cost comparisons and cost analysis are useful aids to evaluate standard transactions objectively at the operational level. These aids are valuable because they help rationalise the compilation of the budget, and also assist in the compilation of work programmes which can form parts of the budget. Therefore, control is exercised before the programme of work is approved and implemented.

Cost comparisons can be of value for purposes of control where a number of organisational units provide the same services and supply the same goods, for example, post offices and municipal authorities. The costs can be expressed in monetary terms or based on working hours. Cost accounting, cost comparison and cost analysis are particularly relevant in achieving efficiency by using available resources sparingly or ensuring that stores and equipment are purchased economically.

❖　Fifthly, statistical returns when used together with cost accounting can serve as useful internal control measures because they can measure productivity. Figures reflecting costs can, together with other statistical returns, provide objective criteria for purposes of assessing results and for compiling work programmes involving the allocation of personnel and resources.

(ii)   *Informal control*

Internal control, like all other comprehensive processes of administration, has its informal side. The organisational system provides for a hierarchy of functionaries and groups of functionaries who supervise subordinates. The supervisors use formal control measures for controlling the actions of their subordinates (Henry, 2001:130).

Supervision and leadership can never consist only of the application of measures and techniques for exercising control. From labour's perspective the informal side of control may sometimes be more effective than the application of formal control measures. Therefore, for purposes of exercising control, emphasis should be placed on matters such as morale and *esprit de corps*.   Informal control will be strengthened by inculcating in public functionaries a sense of duty, a will to work, diligence, national pride, self-development and professional pride (Henry, 2001:130).

(b) *Accountability*

One of the cornerstones of public administration, which is indicative of the level of civilisation, is that each public functionary is accountable for what he/she does. That is, he/she can be called upon to answer for his/her deeds in public and be rewarded or rebuked whatever the case may be.

Accountability in public administration can be viewed from different perspectives, for example, how and why the executive institutions have to yield to the legislatures. The latter are responsible for ensuring that account is given for any act prejudicial to the interests of the community. By so doing the community is protected from irresponsible and corrupt officials. Although there are many aspects of accountability that are worthy of consideration, only the accountability of the legislatures will be discussed (Rosen-bloom, 1986:332).

CHAPTER 6

In public administration the supremacy of the legislatures is acknowledged and emphasised. This requires, amongst other things, that the legislatures should enforce accountability on the executive institutions and functionaries. In this regard reference can be made to the following (*Constitution of the Republic of South Africa*, 1996):

❖ Section 87 of the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), which provides for the impeachment and removal from office of the President, should he/she perform unsatisfactorily.

❖ Section 92 which provides that ministers and the Deputy President will be accountable individually and collectively to Parliament.

❖ Section 133 which provides that members of the Executive Council of every province will be accountable individually and collectively to the Premier and the provincial legislature.

From the above it is obvious that accountability can be enforced by the legislatures only if their members are prepared to make the best use of the available control measures. Be that as it may, the control functions of legislatures are inhibited mainly because it became necessary to delegate an increasing number of judicial and legislative powers to executive functionaries, boards, councils and commissions (Cloete, 1998:271-272).

(c)   *Control and accountability: Implications for policy implementation*

Governmental institutions have been entrusted by citizens with the responsibility to look after public resources, for example, land, minerals, fauna and flora, water, public transport. It is a well-known fact that resources are characterised by scarcity. Hence, the need to apply the principles and practices of economics in order to find ways and means of how to use these resources to satisfy countless needs of the citizens. Therefore, government, with its different organs, is obliged to look after the resources, to see to it that public services and goods are rendered to the citizens, and that the supply of the scarce resources is not depleted.

Apart from looking after the resources, government has a responsibility to see to it that

its public functionaries perform their tasks effectively and efficiently. Service delivery and production of public goods, in practice, is performed by public servants on behalf of government.   That is, governmental institutions and functionaries delegate their responsibility of satisfying public needs to subordinate institutions and functionaries. Moreover, because of its myriad of responsibilities, government in the Republic of South Africa is one of the biggest employers, if not the biggest.

From the above is it clear that there is a dire need for governmental institutions to devise control measures to ensure that functionaries subordinate to them perform tasks assigned to them timeously, efficiently and cost-effectively. These measures are also helpful to hold functionaries accountable.

Tasks that are assigned to functionaries are nothing else but measures to give effect to public policies. Government formulates public policies and functionaries implement them. Control measures to enforce accountability are tools that government make use of to see to it that policy objectives are met. Therefore, control measures and account-ability are also helpful for successful implementation of outcomes-based education policy.

6.4.5   Organising

The state consists of a multitude of public institutions, also known as organisations. For the creation and the maintenance of each public institution a number of functions have to be performed.

In carrying out an extensive task that has to be performed by many people, there must be a clear indication of the roles and responsibilities of each participant. This is helpful in the sense that it makes provision for who should report to whom and who should be held responsible in case something goes wrong. This process is applicable to situations ranging from a departmental office where several administrative functions are carried

out to projects which involve several departments. Furthermore, the organisational structure and duties allocated should give employees a clear idea of their responsibilities and the authority they have. It is imperative to have this basic organising arrangements, otherwise government institutions are bound to fail to perform all tasks assigned to them diligently to achieve predetermined objectives (Van der Waldt & Du Toit, 1999:188).

The organisational structure of an institution should be arranged in such a manner that it becomes impossible to escape responsibility because nobody can be held responsible for specific actions. There will always be efforts of individuals to protect themselves against the risk of being held responsible for wrong decisions. Through organising and proper division of work, it is possible to make subordinates and supervisors accountable to their superiors (Coetzee, 1991:64). Müller (1996:30) concurs with the afore-mentioned viewpoint when he states that the role of the public managers is to control resources as well as reviewing, monitoring and auditing. This state of affairs is crucial as far as the exploitation and utilisation of resources is concerned.

Organising is comprehensive and involves much more than arranging individuals and groups in a specific order to achieve a simplistic objective. After individuals have been grouped in an organisational unit, attention will have to be given to their mutual relations as individuals within a unit, and also to their relations as a group towards other groups. This is bound to be a continuous process because individuals and groups are living entities whose attitudes and feelings change constantly. Experience has shown that the process of arranging mutual relations between individuals and groups is much more problematic than the mere physical arrangement of individuals into groups. Issues such as co-ordination and delegation rear their heads. Therefore, there are many aspects to organising, each of which has to be given careful thought and continual attention (Cloete, 1998:166).

It is worth noting that organisational arrangements that are successful in one com-

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munity cannot be applied elsewhere without adapting them according to the needs of the new environment. It, therefore, follows that the organisational arrangements for education that are successful in one province might fail in other provinces.

(a)   *Internal organisational arrangements*

After planning has taken place to allocate duties to a public institution, it is prudent to organise it internally. Internal organisation is important because numerous and varied functions are usually performed by an executive institution or even a sector thereof (Du Toit *et al.*, 1998:50). For example, in the National Department of Education there is a directorate responsible for the implementation of outcomes-based education policy. Within this directorate there are staff members responsible for the training of educators by means of conducting workshops to deal with outcomes-based education policy.

Every public institution is a hierarchy consisting of a number of officials headed by one or a small group of political office-bearers. At the top of the hierarchy there would be either one office-bearer or a body of office-bearers which could be a council, board or commission. The solitary office-bearer or body of office-bearers directs the work and accepts responsibility for everything that is done. The ranking in a hierarchy of political office-bearers and officials is the result of a vertical assignment of authority and horizontal division of work. Both the political office-bearers and officials will communicate and interact with each other continuously to ensure that they achieve predetermined objectives through co-ordinated action (Cloete, 1998:172).

According to Cloete (1998:172-173) an organisational unit results from a series of actions or processes known collectively as organising. The processes or functions constituting organising can be grouped into two groups, executed consecutively. The first group of functions in the public sector is concerned with determining objectives with policy-making and preparation and passing of legislation. The second group is concerned with:

❖	The horizontal division of work to obtain posts which are grouped together to form

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a hierarchy in subsections, sections, subdivisions, divisions, branches and eventually a department.

❖ The assignment of authority, which is also known as delegation of authority, to provide for division of work to determine the mutual relations between the functionaries as well as fix responsibility at each level.

❖ The co-ordination of the activities of the functionaries and the organisational units into which they are grouped, to ensure that they achieve the policy objective.

❖ Arrangement of channels of communication to ensure that all the functionaries are kept informed about the activities taking place and the progress made in achieving objectives. This viewpoint is echoed by Schwella (1996:28) when he states that institutions need sets of interconnected channels of communication for principles of receiving, processing and directing internal and external messages. This means that within the context of management of resources, it is crucial for the directorate of outcomes-based education policy to communicate with the provincial departments of education, the public at large as well as with non-governmental institutions and functionaries.

❖ The establishment of control measures to ensure that the functionaries at each level of the hierarchy concentrate on achieving the ultimate objective. Moreover, functionaries are held responsible for their work by those holding higher posts in the hierarchy and to whom the subordinates are accountable.

From the above it is clear that both skill and insight are needed to carry out each process or function of organising.

(b) *Human dimension of organisation: Organisational development*

Change is a common occurrence in institutions that managers have to deal with on daily basis. Change can come from inside an institution or it may arise outside an institution. To deal effectively with the continuous change of an institution, organisation development is helpful. Furthermore, it makes it possible for institutions to move away from a

current situation to a derived position in future (Van der Waldt & Du Toit, 1999:287).

Different authorities in the field of study of organisational development have defined it differently. Be that as it may, these definitions are both complementary and supplementary. For example, Pratt and Bennet (1989:363) define organisational development as a long-term effort to enhance the ability of an institution to improve its ability to solve problems and to cope with change. Mercer (1991:7) defines it as a planned and sequential effort which aims at changing an institution. Starling (1998:402) defines organisational development as the application of behavioural science knowledge in a long-term effort to improve an institution's ability to copy its environment as well as enhancing its capabilities to solve its internal problems.

An institution is a hierarchical structure of groups of individuals created for the attainment of specific objectives. Therefore, it is necessary that every organisational unit should be structured in such a way that the smallest number of employees will be enabled to work together to deliver the largest attainment of objectives. However, an organisational unit duly constructed along sound organisational principles, theories and practices may fail to achieve policy objectives. This may occur due to deficiencies in the performance of the employees appointed or promoted to staff the organisational unit. Inability to perform satisfactorily by the employees may be caused by a number of factors; for example, unsatisfactory supervision and leadership, appointment and promotion of employees without proper selection and merit-rating, patronage and nepotism, insufficient education and training to employees, inability to rationalise work methods and procedures, and failure to punish employees who are downright lazy (Cloete, 1998:185).

To eliminate the shortcomings that originate from the behaviour of the personnel employed in an organisational unit the behavioural science approach was developed to become known as organisational development. Organisational development, according to Cloete (1998:185) is based on the assumption that employees are usually able and

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willing to:

❖ Identify the reasons for unsatisfactory performance of the organisational unit in which they are employed.

❖ Find and suggest worthwhile solutions to improve the production level of the organisational units in which they are employed.

❖ Improve the productivity of the institution in which they are employed if their contributions are obtained to devise ways and means of improvement.

❖ Practice self-renewal and self-improvement in order to create a climate of pro-active performance in the workplace.

Organisational development is regarded as a systematic analysis of the institution. Moreover, it is concerned with the realisation that an institution must understand and have in place a management plan to deal with change. Furthermore, it is concerned with the development of strategic planning to cope with change. This strategy enables an organisation to increase its effectiveness through planned interventions. In addition, the strategy aims at changing the institution's values, beliefs and attitudes so that it can manage changes in technology, clients and challenges (Van der Waldt & Du Toit, 1999:288).

From the definitions of organisation development as well as its purposes, it can be deduced that it will set for itself goals to be achieved. The goals of organisation development, according to Pratt & Bennett (1989:364) are to

❖ improve interpersonal competence;

❖ bring about a change in values so that human factors are legitimised;

❖ avoid conflict by improving interpersonal relations;

❖ develop and encourage teamwork;

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❖   develop better methods of conflict resolution; and

❖   develop organisations that grow and are responsive to change.

Organisational development is, in fact, a tool of personnel management. It could, therefore, be linked with sensitivity training aimed at changing the attitudes of individuals towards their colleagues and team-building.

(c) *Organising: Implications for policy implementation*

A public institution, like the Department of Education, could employ numerous employees in its various constituent parts to perform tasks in the process of providing public goods and services. The functionaries of the Department of Education are arranged in an administrative hierarchy of authority. This presupposes that supervisors must have an orderly, systematic and functional approach towards their work to attain predetermined public policy objectives.

The South African Department of Education and the provincial education departments are big organisational units which employ a variety of educators, school managers and district managers. For the subunits of the provincial departments of education to perform tasks assigned to them, it is imperative to apply internal organisational arrangements that are effective. Supervisors who are district managers, school managers and heads of departments must be equipped with the necessary skills to give satisfactory leadership to their subordinates. To this end, organisational development plays a crucial role, especially when the entire education system has to be re-engineered. Appropriate organising is essential for the implementation of outcomes-based education policy.

CHAPTER 6

6.5 MONITORING AND EVALUATION

Monitoring and evaluation are significant constituents of a policy process. They have to generate information about causes and consequences of public policies as well as the determination of the value or worth of public policy outcomes. See Chapter 3, sections 3.5 and 3.8.1 *supra*. Their implications for policy implementation are explained here-after.

6.5.1   Monitoring and evaluation: Implications for policy implementation

On the one hand, monitoring generates essential information about relationships among policies, their implementation and outcomes. Thus, it serves as an invaluable tool in policy management. Monitoring performs four major functions; namely, compliance, auditing, accounting and explanation. These functions should accompany the imple-mentation of outcomes-based education policy.

Firstly, it is essential that all stakeholders involved in public policy implementation should comply with procedures imposed by the policy as dealt with in Chapter 3, sec-tion 3.9. For instance, for outcomes-based education the educator is expected to play a facilitator's role. Thus, compliance, which is a public policy monitoring function, promotes the successful implementation of outcomes-based education.

Secondly, it is essential that all resources earmarked for policy implementation are used appropriately and to the benefit of the target groups as dealt with in Chapter 3, section 3.9. Hence, the need for auditing to be performed to ensure that resources that have been set aside for the implementation of outcomes-based education policy reach the school and are used to the benefit of the school managers, educators and learners.

Thirdly, it is essential to have information that can be used to account for social and economic changes brought about by the implementation of outcomes-based education

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– see section 3.9 of Chapter 3. Outcomes-based education aims at producing learners who are critical and independent thinkers, respecting and promoting democratic principles. Furthermore, outcomes-based education prepares learners to participate in the economic affairs of the global village.

Fourthly, it is essential to have information that helps to explain why the outcome of public policies and programmes differ. For example, comparison between outcomes-based education and the traditional approach indicates that the former encouraged learners to look for information and be engaged in research, while the latter en-couraged learners to be passive recipients of information and to resort to memorisation.

Evaluation is one of the essential stages of the policy process because it determines the usefulness or otherwise of the policy, and the impact made by the policy outcomes. It has three main distinguishing features, which are value focus, fact-value interdepen-dence and present and past orientation.

Firstly, evaluation focuses on the values or worth of public policies. For instance, it is essential to know the value of outcomes-based education, which, *inter alia*, affords educators an opportunity for more precise planning of their work. As far as learners are concerned, the major benefit of outcomes-based education is that those who failed to achieve predetermined objectives are given further opportunities to succeed.

Secondly, it is essential that evaluation should focus on facts as well as value judge-ments of public policy. For instance, according to outcomes-based education, one of the advantages enjoyed by learners is that they are provided with knowledge, skills, and values that prepare them for the world of work.

Thirdly, and lastly, evaluation is retrospective in nature as it happens after action dic-tated by the public policy has taken place. The same applies to the outcomes-based education policy. For instance, outcomes-based education was adopted as an

education policy directive in South Africa to improve the quality of teaching and learning. Although the decision to employ this education policy was taken in the present, its evaluation results could be known in the future after the policy had been applied. That is, whether the policy achieved its predetermined objectives, or not, could be determined in the future after evaluating the policy.

6.6 POLICY IMPLEMENTATION MODEL: OUTCOMES-BASED EDUCATION

Public administrators, as implementation forces, embody and symbolise what is both effective and defective about how policies are formulated and implemented. It is crucial to examine the forces and circumstances that are commonly cited to explain the stages of public policy formulation. This is a complex process as there are many variables which are inextricably involved in the public policy environment. One way of simplifying the complex process of explaining how public policies are formulated and implemented is the application of models.

According to Morrow (1975:89), a model is an abstraction of reality. Although it does not exist in the real world, it represents a tentative and partial explanation of behaviour. It makes it possible for policy analysis to occur by comparing the real world of public policy formulation with the abstraction of the model. Dye (1995:18) concurs with Morrow (1975:89) when he states that a model is a simplified representation of some aspect of the real world. The aim is to arrive at some tentative conclusion as to what extent the forces encompassed by the model explain the real causes for public policy development. The degree of variation which indicates the extent to which the public policy formulation process confirms or rejects the model reveals the basis of public policy making. However, it should be stressed that no model is an exact reflection of reality. To overcome this shortcoming, several models should be examined simultaneously. This enables the analysts to appreciate the extent to which each constellation of forces embodied by the model is responsible for the development and implementation of public policy.

CHAPTER 6

The need for models have been caused by social scientists who became more involved in comparing and explaining a phenomenon. Models enable analysts and researchers to have some basis for differentiating what is important. Although there are many competing models, it has been established that philosophically there are four models; namely, formism, mechanism, contextualism and organicism (Schuman, 1976:199).

Models used in studying public policy are conceptual models. According to Dye (1995:18) models for policy analysis are developed to –

❖ simplify and clarify concepts about public policy;

❖ identify essential aspects of public policy problems and issues;

❖ facilitate communication by focusing on essential features of public policy and other political matters;

❖ help to concentrate on important issues and to promote better understanding; and

❖ provide possible explanations of public policy and predict outcomes.

Models have been devised to carry out policy analysis and to enhance the quality of policy analysis. Policy analysis can be done at all stages of public policy evaluation, including policy implementation. These models can be divided into two categories; namely, descriptive models and prescriptive models (Thornhill & Hanekom, 1995:58). Descriptive models include:

❖ The functional process model, which explains who is involved in policy formulation and how the process unfolds.

❖ The group model, which focuses on the analysis of the influence of interest groups on policy makers.

❖ The elite or mass models, which explain the roles played by the elite, the masses and the executive institutions.

❖ The systems model, which portrays the interaction between inputs, conversion, outputs and feedback.

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❖ The institutional model, which gives a pictorial representation that explains the relationship between the institutions concerned with policy making and policy implementation.

Thornhill and Hanekom (1995:58) explain prescriptive models as follows:

❖ The rational comprehensive model, which emphasises that all relevant information about a particular matter be taken into consideration.

❖ The incremental model, which indicates that under normal conditions public policies are usually changed to remain realistic.

❖ The mixed scanning model, which combines the features of both comprehensive and incremental models.

Another type of model is called the integrationalist model. This model depicts an organisational structure in which authority and responsibility are centred in an elected office-bearer who is assisted by aides. Units within the institution are divided according to purpose and are arranged in a hierarchy. Within each unit staff exercise control and has specific assignments of authority to assist the elected office-bearer (Pfiffner & Presthus, 1967:177).

Models are used for various purposes, for instance for policy optimisation especially in choosing among alternative policies in order to minimise unnecessary delay. In this regard time-oriented optimisation models are utilised. According to Nagel (in Eddy, 1983:383-384), these models make use of methods such as:

❖ queueing theory to predict or determine the delay and backlog caused by changes in a system.

❖ optimum sequencing to reduce time for waiting.

❖ critical path theory to establish where efforts should be made to reduce delay.

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CHAPTER 7

CONCLUSIONS AND RECOMMENDATIONS

The problem statement of this study was that government formulates public policies to address public social problems or issues without simultaneously preparing the groundwork for their successful implementation. Failure to prepare roleplayers and to provide resources and directives for the implementation process could cause inefficiency and disillusionment. Consequently, there could be delay in implementation, which could prolong the public problem or issue. The research objective for this thesis was to determine what should be done to manage the implementation of the outcomes-based education policy to obtain intended results.

The primary objective for this research was to find an appropriate implementation model for outcomes-based education. By means of the research undertaken for this thesis it was possible to indicate the importance of an implementation model as explained in Chapter 6. In this chapter the elements needed to formulate the model were identified and their roles determined. Furthermore, the aim of the thesis was to establish whether the proposed implementation model could be appropriate generally for new and modified policies, not only in the Department of Education, but also in other state departments and public institutions.

A further objective of the study was to indicate the importance of undertaking the public policy and policy analysis when formulating an implementation model for outcomes-based education policy. Secondly, the objective of the study was to emphasise the importance of presenting a public policy in simple terms to reveal what it aims at and how it should be implemented.

Chapter 1 served as the introduction of the thesis followed with a problem statement which focused on the objective of the study; an explanation of the research method

and design, a definition of key concepts and the structure of the research. The hypothesis for the study was proposed as follows: "an implementation model for outcomes-based education would contribute positively to its successful implementation". The hypothesis further stated that the proposed model should in general be applicable to state departments and other public institutions.

Chapter 2 focused on policy directives for outcomes-based education. It provided the rationale for the introduction of outcomes-based education; which, firstly, was to im-prove the quality of education, especially for blacks. Secondly, it was argued that the new democratic order needed to be supported by an appropriate education system. Definitions of outcomes-based education along with unique features were provided.

It was explained that the objectives of outcomes-based education are competency-based education, mastery-learning and criterion-referenced assessment. Each of these matters contribute to the formulation and development of outcomes-based education. However, characteristics and advantages of outcomes-based education have to be explained along with the other relevant matters. Each of the three approaches were explained and the preferred one was indicated.

Government policy directives that led to the introduction of outcomes-based education such as the *Constitution of the Republic of South Africa*, 1996 (Act 108 of 1996), the *South African Qualifications Act*, 1995 (Act 58 of 1995), the *National Education Policy Act*, 1996 (Act 27 of 1996) and the *Schools Act*, 1996 (Act 84 of 1996), were explained. Objectives of the national policy like protection against discrimination, personal development of each learner, achieving equitable education opportunities, encouraging lifelong learning, recognition of prior learning, promoting a culture of respect, promoting equity, ensuring broad public participation, effective use of educational resources and cost-effectiveness; and close co-operation between the national and provincial governments, were explained. Furthermore, policy preparation requirements,

monitoring and evaluation of education, council of education ministers, heads of education departments along with committees and consultative bodies were explained. Directives that relate to outcomes-based education policy for the attainment of declared outcomes, as well as monitoring directives, were explained. Chapter 2 also described what form of outcomes-based education South Africa adopted.

The introductory research concluded that policy directives for outcomes-based education are necessary. They provide insight as well as foundations for the policy. Furthermore, they provide essential information for implementors, beneficiaries, *modes operandi*, tools needed for implementation, and support structures that would promote successful implementation. Stated differently, policy directives provide answers to the objectives of a policy in relation to who, why, when, how and what. Policy directives indeed provide guidance, detailed instructions, a frame of reference, and the demarcated area of the public problem to be explained.

Chapter 3 was devoted to policy and policy analysis. It commenced with definitions of public policy, followed by explanations of how public policies are formulated and implemented. Types of policies and the purposes they serve were explained. Attention was also paid to individuals who are competent to formulate public policies. Functionaries and other matters which influence public policy formulation like bureaucrats, think tanks, interest groups, members of legislative bodies, the environment, needs and expectations of the population and political parties were explained.

Chapter 3 further explained policy analysis, its origins and developmental phases. Thereafter policy analysis definitions and their distinguishing features were described, - followed by explanations of the steps of the policy analysis process. The scope of policy analysis was explained. The latter may be studied as a problem type or as an activity. Five dimensions of policy analysis were also stated and explained.

CHAPTER 7

Policy implementation, which is one of the policy-making stages, was defined, explained and its own phases were explained. Factors to be considered in policy implementation are legislative directives, organisational setting, standard operating procedure, organisational communication, time problems, problems related to planning, and inter-organisational policies. Critical factors are content, context, commitment, capacity, as well as clients and coalitions.

Policy evaluation definitions were stated and explained. Reasons for undertaking policy evaluation and policy evaluation foci were explained. Policy evaluation is undertaken to provide, *inter alia*, the reasons why a particular public policy should be retained, delayed or abandoned. This was followed by the presentation of evaluation processes which could be used for the assessment of policies with a variety of objectives. On account of the complex nature of policy evaluation, it must be properly stated and implemented. Under the heading referring to evaluation management the baseline and culmination data for evaluation, and evaluation approaches, methods and aids were explained. Requirements for effective policy evaluation requires that it should be free from constraints and that its results are not to be ignored.

Policy analysis institutions were described with special emphasis on their objectives and contributions to research. An example of a policy analysis institution, namely, the Centre for Policy Research in Education, was investigated with an indication of its focus, structure, procedures and use of its research.

The research concluded that information gained with the study of public policy and policy analysis provides foundations on which to build an implementation model. As the thesis is also about policy implementation, it is crucial to understand comprehensively what public policy is, its process of formulation, and other stages of development. The information provided about the nature and character of public policy is useful to bring about successful implementation. Thus, it is necessary to have a deeper understanding of the complexity of public policy making to ensure satisfactory policy implementation.

Policy analysis is essential because it provides for satisfactory tools to facilitate policy implementation. It could serve as a guideline for successful policy implementation. Furthermore, policy analysis provides essential information that could bring about informed decisions with respect to other policy alternatives. Besides, it provides crucial information about affordability and the benefits to be derived from implementing a public policy. Where applicable it should clarify the implementation of the policy, its discontinuation, postponement, or rejection. Therefore, policy analysis is the backbone of a model for public policy implementation. Moreover, monitoring and evaluation should indicate whether the policy achieved its predetermined objectives or not.

The research further concluded that it is advisable to request the existing Centre for Policy Research and related research organisations at universities to increase its research focus to also undertake research to include outcomes-based education policy making, analysis and implementation. Universities should complement and supplement the work done by these institutions and should not duplicate or compete with the work performed by the dedicated research institutions. It is, therefore, strongly recom-mended that there should be harmonious and mutually beneficial working relationships between public policy research institutions and universities. Economically it could be justifiable to request universities to serve as centres where public policy implementation models are constructed. Universities have different foci area, such as health sciences, humanities, education, building and construction, management sciences, and arts and culture to mention but a few. Public policies that are relevant to a university's focus area should be referred to it for guidance on implementation. Most universities in South Africa are public institutions and they will be performing their civic duty by assisting constantly in public policy implementation. For universities to perform this task, it is crucial that government provide them with sufficient funds. Universities – as centres of excellence – could play a meaningful role in the development of leaders in respect of outcomes-based education policy-making and implementation.   The specialists on public administration at universities could advise government departments

and other public institutions to prepare objective policy implementation processes, instead of commencing implementation for political expediency.

Chapter 4 dealt with implementation activities of outcomes-based education. It commenced with reflective teaching, which encourages the educator to be critical of himself or herself with regard to purpose, focus, methodology and supportive environment. The multicultural classroom in which the educator teaches, was described. This is a new feature in teaching in democratic South Africa. As most educators were not prepared during their pre-service training to deal with diverse cultures, the need for in-service training to help educators to deal with multicultural classes was felt. Apart from dealing with multicultural classrooms, the educators and the learners need to know in advance the possible outcomes of learning. Teaching strategies and teaching methods that are responsive to the dictates of outcomes-based education received attention. The teaching strategies and teaching methods that were explained are deductive and inductive teaching strategies, co-operative learning and problem-solving. In addition to using teaching strategies and teaching methods that are outcomes-based education friendly, educators need to know how to plan and prepare lessons, as teaching is about the presentation of properly planned lessons.

Chapter 4 culminated in a description of the roles of educators and learners. Educators are regarded as facilitators of learning who guide learners to self-discovery. Learners' role changed from being passive recipients of knowledge to being active, creative and critical thinkers, discoverers of knowledge, motivated and disciplined, as well as being able to work co-operatively with others.

The research concluded that both learners and educators are the main role players in outcomes-based education. The impact of outcomes-based education is felt by learners and educators as evidenced by their change in roles. For example, learners have changed from being passive recipients of information to active seekers and creators of

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knowledge. As far as educators are concerned, their roles changed from imparting knowledge to learners, to facilitators of learning for learners.

The impact of change brought about by outcomes-based education necessitated the usage of reflective teaching practice, employment of teaching strategies and teaching methods that enable the outcomes-based education philosophy to flourish, because of new ways of planning and presenting lessons. Therefore, outcomes-based education brought about drastic and visible changes in the respective roles of educators and learners in the teaching-learning situation.

Chapter 5 dealt with complexities of the implementation of outcomes-based education. Complex issues that relate to outcomes-based education are curriculum development and assessment. Firstly, curriculum was defined and its distinguishing features or characteristics were explained. Curriculum perspectives, which are cultural trans-mission, social transmission, individual fulfilment and feminist pedagogy were also noted.

The complex nature of a curriculum is discernible in its organisation. There are two forms of curriculum arrangements; namely, macro- and micro-levels. It may also be described in terms of systematic arrangement of its elements. In this regard the curriculum may be arranged according to the vertical dimension or the horizontal dimension. It may also be organised according to different elements and may be sequenced according to different principles. A curriculum may further be arranged according to three contrasting patterns; namely, the top-down, the bottom-up, or the project approach. These three approaches were explained to indicate how involved or intricate the process of curriculum development is.

CHAPTER 7

Assessment forms a crucial aspect of outcomes-based education. Apart from its unique position in teaching and learning, assessment measures for outcomes-based education differ radically from the old traditional assessment practices. Firstly, it is an ongoing integral part of teaching and learning. Moreover, it pays attention to four concerns, namely, clear teaching and learning aims; motivation; previous experience and present abilities; effective teaching tasks; and flexible methods. In addition, the basic criteria for outcomes-based assessment were stated.

Assessment is meant to play a specific role and takes on different forms; for example, formative, diagnostic, summative and evaluative. Notwithstanding the fact that assessment serves different purposes, such as identification of learners' needs, planning, learning, following learners' progress, diagnosing hindrances, helping learners to improve their work, adjustment of focus and place, providing proof of learners' level of achievement, judgement of the effectiveness of the learning programme, and the assessment of the educator's teaching. Thereto individuals who are interested in participation in assessment can be identified.

Just like teaching, assessment should be systematic, logical and sequential. Hence, specific principles for assessment can be identified. The principles should be relevant to the curriculum; integral to teaching and learning; balanced; comprehensive and varied; valid and reliable; fair; engage the learners; evaluate the educator's judgement; be time-efficient and manageable; recognise achievement and progress of individuals; involve the whole-school approach; actively involve the parents; and convey meaningful and useful results.

Developmental assessment, which is a process of monitoring learners' progress, was described. It commences with a system that shows the difference between content measurement and performance measurement. This is followed by the three steps of developmental assessment. The first step is to locate the learner's position on a pro-

gress map. The second step is concerned with the collection of evidence from records or observation. The third step is drawing conclusions from the collected evidence.

On account of the fact that assessment serves different purposes, different methods are used to assess learners' progress. The methods that are used, include portfolio assessment; performance assessment; learning projects; product assessment; paper and pencil assessment; observation sheets; journals; assessment of prior learning; diagnostic assessment; self-assessment; and peer assessment.

Continuous assessment essential for outcomes-based education was explained separately in more detail. Some of the distinguishing features of outcomes-based continuous assessment were indicated. This was followed by a description of criterial assessment standards; criterion referencing and norm referencing; why, what, when, who and how to assess; and how to record and report assessment results.

In this regard it should be mentioned that Chapter 5 of this thesis ended with a critique of outcomes-based education. Although such education has shortcomings, in general its advantages outweigh its disadvantages.

The research for this thesis concluded that outcomes-based education is complex in nature as evidenced by its curriculum development as well as its assessment. For instance, its curriculum should define and formulate broad outcomes of teaching and learning, how to diagnose learners' needs, how to translate learning outcomes into patterns of learning, selection and organisation of content and learning experiences, and obtaining substantive ways of assessing learning outcomes. These are sensitive, complex, demanding and interrelated matters which call for appropriate planning.

The research concluded that outcomes-based education assessment is learner-friendly compared to the traditional approach. The aim was to determine whether the learner

achieved set objectives and to give guidance as well as more opportunities to master the task at hand. This form of assessment is not only diagnostic, but also therapeutic because it develops a healthy state of mind in learners. Continuous assessment should enable both learners and eductors to be focused on their work throughout the lesson and should contribute to the learners' self-esteem.

Chapter 6 dealt with a proposed policy implementation model for outcomes-based education. It focused on policy analysis, decision analysis, simulations and models, and experimental analysis. Thereafter, it indicated what role each participant should play in implementation. The Curriculum Statement which covers outcomes-based education; Revised National Curriculum Statement: Learning Areas Statements; Revised National Curriculum Statement: Learning Programmes; time allocations; assessment; the kind of educator that is envisaged, and the kind of learner that is envisaged were addressed. Each of these components of the curriculum indicates how it could contribute to the implementation of outcomes-based education. The building blocks of the proposed model of public policy implementation are the managerial functions. The managerial functions in question are provision of human resources, financing, organising, procedural arrangements, control and rendering account. The research also indicated what each function's role should be in policy implementation. The last building blocks of the model are monitoring and evaluation. Only the implications for policy implementation were explained for the purpose of Chapter 3.

The model could serve as a blueprint for implementing public policy. It could guide policy implementation to save time and money. It could also facilitate service delivery and the production of public goods – thereby it could contribute to improving living conditions of the public and improve the image of government as capable, caring, and competent.

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The research concluded that there is a need for an implementation model for outcomes-based education. This would require policy implementation with limited resources, within a specified period. Hence, the model would serve as a guide for both policy making and policy implementation indicating who should do what, when, how and why.

The implementation model could be used by all government departments and public institutions. For it to be effective and to serve the purpose for which it is meant, there should be a trial run or a pilot project. Before any public policy can be applied it is crucial that the following questions are answered in the affirmative:

- ❖ Is the public policy stated in simple, clear and comprehensible language?
- ❖ Are the objectives of the public policy understood?
- ❖ Which policy analysis techniques are to be used?
- ❖ Who are going to implement the public policy?

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