

# National Implementation of Post Provisioning: National Report



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## 2. Acronyms and Abbreviations

Acronym	Description
ABET	Adult Basic Education and Training
AG	Attorney General
APE	Affordable Post Establishment
ASE	Affordable School Establishment
ASS	Annual School Survey
BIS	Business Intelligence System
CAPS	Curriculum Assessment Policy Statements
CEM	Council of Education Ministers
CES	Chief Education Specialist
CMTT	Circuit Manager / Task Team
CTE	Cost To Employer
CTT	Circuit Task Team
DBE	Department of Basic Education
DPSA	Department of Public Service and Administration
DPT	Deloitte Project Team
DTT	District Task Team
EC	Eastern Cape
ECD	Early Childhood Development
ELRC	Education Labour Relations Council
EMIS	Education Management Information Systems

Acronym	Description
FET	Further Education and Training
FS	Free State Department of Education
GT	Gauteng Province
HoD	Head Of Department
HR	Human Resources
KZN	Kwa-Zulu Natal Department of Education
LAN	Local Area Network
LER	Learner Educator Ratio
LOLT	Language of Learning and Teaching
LP	Limpopo Department of Education
LSEN	Learners with Special Education Needs
MEC	Member of the Executive Council
MP	Mpumalanga Department of Education
N + S	Norms and Standards
NC	Northern Cape Department of Education
NEPA	National Education Policy Act
NW	North West Department of Education
PAM	Personnel Administrative Measures
PELRC	Provincial Education Labour Relations Council
PERSAL	Personnel Salary System
PM	National Performance Indicators
PO	Public Ordinary

Acronym	Description
PPM	Post Provisioning Model
PPN	Post Provisioning Norms
PTT	Provincial Task Team
RfP	Request for Proposal
SASA	South African Schools Act
SASAMS	South African School Administration Management System
SGB	School Governing Body
SIAS	Screening, Identification, Assessment and Support Strategy
SITA	State Information Technology Agency
SNE	Special Needs Education
STATSSA	Statistics South Africa
UPE	Unaffordable Post Establishment
USE	Unaffordable School Establishment
WC	Western Cape Education Department

### 3. Executive Summary

This report is based on work done by Deloitte in response to the United Nations Children's Fund (UNICEF) Request for Proposals (RfP) for services: LRPS-CLE-2012-9102739 - Design and implement a research (investigative) tool to review progress with the implementation of post provisioning norms and to assess the impact on educator provisioning, planning, utilisation and deployment in response to Action Plan to 2014: Towards the Realisation of Schooling 2025 on provincial level.

A steering committee comprising of the Deloitte Project Team (DPT) and representatives from the Department of Basic Education (DBE), two provinces and UNICEF managed the process and ensured that all deliverables were achieved within the agreed timeframes.

DBE made it clear to the DPT that there should be a focus on the actual practices in provinces, i.e. the challenges provinces are experiencing and recommendations from provinces with regards to possible Policy weaknesses. The DPT was requested to not view this project as either a purely academic exercise or a data collection and analysis exercise.

In line with the DBE request above, the DPT developed a methodology that included two-day workshops per province. Based on the agreed extension of the project with DBE, all nine (9) provinces were included and there was thus not a need to determine a sampling methodology as required in terms of the original terms of reference. The aim of these workshops was to record the actual post provisioning practices in all the provinces. The study proved to be invaluable to all participants and important insights were gained.

#### **Policy**

An environment has been created in the sector where there is a number different version of the Post Distribution Policy (at least four versions). With staff turnover at National Report: Assessment of National Implementation of Post Provisioning System

provincial level there is a significant risk that a province may implement an incorrect version of the Policy. Especially in a situation where DBE may even provide the incorrect Policy to the province. It is recommended that the DBE determines whether the current Gazette version of the Policy is the version it intended to publish in 2002. One of the key recommendations of this report is that DBE review, and based on the review; improve its Policy development processes.

The Gazette Policy is not clear on the allocation of posts to LSEN Schools. This Policy gap is to be addressed and we also recommend that the DBE consider the possibility of managing the Post Establishments of the Ordinary School sector and the LSEN School sector separately in order to create more stability in the LSEN School sector. We have also identified and commented on a number of other policy weakness.

Recommendations have also been made to address these policy weaknesses.

### **Strategic documents**

The DPT reviewed the Annual Performance Plans and the Annual Reports of provinces. Although the mentioned strategic documents were reviewed in all provinces, it must be noted that reference to post provisioning is, however, not substantially evident in it and limited insights could be gained from studying these reports.

### **Affordable and Unaffordable Post Establishment**

In terms of the National Norms and Standards for School Funding (NNSF) Annexure DBE-C, the Ministry of Education has determined that Personnel versus Non-personnel spending in ordinary public schools should be of the order of 80:20. Within the total personnel allocation, educator personnel costs should be targeted at 85% and support staff (Public Servants) at 15%.

The basis for the 80:20 Personnel versus Non-personnel split is to ensure that provinces do set aside sufficient funding for Non-Personnel expenditure items towards delivery of quality education. The same applies with respect to the 85:15 educator and Public Servant split, e.g. ensuring that a province has sufficient Public Service staff to support the education delivery processes. In the table below is the Minister's response

to a parliamentary question with respect to the Personnel versus Non-personnel expenditure.

One of the key features of the Post Provisioning Policy is that it is a distributive Policy based on the concept of weighted learners. An Affordable Post Establishment (APE) as determined by the MEC in consultation with Labour must be distributed to schools equitably independently of the budget available in a year or the number of learners in a province.

We found that at least 7 of the 9 provinces are distributing an Unaffordable Post Establishment (UPE). We also found that the concept of an Affordable School Establishment (ASE) is currently not considered in management processes at provincial level. We recommend that the sector consider these concepts carefully as a means towards improving teacher supply and demand and obtaining a deeper understanding of the real situation in schools with respect to School Establishments.

### **Excess Educators**

The sector is putting significant effort into managing excess educators based on the UPE or at a school level the Unaffordable School Establishment (USE). It seems, however, as if the sector is blind to the APE and the ASE with respect to excess educators. No records are kept or decisions taken in any provinces based on the APE and ASE. While we have not done any analysis, our hypothesis is that as the count of a province's UPE increase, the difference between the number of excess educators based on the UPE and the APE of the province will also increase.

We recommend that the sector considers managing excess educators differently. Our recommendation is to move from an Educator focus to a School focus. We also recommend that the sector consider incentivizing educators who are employed at schools with more permanent educators than the School Establishment. These teachers should be incentivized to move to schools where there are fewer teachers than the Affordable School Establishment.

## **Data Management**

Whether a province is able to issue School Establishments by 30 September is significantly dependent on the ability of its EMIS unit to manage the data collection process.

We have found that there are some provinces that have invested significantly in both the capability of their personnel and their technical infrastructure. In these provinces, business processes are in place and the data required for Post Provisioning are generally clean, verified and validated by about 30 June of the previous school year.

There are also provinces, however, where there is limited EMIS capability both in terms of personnel (either insufficient personnel or posts are frozen or remain unfilled for years) as well as technical infrastructure. In these provinces the weakness of the EMIS unit impacts significantly on the ability of a province to issue Staff Establishments on time. As the various units are dependent on each other in the process towards issuing Staff Establishments situations are created in some provinces where HR will put in place further data quality processes because they do not “trust” the information received from EMIS.

## **Key Recommendations**

The following are some of the key recommendations the Province and DBE should consider.

### **Recommendation**

1. DBE should consider engaging with provinces using the same methodology the DPT has applied. This must be considered in cases where there are changes in policy or where a province had significant changes in personnel.
2. DBE determines which Policy it intended to publish in 2002.

3. DBE to determine whether the National Access database has been developed based on the Gazette Policy document or the Revised-PPN Policy.
4. Should it be found that the Access database has been developed based on the incorrect Policy then DBE should do a review of the impact on provinces should the database be changed to reflect the intent of the Gazette Policy.
5. DBE to ensure that it improves its Policy Development and Management Process.
6. DBE to only distribute official published policies to provinces and not MSWord documents of possibly old or draft versions of policies.
7. Provinces are currently in the process of implementing Post Provisioning for 2014. DBE should carefully consider when to inform provinces about the correct Policy and the guidelines provided with respect to the implementation of the new Policy. This recommendation is based on the possible impact on schools should a specific province change from their existing Policy to the current national Policy.
8. It is recommended that 2015 be the earliest date to consider changes as provinces are currently in the middle of the 2014 Post Provisioning Process.
9. There is significant staff turnover in provinces. DBE should consider developing a training manual and training programme for provincial officials that are managing the Post Provisioning Process. The training should include a module dealing with Policy implementation.
10. DBE should also consider developing a training manual for the DBE Software.
11. Where a province is not experiencing learner increases but rather a decrease in learner numbers, the province should consider rather lowering the number of posts distributed in order to move towards an APE not decreasing the LER ratio.
12. The sector considers making visible to both schools principals, SGB members, district officials and relevant Head office officials an individual school's APE and its UPE.
13. The sector follows a phased approach where schools are moving towards their APE should they currently be above their APE.

14. The DBE should consider identifying one or two provinces and determining the number of excess educators in a given year when viewed against an UPE and an APE. The UPE should be the current norm applied by the province while the APE should be based on the application of the 80:20 and the 85:15 principles.
15. The goal is that Educators with good qualifications who are teaching at schools where the number of permanently employed educators are above the establishment must feel encouraged to want to teach high value subjects at poor rural schools in remote districts, rather than lower valued subjects offered at rich peri-urban school in the same district. This can be achieved by DBE considering an incentive system.
16. The possible advantages of this approach are:
- a. No need to identify educators in excess.
  - b. Annual strain on educators about the possibility of being identified as an excess educator is removed.
  - c. Management of this process will be simplified.
  - d. As no individual educator is identified as being in excess, all educators at such schools become potential candidates to move to another school.
  - e. Educators willing to move can be incentivized based on agreed criteria.
  - f. Receiving schools willing to accept Educators at schools where there are excesses can also be incentivized.
  - g. Consideration can also be given to allocate these teachers not to a particular school, but to a group of schools or even the nearest district office. This opens the possibility to share scarce skills teachers amongst more than one school.
17. Guidance should be provided to the LSEN Schools sector once the clarity has been obtained by DBE with respect to the Policy environment.
18. The DPT is of the view that **KZN, MP, LP, NC; FS** should consider managing the Establishments of LSEN Schools either outside the DBE software or separately within the DBE software. This recommendation should create more stability in the sector.

19. If the Gazette PPN Policy is accepted as the correct Policy, then all provinces except the Western Cape are implementing the wrong percentage split across quintiles. The DBE should update the software and re-issue the national software.
20. DBE should consider this change for the 2015 establishments and not the 2014 establishments as provinces are currently already in the middle of the process of determining the 214 establishments.
21. Prior to allocating *ad hoc* posts to schools, provincial departments should determine whether they have set the weightings for their province at the appropriate level to deal with their provincial concern.
22. Provinces noted that in some cases Schools receive Staff Establishments with unacceptable high LER ratios. DBE should consider doing an analysis of the allocations of a province or a sample of provinces to determine if this is a real concern. If so, then there is a need to take this into consideration when the Policy is reviewed.
23. DBE should develop a training manual for the Post Provisioning software and provide training to provincial officials on the use of the software. This is to be done in conjunction with the development of a training manual on the entire post provisioning process. A number of officials noted this as a real and immediate need.
24. There is a need for the sector to re-evaluate the business processes between PELRC and ELRC.
25. The adjustment of promotion posts norms downwards due to financial constraints and the need to make available more post level 1 post are to be considered a risk in the sector with respect Provincial Department and DBE's focus to improve governance at school level.
26. Some provinces have limited staff with the required technical understanding to run the DBE software. This created a situation where the function of doing the modeling with the DBE software is transferred to the unit that has a staff member with the required capability. Provinces should avoid this situation and must also

ensure that a minimum of two or three staff members, appointed in the appropriate unit, are managing the modeling.

27. Ownership of ensuing data quality must be placed in EMIS and not be shared across directorates due to a “mistrust” of EMIS data. Where a province finds that the quality of its data is questionable, it should investigate its investment in personnel and technical infrastructure.

28. Provinces that do not have a management plan in place or that have different management plans in place for different units must develop a common management plan for the entire process.

29. DBE, via the EMIS HEDCOM sub-committee, develops best practice data management methodologies for provinces.

30. The DPT recommends that DBE develops a different “end to end” post provisioning solution:

- a. It must be an online system
- b. Provinces should be consulted during the development phase
- c. The software solution must be aligned to the Gazette policy
- d. On-going training must be provided to provinces on how to use the software
- e. A training manual should be developed
- f. A User Manual should be developed
- g. The software must allow provinces to maintain historic information in order to develop reports on historic trends.
- h. The software should provide a province with an “end to end” post provisioning solution. What is meant by this is that EMIS data, financial modeling, establishment modeling, issuing of establishments, management of growth posts and curriculum posts should all be managed on the system. A province should not need to maintain a number of spreadsheets to manage the post provisioning process as are currently the case.
- i. Provinces should be able to make relevant reports available online to managers at Head Office and District level.

- j. Schools should even be able to access their establishments online with usernames and passwords.
- k. Security protocols to be in place.

31. DBE should carefully review its decision to make the use of SASAMS as the sole data submission source from 2014 (if this is indeed the case) for the following reasons:

- a. All provinces have not rolled out SASAMS to all their schools.
- b. All provinces have not trained all their schools in SASAMS.
- c. Some provinces are experience significant challenges with respect to obtaining quality data from schools via the first SASAMS submission.
- d. Some provinces have not mastered business processes to manage the collection of electronic data.

## 4. Introduction

This report is based on work done by Deloitte in response to the United Nations Children's Fund (UNICEF) Request for Proposals (RfP) for services: LRPS-CLE-2012-9102739 - Design and implement a research (investigative) tool to review progress with the implementation of post provisioning norms and to assess the impact on educator provisioning, planning, utilisation and deployment in response to Action Plan to 2014: Towards the Realisation of Schooling 2025 on provincial level.

### 4.1. Purpose and Objectives

The outcomes of the project is to design and implement an investigative tool to review progress with the implementation of Post Provisioning (PP) norms and to assess the impact on educator provisioning, planning, utilization and deployment in response to Action Plan 2014: Towards the Realization of Schooling 2025.

### 4.2. Provincial and National Report

This detailed report that emanated from the study provides clarity and insight on the following areas:

A review of provincial education department activities processes and timelines with relation to educator post provisioning.

1. A review of critical strategic documents including current Annual Performance and Strategic Plans, reports and policies. This review includes gaining an understanding of PP in relation to: curriculum, utilization, deployment and management.
2. Recommendations on how to enhance synergy between the Action Plan and provincial plans and activities especially with relation to management of educators, development of educators, deployment of educators and the utilization of educators.

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3. The synergy is to be achieved within the context of the national mandate articulated in NEPA in relation to these issues using educator provisioning (and the implementation of post provisioning) as the main focus of investigation.

### **4.3. Methodological Approach**

A steering committee comprising of the DPT and representatives from the Department of Basic Education (DBE), two provinces and UNICEF managed the process and ensured that all deliverables were achieved within the agreed timeframes.

The original UNICEF RfP requested the design and implementation of an investigative tool to be used in a selection of provinces and in at least nine (9) Education Districts. An agreement was reached at the first steering committee meeting that an in-depth understanding be gained in all nine (9) Provinces relating to their individual post provisioning practices.

DBE made it clear to the DPT that there should be a focus on the actual practices in provinces; the challenges provinces are experiencing and recommendations from provinces as to possible Policy weaknesses. The DPT was requested to not view this project as either a purely academic exercise or a data collection and analysis exercise.

In line with the DBE request above, the DPT developed a methodology that included two-day workshops per province. Based on the agreed extension of the project with DBE, all nine (9) Provinces were included and there was thus not a need to determine a sampling methodology as required in terms of the original terms of reference. The aim of these workshops was to record the actual post provisioning practices in all the provinces.

### **4.4. Investigative Tool**

The DPT developed a Process Flow Chart (Annexure DBE-H). This Process Flow Chart provided a generic overview of the end-to-end Post Provisioning Process.

The DPT also developed an investigative tool (See Annexure DBE-I). The investigative tool consists of various questions that are vital to the post provisioning process. This investigative tool was informed by:

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1. Government Notice No. 1451: Amendment of regulations for the distribution of educator posts to schools in a provincial department of education, dated 14 November 2002.
2. DPT's comprehensive understanding of the post provisioning process.

The workshop(s) generally had the following format and underlying methodology:

1. The representative of the DBE contextualized the workshop by giving the background to the study and the importance thereof. The discussion was then handed over to the DPT.
2. The DPT introduced the end-to-end Process Flow Chart that captures the entire post provisioning process from schools compiling and submitting data at the beginning of the year to last process which is the matching and placing of educators. The chart gave representatives the opportunity to not only understand the entire post provisioning process but also to become aware of the interlinking responsibilities between the different units.
3. The investigative tool was then introduced to representatives and appropriately explained. The DPT explained that the tool was not used for auditing purposes but to gain an understanding regarding provinces' individual practices.
4. All responses per discussion point were captured on the investigative tool and displayed via a projector for all participants to see. This methodology allowed participants with the opportunity to not only see if their responses were accurately captured but also to do the necessary adjustments/changes if it was not.
5. Responses to the discussion points were emailed to all provinces to allow them the additional opportunity to make further adjustments or changes. This was to ensure that all responses were accurately captured.
6. The DPT also introduced an evidence-based methodology to ensure that responses could be verified. Representatives were asked to submit evidence such as circulars or circular minutes or any other documents that support their claims.

7. All provinces provided the DPT with feedback on the processes in their provinces with respect to the development of the 2013 Staff Establishments. This ensured that DBE has the view of how the Post Provisioning Process was managed across the country in a particular year namely in 2012 for the 2013 Staff Establishments.

#### 4.5. Logistical Arrangements

Representatives from the DBE and the DPT attended all workshops. It was also requested by the steering committee that the following units and role-players be represented at each of these workshops:

1. EMIS
2. Human Resources
3. Finance
4. Officials representing Districts
5. Labour Relations

The DBE arranged the workshops in the different provinces and ensured that all logistical requirements were met. All workshops were conducted in an appropriate setting and in a non-threatening and supportive way.

See below the schedule of these workshops across the nine (9) Provinces.

No	Province	Date of Visit
1	EC	29 & 20 May 2013
2	FS	10 & 11 April 2013
3	GT	3 & 4 June 2013
4	KZN	8 & 9 May 2013
5	LP	20 & 21 May 2013
6	MP	6 & 7 May 2013
7	NC	27 & 28 May 2013

No	Province	Date of Visit
8	NW	22 & 24 May 2013
9	WC	22 & 23 May 2013

#### 4.6. Insights Gained from the Methodology Applied

The study proved to be invaluable to all participants and important insights were gained. These include the following:

1. The methodology followed allowed all provinces to express their views on post provisioning and for the DPT to listen to individual provinces' critical and unique challenges. It must, however, be noted that not all challenges could be included in discussions.
2. The 2-day workshop, although invaluable, did not prove to be enough and a more in-depth understanding of the post provisioning process per province could have been gained if more time was available.
3. The DPT, as indicated earlier, captured all responses per discussion point on the investigative tool and displayed it via a projector for all participants to see. This did not only allow for honest reflections from all provinces, but also for a deeper engagement between participants.
4. Feedback received from many provinces was that they found the experience not only about them sharing with the DPT what they are doing in the province but they have, through the process, also learned about the Post Provisioning Process which will allow them to improve their practices.
5. In some provinces it was the first time that all role players involved in staff provisioning had an interactive and integrative opportunity to sit around a table for two days and reflect on their own praxes. The methodology used, therefore, also acted as a training and development opportunity for provinces to understand the end-to-end post provisioning process and how different directorates can work together.

## RECOMMENDATION

- 1 DBE should consider engaging with provinces using the same methodology the DPT has applied. This must be considered in cases where there are changes in policy or where a province had significant changes in personnel.

# 5. Post Provisioning Overview

An overview is provided in this section on how the post provisioning process is managed within provinces. No two provinces are managing the process in the same way and what is provided in this section is a generic overview of the process. This section should be read in conjunction with the Process Flow Chart (Annexure DBE-H).

## 5.1. National Policy

The earliest government notice to equalize the distribution of educator posts by the new government was issued in 1998 by Minister SME Bengu (Government Notice 1676 of 1998). This Policy was implemented in 2000.

The 1998 Policy was amended by Government Notice 1451 of 2002 (Annexure DBE-G) and is the current official Policy that is in place. This is a distributive model meaning that the number of affordable posts is distributed independently of factors such as changes in learner numbers, subjects that learners take or the number of schools in the province.

The 2002 Policy takes the following factors into account in the distribution of posts:

1. The maximum ideal class size applicable to a specific learning area or phase.
2. Period load of educators.
3. Need to promote a learning area.
4. The size of the school.
5. The number of grades.
6. More than one language of instruction.
7. Disabilities of learners.
8. Access to curriculum.
9. Poverty.
10. Level of funding.

The Department of Basic Education - Action Plan 2014: Towards the Realisation of Schooling 2025 indicates that the post provisioning norms, which determine how many educator posts each school should have, are currently being redesigned in order to take National Report: Assessment of National Implementation of Post Provisioning System

class size into account more explicitly. In particular, the intention is to calculate for each school what its maximum class size should be if curriculum and teaching time policies are implemented correctly. In line with this approach the Council of Education Ministers (CEM) approved changes to the 2002 Policy in 2008. The 2008 CEM decision was, however, never implemented.

## **5.2. Policy Implementation**

In terms of the Employment of Educators Act 5(1) (b), the MEC of a provincial department of education must determine the provincial department's educator post establishment. The provincial Head of Department must then distribute the posts to schools (Employment of Educators Act 5(2) (b)). The provincial department of education must ensure that schools receive their school establishments by 30 September of the previous year (Government Notice 1451 of 2002).

To enable a provincial department to distribute a school establishment to a school by 30 September for the following academic year, planning must start in January of the current year.

### **5.2.1. Data Management**

Historically, the only formal data collection process that could be used to manage the establishment development process was the Annual School Survey (ASS). This is primarily due to the fact that this was the only data collection process that included learner subject level information which is critical to the calculation of a school's establishment.

There is currently no guidance in national policy on which data sources to use for the post provisioning process. While most provinces are using the ASS as the primary data source, the following are further data sources used:

1. Specific provincial surveys for post provisioning.
2. SASAMS.
3. Centralised Education Management Information System (this is an online system used by the Western Cape).

Data is generally collected by the EMIS unit in the first half of March. Data is captured, cleaned and verified. Schools are extensively engaged during this cleaning and verification process. While the responsibility for cleaning and verifying the data is with EMIS, some provinces have shifted this responsibility to their HR unit.

One of the factors taken into consideration in determining school establishments is the school's poverty quintile. This information is managed by the provincial unit (generally the Finance Directorate) responsible for the determination of the school quintiles and is not obtained from schools.

In order for a province to be able to issue establishments to schools by 30 September data should ideally be captured, cleaned and verified by the end of June.

### **5.2.2. Determining the Provincial Post Establishment**

As indicated in 4.2 above, the MEC must determine the provincial post establishment (number of Educator Post the Province can afford to distribute for the following academic year) and the HoD must allocate the individual school establishments. Key to this process is the need to consult with unions and recognized SGB organizations. These meetings are scheduled and coordinated by the provincial Labour Relations Directorate and are generally concluded during two consultation processes with the MEC and the HoD.

DBE has developed a stand-alone MS-Access database that is used by most provinces to determine the school establishments. A set of data tables are imported into the software solution and variables are adjusted in line with national policy and provincial specific needs. In many provinces this function is performed by the HR unit but in some provinces EMIS has the responsibility for this function.

While some provinces are managing their LSEN schools using the same MS Access tool, other provinces are managing their LSEN schools using an MS Excel model or other provincial developed software solution.

By inserting the number of posts (as determined by the MEC after consultations with stakeholders) in the DBE software, individual school establishments are determined.

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The software also allocates the number of promotion posts based on the criteria inserted prior to running the model.

### **5.2.3. Issuing of School Establishments**

School establishments are issued to schools by 30 September. This is achieved in different ways by provincial departments of education. Below are some of the methods used:

1. Print and post the school establishment letters directly to schools.
2. Print and distribute via the District Office.
3. Email to the schools or District Offices.
4. Make the information available via an online portal for schools or districts to download.

Once the school establishments are determined for a province, it creates a new list of educators above the establishment (excess educators). In order for a province to effectively manage down their educators above the establishment, the new establishment must be loaded on PERSAL to allow the province to gain a clear view of the scope of the educators in excess and enable it to manage these down. This process normally starts immediately after the establishments are determined.

### **5.2.4. Educators above the Establishment and Matching and Placing**

While information about educators above the establishment is maintained on PERSAL by the Head Office HR staff, District Officials are assisting with the identification of educators above the establishment and the matching and placing process. This is an on-going process from January up to about June or July of the following year. While some provinces have achieved success in the management of their educators in excess, other provinces have large numbers of educators in excess which is placing a significant burden on the provincial budgeting process.

### **5.2.5. Additional Posts**

It is not possible for the provincial department to plan for unforeseen events such as the growth in learner numbers in January of the new academic year or the need for an National Report: Assessment of National Implementation of Post Provisioning System

additional post at a school based on curriculum needs of the school. For this reason, a number of posts are generally kept aside by the province prior to determining the school establishments.

In January/February of the new academic year, schools then apply for additional posts. These posts are then allocated using the posts set aside for this purpose. Provinces apply different norms in terms of how these posts are allocated.

### **5.3. Summary**

In the above section we have provided a generic overview of the entire post provisioning process. Individual provinces may manage their process differently based on provincial specific needs or challenges.

In Annexure FC-A to Annexure FC-I, we are providing a Flow Chart (FC) for each of the provinces to demonstrate how different provinces manage post provisioning. The province can gain valuable insights by reviewing how other provinces are managing their post provisioning process. This overview should provide some context for the rest of the report.

# 6. Application of Policy

## 6.1. National Policy

The earliest government notice to equalize the distribution of educator posts by the new government was issued in 1998 by Minister SME Bengu (Government Notice 1676 of 1998). This Policy was implemented in 2000.

The 1998 Policy was amended by Government Notice 1451 of 2002 and is the current official Policy that is in place. This is a distributive model meaning that the number of affordable posts is distributed independently of factors such as changes in learner numbers, subject's learners take or the number of schools in the province. The 2002 Policy takes the following factors into account in the distribution of posts:

1. The maximum ideal class size applicable to a specific learning area or phase.
2. Period load of educators.
3. Need to promote a learning area.
4. The size of the school.
5. The number of grades.
6. More than one language of instruction.
7. Disabilities of learners.
8. Access to curriculum.
9. Poverty.
10. Level of funding.

The Department of Basic Education - Action Plan 2014: Towards the Realisation of Schooling 2025 indicates that the post provisioning norms, which determine how many educator posts each school should have, are currently being redesigned in order to take class size into account more explicitly. In particular, the intention is to calculate for each school what its maximum class size should be if curriculum and teaching time policies are implemented correctly. In line with this approach the Council of Education Ministers (CEM) approved changes to the 2002 Policy in 2008. The 2008 CEM decision was, however, never implemented.

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The brief received from DBE for this project is to use the current 2002 Policy (Government Notice 1451 of 2002) as the basis against which provincial implementation of the PPN is to be measured.

The DPT received a document from DBE with the file name “**PPN-Revised**” (Annexure DBE-A) on 1 February 2013. For the purposes of this report this Policy document will be referred to as the “**PPN-Revised Policy**”. The DPT was informed that this is the official National Post Provisioning Policy document and that the primary purpose of this project is to determine whether provinces are managing the Post Provisioning in line with this Policy. This document is not the published Government Gazette.

The DBE has also loaded the Policy document on its website and the DPT downloaded and reviewed this document (Annexure DBE-B). For the purpose of this report this Policy document will be referred to as the “**DBE Website PPN Policy**” (Annexure DBE-B). This Policy document is, however, different to the PPN-Revised Policy. The DPT has requested but has been unsuccessful in obtaining an official Gazette version of the Policy from DBE. It was felt that it is critical to ensure that the DPT review provincial practices against the correct Policy.

The DPT sourced an official Gazette version of the Policy from the South African National Library. For the purposes of this report this Policy will be referred to as the “**Gazette PPN Policy**” (Annexure DBE-G). The Gazette PPN Policy is identical to the DBE Website PPN Policy. The PPN-Revised Policy is, however, significantly different from the Gazette PPN Policy.

The DPT made the decision to measure the provincial implementation of Post Provisioning against the Gazette PPN Policy and not the PPN-Revised Policy received from DBE on 1 February 2013.

DBE has developed a software solution that is being used by all provinces except the Western Cape who developed their own online software system to determine establishments. The DBE Software solution is a stand-alone MS Access database. Relevant data tables prepared by EMIS are imported into the solution. The posts to be

distributed to all schools in the province are entered and the software allocates an establishment to each school.

It is not clear whether the software has been developed based on the Gazette PPN Policy or the Revised PPN-Policy. It is also not clear which of the following scenarios may have developed in 2002 when the new Policy was implemented:

1. DBE intended to publish the PPN-Revised Policy but mistakenly published the Gazette PPN Policy.
2. The DBE published the correct Policy but mistakenly distributed the incorrect PPN-Revised Policy to provinces for implementation.

## **RISK**

1. An environment has been created in the sector where there is a number different version of policies (at least four versions). With staff turnover at provincial level, there is a significant risk that a province may implement an incorrect version of the Policy. Especially in a situation where DBE may even provide the incorrect Policy to the province.

## **RECOMMENDATION**

1. DBE determines which Policy it intended to publish in 2002.
2. DBE to determine whether the National Access database has been developed based on the Gazette Policy document or the Revised-PPN Policy.
3. Should it be found that the Access database has been developed based on the incorrect Policy then DBE should do a review of the impact on provinces should the database be changed to reflect the intent of the Gazette Policy.
4. DBE to ensure that it improves its Policy Development and Management Process.
5. DBE to only distribute official published policies to provinces and not MSWord documents of possibly old or draft versions of policies.
6. Provinces are currently in the process of implementing Post Provisioning for 2014. DBE should carefully consider when to inform provinces about the correct Policy and the guidelines provided with respect to the implementation of the new

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Policy. This recommendation is based on the possible impact on schools should a specific province change from their existing Policy to the current national Policy.

7. It is recommended that 2015 be the earliest date to consider changes as provinces are currently in the middle of the 2014 Post Provisioning Process.

The DPT saw the need to ensure that a deeper understanding is gained as to which Policy provinces are implementing and during the provincial visits requested provinces to provide copies of the Policy they are using.

The DPT managed to obtain the Policy documents from 5 Provinces. There are at least 4 versions of the National Policy in circulation in the country. In the table below we are providing a summary of which versions of the policies provinces said they are implementing.

No	Province	Status	Gazette PPN Policy & DBE Website Policy	Revised PPN-Policy	2008 PPN Draft Policy	Other PPN Version 1
1	EC	Received		Yes	Yes	
2	FS	Not received				
3	GT	Not received				
4	KZN	Not received				
5	LP	Received				Yes
6	MP	Not received				
7	NC	Received		Yes		
8	NW	Received				Yes
9	WC	Received	Yes			
	<b>Count</b>		<b>1</b>	<b>2</b>	<b>1</b>	<b>2</b>

From the provinces that submitted copies of the Policy they are implementing, the Western Cape is the only province that provided the DPT with the Gazette PPN Policy. The WC has also developed its own software to determine establishments. What is not clear, however, is how the Western Cape is determining establishments for LSEN Schools as the Gazette PPN Policy is silent on the weightings to be used for the allocation of posts to this sector. While the Western Cape indicated that they are implementing the Gazette PPN Policy, they may also use certain factors such as learner disability weightings from the Revised-PPN Policy.

The Northern Cape, North West, Eastern Cape and Limpopo have all indicated that they are implementing different versions of the National Policy as demonstrated in the above table. All these provinces, however, indicated that they are using the DBE developed software. If the same software is used then it is unlikely that the provinces are in fact implementing different policies.

All eight provinces that are using the DBE software informed the DPT that they are generally accepting the Policy with the weightings as received from DBE. E.g. weightings are not changed based on provincial specific needs. A brief analysis of some of the weightings in some databases received from some provinces shows however that different weightings are applied.

## COMMENT

1. In our engagements with provinces they generally view the DBE software (those provinces that are using the software) as “the Policy”. At the same time, provinces complain that the National Policy does not sufficiently provide for their Provincial specific needs such as the allocation of posts to small schools.

## RECOMMENDATION

1. There is significant staff turnover in provinces. DBE should consider developing a training manual and training programme for provincial officials that are managing the Post Provisioning Process. The training should include a module dealing with Policy implementation.
2. DBE should also consider developing a training manual for the DBE Software.

### 6.1.1. DBE Policy Versions

An analysis has been done on the differences between the policies that are currently in circulation in the country.

Gazette PPN Policy, DBE Website PPN Policy and PPN-Revised Policy

In the table below we outline the difference between the Gazette PPN Policy and the DBE website Policy on the one hand (these two are identical) and the Revised-PPN Policy. As can be seen, there are significant differences between these policies.

Page	Gazette PPN Policy and DBE Website PPN Policy	Revised-PPN Policy																						
2	<p>Disabilities of learners. These learners require additional support from various categories of personnel. Norms in this regard still need to be determined. For the year 2003 a field-testing project will be conducted that will be aimed at determining norms with regard to the staffing of special and full-service schools and also incorporating schools with special/remedial/aid and/or pre-vocational classes, as well as district support teams. This project will be conducted in a number of districts where the allocation of posts will take place in accordance with the objectives of the field-testing project. In the other districts the status quo will remain for the time being. In order to manage the transformation and field-testing processes, all posts currently allocated to LSEN schools are to be top-sliced from the pool of posts to be distributed by means of the post distribution model. Schools in districts where the field-testing will not take place will retain their current establishments unless circumstances require otherwise. The top-sliced posts currently allocated to LSEN schools, as well as to other institutions or offices in the districts where the field-testing will take place will be allocated on the basis of criteria and outcomes of the field-testing process.</p>	<p><u>Disabilities of learners.</u> These learners require additional support from various categories of personnel. Norms with regard to the provisioning of educator posts, including teaching staff, therapists and psychologists still need to be determined. Until new norms have been determined, the norms for the allocation of educator (teaching staff) posts that applied in terms of the 1998 Post Provisioning Model, as published in Government Gazette No. 119627 on 18 December 1998, as well as the norms that applied in respect of therapist and psychologist posts, will continue to apply except in schools where the allocation is done in terms of a field testing of norms that are in the process of being developed. The weightings that apply to learners for purposes of allocating educator posts in terms of the Post Distribution Model are as follows:</p> <table border="0"> <tr> <td>Specifically Learning Disabled</td> <td>3.0</td> </tr> <tr> <td>Severely Mentally Handicapped</td> <td>3.0</td> </tr> <tr> <td>Epileptic</td> <td>3.0</td> </tr> <tr> <td>Cerebral Palsied</td> <td>4.0</td> </tr> <tr> <td>Physically Disabled</td> <td>4.0</td> </tr> <tr> <td>Severe Behaviour Problems</td> <td>5.0</td> </tr> <tr> <td>Hard of Hearing</td> <td>5.0</td> </tr> <tr> <td>Partially sighted</td> <td>5.0</td> </tr> <tr> <td>Blind</td> <td>5.0</td> </tr> <tr> <td>Deaf</td> <td>5.0</td> </tr> <tr> <td>Autistic</td> <td>6.0</td> </tr> </table> <p>In accordance with specific circumstances in a department, each of the above weightings may be increased, after consultation with trade unions who are members of the ELRC, by between 0% and 20%. It is important to note that the weightings that apply to learners based on their curriculum, school phase, instruction media or the fact that both primary and senior secondary phases are provided for, do not apply to these learners.</p> <p>Learners who are mildly to moderately learning disabled are weighted in terms of the curriculum they follow and not in</p>	Specifically Learning Disabled	3.0	Severely Mentally Handicapped	3.0	Epileptic	3.0	Cerebral Palsied	4.0	Physically Disabled	4.0	Severe Behaviour Problems	5.0	Hard of Hearing	5.0	Partially sighted	5.0	Blind	5.0	Deaf	5.0	Autistic	6.0
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Technical Drawing	27	1	84	100
Woodwork, Metalwork, Industrial Arts, etc.	25	1	84	100
Home Economics, Needlework and clothing	25	1	84	100
Hotel-keeping and Catering	19	1	84	100
Art (Including Design, Painting, Sculpture, etc.)	12	1	84	100
Dance (Ballet, etc.)	12	1	84	100
Music (First Instrument)	6	1	84	100
Music Performance (Second Instrument)	6	1	84	100
Speech and Drama	12	1	84	100
Biology	32	1	84	100
Physical Science	32	1	84	100
Mathematics	38	1	84	100
Computer Studies	28	1	84	100
Typing (Including Computing)	28	1	84	100
Shorthand/Snellskrif	28	1	84	100
All other examinable subjects	38	1	84	100
Provision for non-examinable subjects	38	1	84	100

Note: The values that appear in the table as promotion factors are all set as 1. This means that no provision is made in the table for the promotion of any of these subjects. Should provision be made in policy that a certain subject should be promoted by, say 7%, the value of "1" would become "1,07". The promotion factor per subject should be included in the provincial curriculum policy and would apply equally to all learners counted in the subject.

- A total number of weighted learners is determined in respect of each examinable subject by multiplying the number of learners taking the subject (subject-learners) with the relevant subject-learner weighting (slw). If a subject has a limit in respect of the number or percentage of learners that may take such a subject, all learners exceeding this limit will be subtracted from this number of subject-learners and added to the total number of subject-learners in respect of "all other examinable subjects". If the actual number of learners taking a subject is lower than what is provided as a minimum in order to assist the school to phase in the particular subject, the provided minimum will be counted in respect of the subject concerned. The difference between the provided minimum and the actual number must be subtracted from the number of learners in respect of "all other examinable subjects". A total number of weighted learners for all the examinable subjects is then determined.

- Each learner is allowed to take 6 examinable subjects. If the total value that is obtained by multiplying the number of learners in a particular grade by the number of subjects taken by these learners exceeds 6 times the number of learners, the total weighted learners will be adjusted accordingly.
- Provision is also made for a combination of non-examinable subjects, which, together, are given the same weighting as one "ordinary"

examinable subject.] A total number of non-examinable subject-learners is determined by multiplying the actual number of learners with the non-examinable slw. This is done automatically, irrespective of whether or not learners at a particular school take non-examinable subjects.

- A total number of weighted learners is then determined by adding the total numbers of examinable and non-examinable weighted learners together.

$$wl(A) = (2 \times (40/37 \times 1/0.84 \times 4.5/27.5) + (40/35 \times 1/0.84 \times 4.5/27.5) + (40/37 \times 1/0.84 \times 2/27.5)) \times l_g$$

$$= 0.7374 \times l_g$$

- In respect of Group B subjects, each learner may take any 3 subjects. Therefore, the maximum number of learner-subject combinations in respect of the various subjects in Group B ( $n_m$ ), in respect of a particular grade in a school is 3 times the actual number of learners in that grade ( $3 \times l_g$ ). The calculation of the total weighting of learners in a particular grade in respect of Group B subjects is done as follows:
  - In respect of each subject listed under Group B (excluding "all other Group B subjects"), calculate the weighted learners by means of the formula  $slw = 40/m \times p/l \times f \times t/27.5 \times$  number of learners taking the subject. By adding the values of swl for all these subjects a value for swl(1) is obtained.
  - If the total number of subject-learner combinations ( $n_t$ ) used for the calculation in (a) is less than the maximum number of subject-learner combinations ( $n_m$ ) that can apply, determine the value of  $n_d = n_m - n_t$ .
  - Calculate  $slw(2) = n_d \times 40/37 \times 1/0.84 \times 4/27.5 = n_d \times 0.1872$ .
  - The total number of weighted learners for the grade in respect of Group B subjects is  $slw(B) = slw(1) + slw(2)$ .
  - If the total number of learner-subject combinations ( $n_t$ ) used for the calculation in (a) is higher than the maximum number of learners ( $n_m$ ) that can apply, adjust the value swl(1) calculated in (a) above by multiplying it with  $n_d/n_m$  to obtain a value for wl(B).

- A total number of weighted learners for the particular grade is then determined as  $wl(A) + wl(B)$ .

The following norms apply:

Subject	Ideal maximum class size	Promotion factor	Period load (%)	Time allocation	Funding level (%)
	(m)	(p)	(l)	(t)	(f)
<b>Group A</b>					
Official languages	37	1	84	4,5	100
Mathematics or Mathematical Literacy	35	1	84	4,5	100
Life Orientation	37	1	84	2,0	100
<b>Group B</b>					
Agricultural Management Practices	15	1	84	4	100
Agricultural Technology	15	1	84	4	100
Agricultural Science	37	1	84	4	100
Dance Studies	15	1	84	4	100
Design	12	1	84	4	100
Dramatic Arts	12	1	84	4	100

Page	Gazette PPN Policy and DBE Website PPN Policy	Revised-PPN Policy																																																																														
		<table border="1" data-bbox="932 338 1497 659"> <tr><td>Music</td><td>6</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Visual Arts</td><td>12</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Civil Technology</td><td>15</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Electrical Technology</td><td>20</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Mechanical Technology</td><td>15</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Engineering Graphics and Design</td><td>15</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Computer Applications Technology</td><td>25</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Information Technology</td><td>25</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Life Sciences</td><td>32</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Physical Sciences</td><td>30</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Consumer Studies</td><td>25</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>Hospitality Studies</td><td>20</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> <tr><td>All other Group B subjects</td><td>37</td><td>1</td><td>84</td><td>4</td><td>100</td></tr> </table> <p data-bbox="932 695 1497 842">Note: The values that appear in the table as promotion factors are all set as 1. This means that no provision is made in the table for the promotion of any of these subjects. Should provision be made in policy that a certain subject should be promoted by, say 7%, the value of "1" would become "1,07". The promotion factor per subject should be included in the provincial curriculum policy and would apply equally to all learners counted in the subject.</p>	Music	6	1	84	4	100	Visual Arts	12	1	84	4	100	Civil Technology	15	1	84	4	100	Electrical Technology	20	1	84	4	100	Mechanical Technology	15	1	84	4	100	Engineering Graphics and Design	15	1	84	4	100	Computer Applications Technology	25	1	84	4	100	Information Technology	25	1	84	4	100	Life Sciences	32	1	84	4	100	Physical Sciences	30	1	84	4	100	Consumer Studies	25	1	84	4	100	Hospitality Studies	20	1	84	4	100	All other Group B subjects	37	1	84	4	100
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7	<p data-bbox="293 1062 591 1087"><b>PHASING IN OF THE MODEL</b></p> <p data-bbox="293 1119 886 1528">7. The total effect that the implementation of the model has on the post allocations to individual schools should be phased in over a reasonable period. In phasing in the effects of the model, heads of departments should take into account all relevant factors that apply. These factors include the importance of maintaining stability in schools, the employment interests of educators and the need to provide classrooms, equipment and other facilities that schools require in terms of their curricula and their numbers of learners and posts.</p>																																																																															
8	<p data-bbox="293 1560 634 1585"><b>TRANSITIONAL ARRANGEMENT</b></p> <p data-bbox="293 1612 886 1707">10. For the 2003 school year, departments must communicate final or interim staff establishments of schools on or before 1 January 2003.</p>																																																																															

# 7. Strategic Document Review

The following provincial strategic documents were reviewed in all provinces:

1. Annual Performance Plans.
2. Annual Reports

These reports were mostly completed for the 2011/2012 financial year. Reports prior to 2011 were considered in the event that the latest strategic documents were not accessible.

Reference is made in most Annual Reports to the Department of Basic Education - Action Plan 2014: Towards the Realisation of Schooling 2025.

The two Programmes that this study focuses on are:

1. Programme 2: Public Ordinary schools.
2. Programme 4: Public LSEN School Education.

There is a distinction between national performance indicators (PM) and provincial performance indicators (PPM). Most provinces align their PPMs to PMs to ensure alignment between provincial and national performance indicators.

The one national performance indicator that refers to public ordinary schools is PM 202: Number of educators employed in public ordinary schools. This performance indicator also relates to post provisioning.

The purpose of Programme 4 is to provide compulsory public education in LSEN Schools in accordance with the South African Schools Act and White Paper 6 on Special Needs Education: Building an Inclusive Education and Training System

Although the mentioned strategic documents were reviewed in all provinces, it must be noted that reference to post provisioning is, however, not substantially evident in it.

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## 8. Affordable Post Establishment

One of the key features of the Post Provisioning Policy is that it is a distributive Policy based on the concept of weighted learners. An Affordable Post Establishment (APE) as determined by the MEC in consultation with Labour must be distributed to schools equitably independently of the budget available in a year or the number of learners in a province.

In terms of the National Norms and Standards for School Funding (NNSSF) Annexure DBE-C, the Ministry of Education has determined that Personnel versus Non-personnel spending in ordinary public schools should be of the order of 80:20. Within the total personnel allocation, educator personnel costs should be targeted at 85% and support staff (Public Servants) at 15%.

The basis for the 80:20 Personnel versus Non-personnel split is to ensure that provinces do set aside sufficient funding for Non-Personnel expenditure items towards delivery of quality education. The same applies with respect to the 85:15 educator and Public Servant split, e.g. ensuring that a province has sufficient Public Service staff to support the education delivery processes. In the table below is the Minister's response to a parliamentary question with respect to the Personnel versus Non-personnel expenditure.

Provinces	2010/11 Ratio/Percentage	2011/12 Ratio/Percentage	2012/13 Ratio/Percentage
Eastern Cape	84:16	89:11	90:10
Free State	85:15	86:14	89:11
Gauteng	79:21	80:20	81:9
KwaZulu-Natal	89:11	83:17	84:16
Limpopo	86:14	91:9	93:7

Provinces	2010/11 Ratio/Percentage	2011/12 Ratio/Percentage	2012/13 Ratio/Percentage
Mpumalanga	85:15	87:13	87:13
Northern Cape	82:18	83:17	87:13
North West	84:16	86:14	86:14
Western Cape	83:17	83:17	83:17
<b>Total</b>	83:17	85:15	86:14
Ratio refers Personnel v/s non personnel of employees (Conditional grants are excluded from calculations).			

As can be seen in the above table, most provinces are spending more on Compensation of Employees with the lowest expenditure being Gauteng Province (GT) at 81% followed by the Western Cape (WC) at 83%.

For the purpose of this report the concept **Affordable Post Establishment (AFP)** does not refer to the actual number of posts identified for Post Provisioning by a province but rather whether a province has determined an AFP in line with the intent of NNSSF, E.g. in determining the funding to be allocated for Educator posts, a province has put aside sufficient finding for Non-personnel expenditure as well as Public Service staff expenditure.

We found that there is a correct understanding in provinces of the need to first determine the Personnel versus Non-personnel split and then the Educator versus Public Servant split. In fact, most provinces have developed detailed spreadsheets and demonstrated to the DPT the various factors they are considering in determining the number of posts that the province can afford. Also included in this process is the methodology of how to determine the average cost of an educator.

While much analysis is done by some provinces with respect to the above all of this is superseded by the province then either selecting a LER ratio or determining the establishment based on the existing number of educators in the system.

There are generally three methodologies provinces are following to determining the number of educators:

1. Scenario 1
  - a. Determine the Personnel versus Non-personnel budget split.
  - b. Determine the Educator versus Public Servant budget split.
  - c. Determine the average cost of an educator.
  - d. Divide the Educator budget by the average cost of an Educator.
  
2. Scenario 2
  - a. Determine the number of learners in the province.
  - b. Determine a set LER ratio.
  - c. Divide the learners by the ratio to determine the number of posts required.
  - d. Multiply the number of posts with the average cost of an educator.
  - e. Make the budget determined in this way available for educator posts.
  
3. Scenario 3
  - a. Determine the number of educators currently employed.
  - b. Try to maintain the status quo by determining the number of posts for the following year's establishments based on the current employed staff.
  - c. Determine the average cost of an educator.
  - d. Make a budget available based on multiplying the current educators by the average cost of an educator.

The Gauteng and the Western Cape are the only two provinces that have demonstrated success in implementing Scenario 1 above. All other provinces are either implementing Scenario 2 or Scenario 3. In the table below we provide a summary of the nine provinces.

No	Province	Allocate Affordable basket	Scenario 1	Scenario 2	Scenario 3
1	EC	No			Yes
2	FS	No		Yes	
3	GT	Yes	Yes		
4	KZN	No			Yes
5	LP	No			Yes
6	MP	No			Yes
7	NC	No		Yes	
8	NW	No		Yes	
9	WC	Yes	Yes		
	<b>Count</b>		<b>2</b>	<b>3</b>	<b>4</b>

### COMMENT

1. Where Provinces are selecting Scenario 2 and 3 above it is primarily due to pressure by unions to maintain a specific LER ratio.

### CONCERN

1. The PPN Policy is a distributive Policy and is not based on a specific LER ratio. Where provinces are selecting a LER ratio when determining the number of posts for distribution they are not adhering to the intent of the Policy.
2. This methodology can have severe implications for those provinces where increases in learners are experienced. In these provinces there is continuous increased pressure on the budget.

## RECOMMENDATION

1. Where a province is not experiencing learner increases but rather a decrease in learner numbers, the province should consider rather implementing Scenario 1 as the basis for determining establishments and not decreasing the LER ratio. This is to ensure that when learner numbers stabilise or increase the Scenario 1 practice has been established in the province.

### 8.1.1. Distributing an Unaffordable Post Establishment (UPE)

In the discussion above, we have clarified our understanding of the concept APE.

In this section we hope to demonstrate insights gained where provinces are determining and distributing an **Unaffordable Post Establishment (UPE)**. We are linking to this discussion the concept of an **Affordable School Establishment (ASE)** and an **Unaffordable School Establishment (USE)**. For the purpose of this report a School Establishment is viewed as the written authority given to the principal and SGB of a school by the province to make appointments in line with the number of posts as per the Establishment letter issued to the school by 30 September of the previous year.

#### Example 1:

Assume that a province has 500 schools and has determined an APE (as per our definition in the previous section) of 10,000 posts for the 2013 school year. When the PPN model is run, **School A** receives 20 educators in their ASE letter. This ASE letter is the legal authority allowing the principal to appoint up to (but not beyond) the number of educators as indicated in the ASE letter. Should the school already have 20 educators, then no additional educators can be appointed.

While the ASE letter is provided to the school for a year, there may be natural attrition at **School A** and 5 educators may leave the school for the following possible reasons:

1. One Educator retires;
2. One Educator moves to another province;
3. One Educator is promoted to an HoD position at another school;
4. One Educator dies; and
5. One Educator is appointed at the District Office.

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While the principal may have to follow provincial guidelines in appointing 5 new educators to replace these educators that left the school, he/she does not have to seek approval from the provincial department to appoint the educators as this is already provided for within the ASE letter.

### **Example 2:**

Assume that a province has 500 schools and has determined an **Unaffordable Post Establishment (UPE)** of 12,500 for the 2013 school year. When the PPN model is run, **School B** receives 25 educators in their **Unaffordable School Establishment (USE)** letter. This USE letter is the legal authority allowing the principal to appoint up to (but not beyond) the number of educators as indicated in the USE letter. Should the school already have 25 educators, then no additional educators can be appointed.

While the **USE** letter is provided to the school for a year, there may be natural attrition at **School B** and 5 educators may leave the school for the following possible reasons:

1. One Educator retires;
2. One Educator moves to another province;
3. One Educator is promoted to an HoD position at another school;
4. One Educator dies; and
5. One Educator is appointed at the District Office.

While the principal may have to follow provincial guidelines in appointing 5 new educators to replace these educators that left the school, he/she does not have to ask for approval from the provincial department to appoint the educators as this is already provided for within the USE letter.

### **Implication of Example 2**

What is totally hidden for the province and the school principal in Example 2 is the fact that the actual **ASE** is 20 and not 25. In this example the province does not only provide the school with the initial authority to maintain 5 educators that is not affordable but the province also provides the school with the authority to, in the case of natural attrition, replace the educators beyond what the province can afford, without consulting the province.

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## COMMENT

1. Provinces generally do not have the above understanding of what the distribution of an UPE means as outlined in the two examples above.
2. Based on the current reality, it is unlikely that provinces will be able to move from an UPE to an APE unless current processes and practices are re-evaluated.

## RECOMMENDATION

1. The sector considers making visible to both schools principals, SGB members, district officials and relevant Head office officials an individual school's APE and its UPE.
2. The sector follows a phased approach where schools are moving towards understanding their APE should they currently be above their APE.

### 8.2. Sector Understanding of Excesses Educators

Another area that is impacted on significantly by the distribution of an UPE is Excess Educators. At least 7 of the 9 provinces are currently distributing an UPE. As has been demonstrated above, the sector does not have an understanding at an individual school level of the ASE.

The sector is putting significant effort into managing what we are calling excess educators based on the UPE or at a school level the USE. It seems, however, as if the sector is blind to the APE and the ASE with respect to excess educators. No records are kept or decisions taken in any provinces based on the APE and ASE.

The brief received from DBE for this study is to gain an understanding of provincial practices and not to focus on data analysis. While we have not done any analysis, our hypothesis is that as the value of a province's UPE increase, the difference between the number of excess educators based on the UPE and the APE of the province will also increase.

Put differently, in provinces such as KZN and the EC where there are thousands of excess educators that the provincial department is trying to match and place annually. There may be many more thousands of excess educators the province is currently not

aware of that should in fact be matched placed. The reason why the provinces are blind to these educators is due to the fact that the whole sector is blind to the issue of an ASE at school level.

## **RECOMMENDATION**

1. The DBE should consider identifying one or two provinces and determining the number of excess educators in a given year when viewed against an UPE and an APE. The UPE should be the current norm applied by the province while the APE should be based on the application of the 80:20 and the 85:15 principles.
2. Should the hypothesis of the DPT be correct then DBE should consider how this understanding can become visible in the sector and how current management processes can be improved to take this consideration into account.

# 9. Educator Supply and Demand

One of the core functions in the Post Provisioning Process is that of Matching and Placing. It entails identifying areas of demand (vacant posts, curriculum requirements) and areas of supply (educators in excess of the establishment), and then attempting to redeploy the identified excess educators to the areas of demand.

## 9.1. Inherent Problems

There are a number of problems inherent to this approach. The factors which lead to a school having a vacancy are not the same factors which lead to a school having excess educators. Given that both pools (vacancies and excesses) are relatively small, with different driving factors, it stands to reason that the two pools will be far from perfectly suited for each other.

This is evident in the type of challenges advanced as impediments to the process in every Province.

1. The educator identified as excess:
  - May have been identified through mismanagement of the process.
  - May not be happy to have been so identified.
  - May not be willing to be redeployed.
  - May not have qualifications suitable to the vacant posts available.
  - Is almost certainly likely to be qualified in a subject for which there was an oversupply of educators at the school, or even in the province.
  - May feel that their job security is under threat.
  - May be emotionally stressed by the process.

2. The fact that the educator was selected at all leads to perceptions that the educator:
  - Was unwanted.
  - Is a troublemaker.
  - Is a poor teacher.
  - Is a Union member.
  
3. It is difficult to convince the few excess educators who are suitably qualified to:
  - Move to a school in a distant community.
  - Relocate their families.
  - Spend money on commuting, moving, relocating when they didn't want to move in the first place.
  
4. Then there are problems with convincing the receiving school to accept a candidate they:
  - May not have selected them.
  - May consider unsuitable for their particular school milieu.
  - May consider inferior to a third party who has volunteered (but is not an excess educator).
  
5. Schools battle with the issue due to:
  - Having to manage a complex process during what is usually exam time, when they are busy.
  - Principals either not understanding the process or abusing the process.

## **9.2. Incentives as an Option:**

The root problem is that the pool of candidates being considered for the available vacancies is inherently limited, in that only the excess educators are being considered. Should the pool of educators being considered be significantly larger, then it would be

much easier to find willing candidates, and the recipient schools would be in a better position to select what they perceived to be good candidates.

The issue then shifts to communicating the vacancy need to as broad an audience as possible. Provinces have reported that vacancy lists generally do not result in a flood of applications. However, we believe that such lists would be better received if accompanied by significant incentives.

You can remove this problem by completely doing away with the notion of having to individually identify excess educators in the first place. It should be enough for the school to know that its establishment is in excess by a certain value and that this therefore limits appointments of new or replacement educators.

One of the biggest drawbacks to the current system is that educators feel forced into the process. Largely, they do not want to be told they are in excess, told they have to move, told which school they are being redeployed to, told which area they have to go work or live in.

The aim should be to make mobility a positive feature. Educators should want to move. They should feel comfortable that being an educator at a school where the number of permanently employed educators is more than the establishment received from the Provincial department.

The department should turn this around, by giving schools and educators control of their own destiny. All that the department should do is to put in place the mechanisms to manage the process, rather than to attempt to control it.

With respect to providing incentives to educators to move to a school in need, the following can be considered:

- Educators are not identified as being in excess. Only schools are identified that may have educators above the establishments.
- Provincial departments can then maintain an online database of educators indicating their willingness to teach in a specific geographic area.
- Incentives can be a % of an educator annual salary paid over a period of 3 to 5 years (the period agreed that the educator must stay at the school or a group of

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schools within a specific geographic area). This is paid to the educator on a monthly basis.

- Consideration can also be given to allocate these teachers not to a particular school but to a group of schools or even to the nearest district office. This opens the possibility to share scarce skills teachers amongst schools.
- Consideration can also be given to provide incentives to receiving schools if they take on an educator from a school with educators above the establishment. This can be an agreed once off payment with clear guidelines of what the funding may be used for.

## RECOMMENDATION

1. The desired outcome of any new system would be to encourage appropriately qualified educators who are at schools with an oversupply of educators, to want to take up positions where there is a demand for educators.
2. The goal is that Educators with good qualifications who are teaching at schools where the number of permanently employed educators are above the establishment must feel encouraged to want to teach high value subjects at poor rural schools in remote districts, rather than lower valued subjects offered at rich peri-urban school in the same district. This can be achieved by DBE considering an incentive system.
3. The possible advantages of this approach are:
  - a. No need to identify educators in excess.
  - b. Annual strain on educators about the possibility of being identified as an excess educator is removed.
  - c. Management of this process will be simplified.
  - d. Schools are identified as having excess educators.
  - e. All educators at such schools become potential candidates to move to another school.
  - f. Educators willing to move can be incentivised based on agreed criteria.

g. Receiving schools willing to accept Educators at schools where there are excesses can also be incentivised.

# 10. LSEN Schools

There are significant difference between the **Gazette PPN Policy** and the **PPN-Revised Policy**. In the table below the differences between the two policies are demonstrated.

Page	Gazette PPN Policy	Revised-PPN Policy																						
2	<p><b>Disabilities of learners.</b> These learners require additional support from various categories of personnel. Norms in this regard still need to be determined. For the year 2003 a field-testing project will be conducted that will be aimed at determining norms with regard to the staffing of special and full-service schools and also incorporating schools with special/remedial/aid and/or pre-vocational classes, as well as district support teams. This project will be conducted in a number of districts where the allocation of posts will take place in accordance with the Objectives of the field-testing project. In the other districts the status quo will remain for the time being. In order to manage the transformation and field-testing processes, all posts currently allocated to LSEN schools are To be top-sliced from the pool of posts to be distributed by means of the post distribution model. Schools in districts where the field-testing will not take place will retain their current establishments unless circumstances Require otherwise. The top-sliced posts currently allocated to LSEN schools, as well as to other institutions</p>	<p><b>Disabilities of learners.</b> These learners require additional support from various categories of personnel. Norms with regard to the provisioning of educator posts, including teaching staff, therapists and psychologists still need to be determined. Until new norms have been determined, the norms for the allocation of educator (teaching staff) posts that applied in terms of the 1998 Post Provisioning Model, as published in Government Gazette No. 119627 on 18 December 1998, as well as the norms that applied in respect of therapist and psychologist posts, will continue to apply except in schools where the allocation is done in terms of a field testing of norms that are in the process of being developed. The weightings that apply to learners for purposes of allocating educator posts in terms of the Post Distribution Model are as follows:</p> <table border="0"> <tr> <td>Specifically Learning Disabled</td> <td>3.0</td> </tr> <tr> <td>Severely Mentally Handicapped</td> <td>3.0</td> </tr> <tr> <td>Epileptic</td> <td>3.0</td> </tr> <tr> <td>Cerebral Palsied</td> <td>4.0</td> </tr> <tr> <td>Physically Disabled</td> <td>4.0</td> </tr> <tr> <td>Severe Behaviour Problems</td> <td>5.0</td> </tr> <tr> <td>Hard of Hearing</td> <td>5.0</td> </tr> <tr> <td>Partially sighted</td> <td>5.0</td> </tr> <tr> <td>Blind</td> <td>5.0</td> </tr> <tr> <td>Deaf</td> <td>5.0</td> </tr> <tr> <td>Autistic</td> <td>6.0</td> </tr> </table> <p>In accordance with specific circumstances in a department, each of the above weightings may be increased, after consultation with trade unions who are members of the ELRC, by between 0% and 20%. It is important to note that the weightings that apply to learners based on their curriculum, school phase, instruction media or the fact that both primary and senior secondary phases are provided for, do not apply to these learners.</p> <p>Learners who are mildly to moderately learning disabled are weighted in terms of the curriculum they follow and not in terms of their disability. If they are accommodated in so-called LSEN Schools where they receive vocational training, they are counted as 2.5 weighted learners each.</p>	Specifically Learning Disabled	3.0	Severely Mentally Handicapped	3.0	Epileptic	3.0	Cerebral Palsied	4.0	Physically Disabled	4.0	Severe Behaviour Problems	5.0	Hard of Hearing	5.0	Partially sighted	5.0	Blind	5.0	Deaf	5.0	Autistic	6.0
Specifically Learning Disabled	3.0																							
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Blind	5.0																							
Deaf	5.0																							
Autistic	6.0																							

Page	Gazette PPN Policy	Revised-PPN Policy
	or offices in the districts where the field-testing will take place will be allocated on the basis of criteria and outcomes of the field-testing process.	

### **Gazette PPN**

In terms of the **Gazette PPN Policy** there are no norms for the LSEN School sector. The DBE planned to conduct field-testing in 2003 with the aim to determine norms for the sector. The field-testing was to be done only in certain districts. Guidance provided by the Gazette PPN Policy is that provinces had to top-slice posts from the global Provincial Basket for the LSEN School Sector based on their current establishments unless circumstances require otherwise. The intent of the Policy is understood to be to manage the establishment process of the sector based on the results of the field-testing process.

### **PPN-Revised Policy**

While the **PPN-Revised Policy** also noted that norms with regard to the provisioning of educator posts at LSEN Schools still need to be determined, it provides weightings that apply to learners for the purposes of allocating educator posts. This Policy is silent on the issue of maintaining the status quo based on the outcomes of the field-testing and the interpretation of the intent of this Policy is that LSEN School establishments must be issued annually based on the disability weightings as indicated in the Policy.

### **DBE Software**

The DBE software has been developed based on the PPN-Revised Policy and not the Gazette PPN-Policy. The disability weightings as outlined in the PPN-Revised Policy have been included in the software. Provinces are, however, dealing differently with respect to how they manage the establishments of LSEN Schools.

### 10.1.1. Managing LSEN School Establishments

#### NW, GT, EC and WC

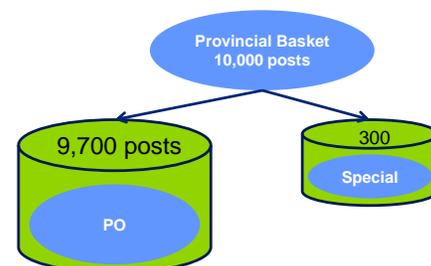
These provinces are implementing a combination of the two policies. Establishments are issued annually and a number of posts are top-sliced. In the case of GT and EC, they are using the DBE software to run the establishments (separately from Ordinary Schools) while NW and WC have developed their own software to determine establishments.

#### KZN, MP, LP, NC, FS

These provinces are all managing their LSEN School Establishments in combination with the Ordinary School Establishments as one process using the DBE software. While this methodology is not in line with the **Gazette PPN Policy**, it is in line with the **PPN-Revised Policy** which DBE views as the correct Policy.

### 10.1.2. Challenges Noted by Provinces

The LSEN School sector is relatively small when compared with the Ordinary School sector as demonstrated in the graphic. Provinces that are distributing one basket using the DBE software have noted the following two areas of concern:



1. Due to the fact that the Public Ordinary sector is so much larger than the LSEN School sector, a small increase in learner numbers in the Public Ordinary sector or decrease in the global basket impacts significantly on the LSEN School sector where a small % loss in posts is a large % in terms of the size of the LSEN School sector.
2. Provinces also complained that distributing the posts via the DBE software advantages the Public Ordinary sector at the expense of the LSEN School sector.

## CONCERN

1. The Policy environment with respect to the LSEN School sector is contradictory.
2. Earlier in this report it is noted that it is not clear whether the **Gazette PPN Policy** or the **PPN-Revise Policy** is the Policy that has been intended by DBE to implement. This matter is specifically relevant with respect to the LSEN School sector.

## RECOMMENDATION

1. Guidance should be provided to the LSEN Schools sector once the clarity has been obtained by DBE with respect to the Policy environment.
2. The DPT is of the view that **KZN, MP, LP, NC; FS** should consider managing the Establishments of LSEN Schools either outside the DBE software or separately within the DBE software. There is limited or low risk in impacting negatively on the sector if the current year's posts distributed to the sector are used as the bases for determines the next year's establishments. This recommendation should create more stability in the sector.

# 11. Poverty Redress

One of the key areas where the 2002 Policy improved on the 1998 Policy is the allocation of posts based on the poverty ranking of schools. In terms of Section 5(a) and (b) the total number of weighted learners in each school is adjusted in terms of the poverty ranking of a school. In terms of the Policy, the HOD must set aside a percentage of posts between 0% and 5% of the total basket of posts. This is to be determined based on the department's relative level of internal inequality.

The Policy further states that the redress posts are to be distributed based on the relative poverty of learners using an appropriate index within the framework of the indices utilized by the province in the National Norms and Standards for School Funding.

The **Gazette PPN Policy** and the **PPN-Revised Policy** are identical with respect to the above areas except for the table on which the actual redistribution of the posts (between 0% and 5%) are allocated. In the table below we provide a summary of the difference between the two policies.

No	School Quintiles	Gazette PPN Policy Allocation from redress pool of posts	PPN-Revised Policy Allocation from redress pool of posts
1	Poorest 20%	35% of posts	30% of posts
2	Next 20%	25% of posts	27.5% of posts
3	Next 20%	20% of posts	22.5% of posts
4	Next 20%	15% of posts	15% of posts
5	Least Poor 20%	5% of posts	5% of posts

All provinces, except the Western Cape, are using the DBE developed software to determine their establishments. While the DPT has only received Policy documents from 5 Provinces, 8 of the 9 Provinces are using the DBE software to calculate their establishments.

The DBE Post Provisioning software has a poverty redress module which is based on redistributing a percentage of posts according to provincial quintiles. This is based on the PPN-Revised Policy. The Western Cape is the only province that is allocating its redress posts based on the Gazette PPN Policy % allocation.

Should the province be using national quintiles, then this redistribution may not be according to the exact stipulation of the Post Provisioning Policy.

In terms of the Policy, provinces are to consider the internal inequality of the schools in the province when they decide on the percentage of poverty posts to allocate. As provinces are generally just accepting the DBE percentage as received in the software, internal provincial inequality is not generally considered.

The original PPN Policy was developed to be in line with the Norms and Standard Funding Policy based on the percentage learners per quintiles as well as the Gazette PPN Policy split of posts allocations. Since the development of national quintiles some provincial officials noted that they require some guidance with respect to using national or provincial quintiles to determine the poverty allocations.

## **CONCERN**

1. The Gazette PPN Policy and the PPN-Revised Policy are not aligned with respect to the poverty percentage distribution across quintiles.
2. Some Provinces are not sure of the intent of the Policy with respect of whether the allocation must be based on provincial or national poverty ranking.

## **RECOMMENDATION**

1. If the Gazette PPN Policy is accepted as the correct Policy, then all provinces except the Western Cape are implementing the wrong percentage split across

quintiles. The DBE should update the software and re-issue the national software.

2. DBE should consider this change for the 2015 establishments and not the 2014 establishments as provinces are currently already in the middle of the process of determining the 214 establishments.

## 12. *Ad Hoc* Allocation

The following provision for the allocation of *ad hoc* posts is allowed for in the Policy:

**“Ad Hoc factors:** Certain factors that are not considered above, such as an unexpected growth in learner numbers, may exist at a particular school and may justify the allocation of additional posts to such a school. These posts must be allocated from an additional pool of posts that need to be created for this purpose”.

The factors referred to in the above paragraph are noted in detail in the Policy and are listed below:

1. The maximum ideal class size applicable to a specific learning area or phase:
2. Period load of educators.
3. Need to promote a learning area.
4. The size of the school.
5. The number of grades.
6. More than one language of instruction.
7. Disabilities of learners.
8. Access to curriculum.
9. Poverty.
10. Level of funding.

In the *Ad Hoc* provision in the Policy, growth in learner numbers is noted as a factor that can be considered. The interpretation by the DPT is that the following are also areas where this provision can be applied:

1. New schools.
2. Excess posts.
3. Substitutes.

In workshops with provinces it was found that this provision in the Policy is used for a range of areas where it is felt that schools should receive additional allocations. These are:

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1. Specific curriculum needs.
  2. Posts for Foundation Phase.
  3. Posts for Small schools.
  4. Focus schools (e.g. maths, art, etc.).
  5. Addressing LSEN School's needs.
  6. Posts for small high schools.
  7. Technical schools.
  8. Maintaining a specific maximum provincial ratio
6. The general feedback received from provinces is that the current Policy does not provide sufficiently for certain areas such as indicated in the list above and that there is a need for the province to make these *ad hoc* allocations to address a specific provincial need.

#### COMMENT

1. Almost all provinces that are using the DBE software indicated that they are not changing any of the weightings in the DBE software that would allow them to address some of the areas above.
2. Provinces would generally inform the DPT that they are running the model with the weightings as determined by DBE and generally could not report in the workshops on what the weightings were.

#### CONCERN

1. Provinces have not considered the variables they are allowed to change to address their specific needs.
2. Provinces did not make changes to the weightings that would at least have addressed some of their provincial specific needs.

#### RECOMMENDATION

1. Prior to allocating *ad hoc* posts to schools, provincial departments should determine whether they have set the weightings for their province at the appropriate level to deal with their provincial concern.

2. Provinces noted that in some cases Schools receive Staff Establishments with unacceptable high LER ratios. DBE should consider doing an analysis of the allocations of a province or a sample of provinces to determine if this is a real concern. If so, then there is a need to take this into consideration when the Policy is reviewed.
3. DBE should develop a training manual for the Post Provisioning software and provide training to provincial officials on the use of the software. This is to be done in conjunction with the development of a training manual on the entire post provisioning process. A number of officials noted this as a real and immediate need.

# 13. Promotion Posts

Both the Gazette PPN Policy and the PPN-Revised Policy are silent on the criteria to be used in allocating promotion posts to schools. In Section 2.3 of the Personnel Administrative Measures (PAM) guidance is provided on how promotion posts are to be determined (See the table below).

No	Post Level	Ratio per 1 000 Educators
1	1	697,20
2	2	182,20
3	3	84,50
4	4	34,20
5	5	0,95
6	6	0,95

## DBE Software

Within the DBE supplied software, there are tables which specify the conditions under which promotion posts are allocated. The tool allows provinces to specify a maximum number of posts, and provides a matrix for provinces to specify how many promotion posts are allowed for a given size of establishment.

Typically, the setting would be along the lines of:

- First HoD allocated at post number 6.
- Second HoD allocated at post number 12.
- Third HoD allocated at post number 18.
- Etc.

## Provincial Variation:

While norms are provided in the PAM policy, Provinces may decide to vary the settings. Generally, when such a decision is taken, the rationale is to limit the number of promotion posts allocated, in an attempt to save on the compensation budget. No province forwarded a rationale based on curriculum requirements or administration needs.

The tables below show the settings in the blank tool supplied by the DBE, as well as the settings of five provinces where the information has been supplied.

School Type	DBE Tool		NW Database		NC Database		WC (WebFocus)		Mpumalanga		Limpopo	
	Deputy	Hod	Deputy	Hod	Deputy	Hod	Deputy	Hod	Deputy	Hod	Deputy	Hod
Primary	14	5	13	5	14	6	13	5	15	6	15	6
	29	12	26	8	27	9	26	8	31	12	30	13
		19		18		19		18		18		20
		26		22		23		22		24		27
		33				30		30		30		
										36		max of 7
Secondary		39				36		34		42		max of 9
		45				42		38		48		
		51				48		42		54		
		57				54		47		60		
										66		
										72		

The two provinces with the most restrictive assignments above are:

- North West, with a maximum of 4 HoD regardless of school size.
- Limpopo, with a maximum of 9 HoDs (7 at primary schools).
- Limpopo also has the largest intervals (number of posts required) before allocating HoDs.
- Information from the other four provinces was not provided.

Where provinces adjust their norms, it is generally adjusted downwards. E.g. new norms are determined that will provide fewer HoD posts and Deputy Principal Posts. The motivation, it appears, are to save on compensation budgets. Provinces would indicate for example that by having fewer of the more expensive promotion posts they will be able to distribute more post level teacher posts.

HoDs and Deputy Principals would generally make up the Senior Management Team at schools. The administrative burden at large schools will be divided between a small number of educators, which can lead to inefficiency as well as frustration amongst the members affected.

Furthermore, HoDs and Deputy Principals are the first line of support to educators in the delivery of curriculum. By imposing severe restrictions, it can have a direct impact on curriculum delivery. Firstly, it will be less likely that each subject can have at least one HoD experienced or qualified in that subject. Thus educators could find themselves in the position of having a HoD that does not understand their subjects, or experienced educators will have to take on the burden of the HoD role without the benefits.

Provinces would generally agree on the above norms in the PELRC chamber. From the discussions with provinces the DPT did not gain the impression that these PELRC decisions are ratified at the ELRC.

## COMMENT

1. Provinces with restrictive promotion post norms will most likely experience growing resistance from senior or more experienced educators, when these educators discover that promotion paths are blocked to them. It could then lead to an exodus of experienced educators to other provinces or even out of the profession.
2. Where provinces adjust their norms downwards these province will over time build up a preponderance of Post Level 1 educators. This will serve to lower the average cost of an educator in the province creating an illusion that the province can employ more educators. The illusion will evaporate should there be pressure to promote large numbers of educators, and the compensation budget balloons.

## RECOMMENDATION

1. There is a need for the sector to re-evaluate the business processes between PELRC and ELRC.
2. The adjustment of promotion posts norms downwards due to financial constraints and the need to make available more post level 1 post are to be considered a

risk in the sector with respect Provincial Department and DBE's focus to improve governance at school level.

# 14. Data Management

The provincial department should communicate the adjustment of a Staff Establishment, as far as possible, on or before 30 September of the preceding year. In some cases the development of the 2013 Establishments started as early as November or December 2011 when provinces were getting ready to finalize the Annual School Surveys (ASS). While the PPN Policy is silent on the data source for the determination of Staff Establishments, the Annual Survey is the only national data collection process through which the required information to manage the Post Provisioning process is collected.

Much of the processes of determining the Staff Establishments of schools happen at the Head Office of a Provincial Department of Education. These are processes such as data modeling, meetings, consultations and the sharing of information across units.

It is only the initial process that starts with the EMIS unit that is dependent on support from beyond the Provincial Head Office. EMIS units generally have to manage these key activities:

1. Agree with DBE on the final Annual School Survey form.
2. Distribute ASS or SASAMS to schools.
3. Provide training to schools on how to complete the ASS or how to use SASAMS.
4. Train District officials.
5. Manage the return of the Survey forms from Circuits and District Offices
6. Capture the survey forms or import it electronically from SASAMS.
7. Do data validation and engage with schools where complete and accurate information has not been provided.
8. Hand over the data to the HR unit where the EMIS does not manage Staff establishment modeling process.

Once the above has been done, the data modeling process and other processes are easily completed by provinces.

Schools compete for the Provincial Basket of posts based on a range of factors such as learner numbers, poverty ranking, grades, language, school size, etc. Any inaccuracy in the data of a school for any of these factors will impact negatively on a school's Staff Establishment. The work being done by the EMIS unit forms the foundation of the Post Provisioning post and any weakness in this area will have severe implications for a province.

We have found that there are some provinces that have invested significantly in both the capability of their personnel and their technical infrastructure. In these provinces, business processes are in place and the data required for Post Provisioning are generally clean, verified and validated by about 30 June of the previous school year.

There are also provinces, however, where there is limited EMIS capability both in terms of personnel (either insufficient personnel or posts are frozen or remain unfilled for years) as well as technical infrastructure. In these provinces the weakness of the EMIS unit impacts significantly on the ability of a province to issue Staff Establishments on time. As the various units are dependent on each other in the process towards issuing Staff Establishments situations are created in some provinces where HR will put in place further data quality processes because they do not "trust" the information received from EMIS. Below are some of the symptoms of weak EMIS processes:

1. Data is validated after 30 June of the previous year (from the workshops we have determined that those provinces that manages to issue establishments on time without significant problems manages to complete their data management processes by 30 June).
2. Data is handed over from EMIS to HR and the HR unit does its own validation checks and sends the data back to EMIS.
3. EMIS finalize its validation processes and then send the data to schools to check and correct.
4. HR receives validated data from EMIS and sends it to schools to validate and check.
5. EMIS or HR (depending where the function resorts) issue Preliminary or Draft Establishments to schools in order for principals to check the data.

6. The provinces use two or three year old data.
7. Data from different source are used because the ASS data is not ready. In one province a combination of ASS, SNAP and a learner audit was used to determine the 2013 Establishments.
8. Once Establishments are issued, schools lodge appeals and are successful in their appeals due to the fact that the establishments are based on poor quality data.

## **CONCERN**

1. There seems to be no equitable allocation of both human and technical resources across provinces when factors such as province size and rural-ness are taken into account.
2. The DPT was informed that DBE has made a decision to do away with paper-based surveys and that all provinces will have to submit their ASS data via SASAMS from 2014 onwards.
3. In some provinces we found that the relationship between EMIS and other units are not good. This impacted significantly on the ability of those provinces to effectively manage the entire post provisioning process.

## **RECOMMENDATION**

1. Some provinces have limited staff with the required technical understanding to run the DBE software. This created a situation where the function of doing the modeling with the DBE software is transferred to the unit that has a staff member with the required capability. Provinces should avoid this situation and must also ensure that a minimum of two or three staff members, appointed in the appropriate unit, are managing the modeling.
2. Ownership of ensuing data quality must be placed in EMIS and not be shared across directorates due to a “mistrust” of EMIS data. Where a province finds that the quality of its data is questionable, it should investigate its investment in personnel and technical infrastructure.

3. Provinces that do not have a management plan in place or that have different management plans in place for different units must develop a common management plan for the entire process.
4. DBE, via the EMIS HEDCOM sub-committee, develops best practice data management methodologies for provinces.
5. DBE should carefully review its decision to make the use of SASAMS as the sole data submission source from 2014 (if this is indeed the case) for the following reasons:
  - a. All provinces have not rolled out SASAMS to all their schools.
  - b. All provinces have not trained all their schools in SASAMS.
  - c. Some provinces are experience significant challenges with respect to obtaining quality data from schools via the first SASAMS submission.
  - d. Some provinces have not mastered business processes to manage the collection of electronic data.

# 15. Conclusion

Both this National Report and Provincial Reports have been written in a format where Comments, Concerns and Recommendations are provided in the text (highlighted). We are of the view that this format will add value.

The insights gained from this study should be valuable not only for the Chief Directorate at DBE who commissioned the study, but also for other units such as EMIS, Planning, HR, etc. We recommend that the insights gained be shared broadly at DBE and across provinces and that the recommendations that flow from insights gained from this Provincial Report and the other Provincial Report be fed into the policy development process.

Feedback received from many provinces was that they found the experience not only about them sharing with the DPT what they are doing in the province but they have, through the process, also learned about the Post Provisioning Process which enabled them to improve their practices.

DBE recommended that this study should focus on the actual practices, challenges at national and provinces and recommendations to address possible Policy weaknesses. The Deloitte Project Team (DPT) was requested not to view this project as either a purely academic exercise or a data collection and analysis exercise. They were mandated to reflect the reality in the system and to suggest possible solutions.

Towards this end, here are some of the key recommendations that are particularly relevant to the DBE:

- DBE should consider engaging with provinces using the same methodology the DPT has applied where they facilitated a 2 day workshop jointly and individually with all 9 provinces. The interactions were rich with learnings, clarity and support. This must be considered in cases where there are changes in policy or where a province had significant changes in personnel.

- DBE should ensure that it improves its Policy Development and Management Process. DBE must determine which Policy it intended to publish in 2002.
    - An environment has been created in the sector where there is a number different version of policies (at least four versions). With staff turnover at provincial level, there is a significant risk that a province may implement an incorrect version of the Policy. Especially in a situation where DBE may even provide the incorrect Policy to the province.
  
  - Provinces are currently in the process of implementing Post Provisioning for 2014. DBE should carefully consider when to inform provinces about the correct Policy and the guidelines provided with respect to the implementation of the new Policy. This recommendation is based on the possible impact on schools should a specific province change from their existing Policy to the current national Policy.
    - It is recommended that 2015 be the earliest date to consider changes as provinces are currently in the middle of the 2014 Post Provisioning Process.
    - There is significant staff turnover in provinces. DBE should consider developing a training manual and training programme for provincial officials that are managing the Post Provisioning Process. The training should include a module dealing with Policy implementation.
    - DBE should also consider developing a training manual for the current DBE Software.
    - DBE to determine whether the National Access database has been developed based on the Gazette Policy document or the Revised-PPN Policy.
    - Should it be found that the Access database has been developed based on the incorrect Policy then DBE should do a review of the impact on provinces should the database be changed to reflect the intent of the Gazette Policy.
    - Should it be found that the Access database has been developed based on the incorrect Policy then DBE should do a review of the impact on
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provinces should the database be changed to reflect the intent of the Gazette Policy.

- DBE to only distribute official published policies to provinces and not MSWord documents of possibly old or draft versions of policies.
- The DPT recommends that DBE develops a different “end to end” post provisioning solution:
  - It must be an online system
  - Provinces should be consulted during the development phase
  - The software solution must be aligned to the Gazette policy
  - On-going training must be provided to provinces on how to use the software
  - A training manual should be developed
  - A User Manual should be developed
  - The software must allow provinces to maintain historic information in order to develop reports on historic trends.
  - The software should provide a province with an “end to end” post provisioning solution. What is meant by this is that EMIS data, financial modeling, establishment modeling, issuing of establishments, management of growth posts and curriculum posts should all be managed on the system. A province should not need to maintain a number of spreadsheets to manage the post provisioning process as are currently the case.
  - Provinces should be able to make relevant reports available online to managers at Head Office and District level.
  - Schools should even be able to access their establishments online with usernames and passwords.
  - Security protocols to be in place.

- Where a province is not experiencing learner increases but rather a decrease in learner numbers, the province should consider rather lowering the number of posts distributed in order to move towards an APE not decreasing the LER ratio.
- The sector considers making visible to both schools principals, SGB members, district officials and relevant Head office officials an individual school's APE and its UPE.
- The sector follows a phased approach where schools are moving towards their APE should they currently be above their APE.
- The DBE should consider identifying one or two provinces and determining the number of excess educators in a given year when viewed against an UPE (Unaffordable Post Establishment) and an APE (Affordable Post Establishment). The UPE should be the current norm applied by the province while the APE should be based on the application of the 80:20 and the 85:15 principles.
- The goal is that Educators with good qualifications who are teaching at schools where the number of permanently employed educators are above the establishment must feel encouraged to want to teach high value subjects at poor rural schools in remote districts, rather than lower valued subjects offered at rich peri-urban school in the same district. This can be achieved by DBE considering an incentive system.
- The possible advantages of this approach are:
  - No need to identify educators in excess.
  - Annual strain on educators about the possibility of being identified as an excess educator is removed.
  - Management of this process will be simplified.
  - As no individual educator is identified as being in excess, all educators at such schools become potential candidates to move to another school.
  - Educators willing to move can be incentivized based on agreed criteria.
  - Receiving schools willing to accept Educators at schools where there are excesses can also be incentivized.

- Guidance should be provided to the LSEN Schools sector once the clarity has been obtained by DBE with respect to the Policy environment.
  - The DPT is of the view that KZN, MP, LP, NC; FS should consider managing the Establishments of LSEN Schools either outside the DBE software or separately within the DBE software. This recommendation should create more stability in the sector.
  - If the Gazette PPN Policy is accepted as the correct Policy, then all provinces except the Western Cape are implementing the wrong percentage split across quintiles. The DBE should update the software and re-issue the national software.
  - DBE should consider this change for the 2015 establishments and not the 2014 establishments as provinces are currently already in the middle of the process of determining the 214 establishments.
- Prior to allocating ad hoc posts to schools, provincial departments should determine whether they have set the weightings for their province at the appropriate level to deal with their provincial concern.
  - Provinces noted that in some cases Schools receive Staff Establishments with unacceptable high LER ratios. DBE should consider doing an analysis of the allocations of a province or a sample of provinces to determine if this is a real concern. If so, then there is a need to take this into consideration when the Policy is reviewed.
  - DBE should develop a training manual for the Post Provisioning software and provide training to provincial officials on the use of the software. This is to be done in conjunction with the development of a training manual on the entire post provisioning process. A number of officials noted this as a real and immediate need.
- There is a need for the sector to re-evaluate the business processes between PELRC and ELRC. The adjustment of promotion posts norms downwards due to financial constraints and the need to make available more post level 1 post are to

be considered a risk in the sector with respect Provincial Department and DBE's focus to improve governance at school level.

- Some provinces have limited staff with the required technical understanding to run the DBE software. This created a situation where the function of doing the modeling with the DBE software is transferred to the unit that has a staff member with the required capability. Provinces should avoid this situation and must also ensure that a minimum of two or three staff members, appointed in the appropriate unit, are managing the modeling.
- Ownership of ensuing data quality must be placed in EMIS and not be shared across directorates due to a "mistrust" of EMIS data. Where a province finds that the quality of its data is questionable, it should investigate its investment in personnel and technical infrastructure.
- Provinces that do not have a management plan in place or that have different management plans in place for different units must develop a common management plan for the entire process. DBE, via the EMIS HEDCOM sub-committee, should develop a set of best practice data management methodologies for provinces.
- DBE should carefully review its decision to make the use of SASAMS as the sole data submission source from 2014 (if this is indeed the case) for the following reasons:
  - All provinces have not rolled out SASAMS to all their schools.
  - All provinces have not trained all their schools in SASAMS.
  - Some provinces are experience significant challenges with respect to obtaining quality data from schools via the first SASAMS submission.
  - Some provinces have not mastered business processes to manage the collection of electronic data.
- The sector considers making visible to both schools principals, SGB members, district officials and relevant Head office officials an individual school's APE (Affordable Post Establishment) and its UPE (Unaffordable Post Establishment). The sector follows a phased approach where schools are moving towards understanding their APE should they currently be above their APE.

- The DBE should consider identifying one or two provinces and determining the number of excess educators in a given year when viewed against an UPE and an APE. The UPE should be the current norm applied by the province while the APE should be based on the application of the 80:20 and the 85:15 principles.
- Should the hypothesis of the DPT be correct then DBE should consider how this understanding can become visible in the sector and how current management processes can be improved to take this consideration into account.
- The desired outcome of any new system would be to encourage appropriately qualified educators who are at schools with an oversupply of educators, to want to take up positions where there is a demand for educators.
- The goal is that Educators with good qualifications who are teaching at schools where the number of permanently employed educators are above the establishment must feel encouraged to want to teach high value subjects at poor rural schools in remote districts, rather than lower valued subjects offered at rich peri-urban school in the same district. This can be achieved by DBE considering an incentive system.
- The possible advantages of this approach are:
  - No need to identify educators in excess.
  - Annual strain on educators about the possibility of being identified as an excess educator is removed.
  - Management of this process will be simplified.
  - Schools are identified as having excess educators.
  - All educators at such schools become potential candidates to move to another school.
  - Educators willing to move can be incentivised based on agreed criteria.
  - Receiving schools willing to accept Educators at schools where there are excesses can also be incentivised.
- With respect to providing incentives to educators to move to a school in need, the following can be considered:
  - Educators are not identified as being in excess. Only schools are identified that may have educators above the establishments.

- Provincial departments can then maintain an online database of educators indicating their willingness to teach in a specific geographic area.
- Incentives can be a % of an educator annual salary paid over a period of 3 to 5 years (the period agreed that the educator must stay at the school or a group of schools within a specific geographic area). This is paid to the educator on a monthly basis.
- Consideration can also be given to allocate these teachers not to a particular school but to a group of schools or even to the nearest district office. This opens the possibility to share scarce skills teachers amongst schools.
- Consideration can also be given to provide incentives to receiving schools if they take on an educator from a school with educators above the establishment. This can be an agreed once off payment with clear guidelines of what the funding may be used for.
- Guidance should be provided to the LSEN Schools sector once the clarity has been obtained by DBE with respect to the Policy environment.
  - The DPT is of the view that KZN, MP, LP, NC; FS should consider managing the Establishments of LSEN Schools either outside the DBE software or separately within the DBE software. There is limited or low risk in impacting negatively on the sector if the current year's posts distributed to the sector are used as the bases for determines the next year's establishments. This recommendation should create more stability in the sector.
  - If the Gazette PPN Policy is accepted as the correct Policy, then all provinces except the Western Cape are implementing the wrong percentage split across quintiles. The DBE should update the software and re-issue the national software. DBE should consider this change for the 2015 establishments and not the 2014 establishments as provinces are currently already in the middle of the process of determining the 214 establishments.

- Prior to allocating ad hoc posts to schools, provincial departments should determine whether they have set the weightings for their province at the appropriate level to deal with their provincial concern.
  - Provinces noted that in some cases Schools receive Staff Establishments with unacceptable high LER ratios. DBE should consider doing an analysis of the allocations of a province or a sample of provinces to determine if this is a real concern. If so, then there is a need to take this into consideration when the Policy is reviewed.
  - DBE should develop a training manual for the Post Provisioning software and provide training to provincial officials on the use of the software. This is to be done in conjunction with the development of a training manual on the entire post provisioning process. A number of officials noted this as a real and immediate need.
  - There is a need for the sector to re-evaluate the business processes between PELRC and ELRC. The adjustment of promotion posts norms downwards due to financial constraints and the need to make available more post level 1 post are to be considered a risk in the sector with respect Provincial Department and DBE's focus to improve governance at school level.
  - Some provinces have limited staff with the required technical understanding to run the DBE software. This created a situation where the function of doing the modeling with the DBE software is transferred to the unit that has a staff member with the required capability. Provinces should avoid this situation and must also ensure that a minimum of two or three staff members, appointed in the appropriate unit, are managing the modeling.
  - Ownership of ensuing data quality must be placed in EMIS and not be shared across directorates due to a "mistrust" of EMIS data. Where a province finds that the quality of its data is questionable, it should investigate its investment in personnel and technical infrastructure.
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# 16. Annexures

Annexure	Description
Annexure DBE-A	PPN-Revised
Annexure DBE-B	DBE Website PPN Policy
Annexure DBE-C	National Norms and Standards for School Funding
Annexure DBE-G	Gazette PPN Policy
Annexure DBE-H	Process Flow Chart
Annexure DBE-I	Investigative Tool
Annexure FC-A	Post Provisioning Flow chart: Eastern Cape
Annexure FC-B	Post Provisioning Flow chart: Free State
Annexure FC-C	Post Provisioning Flow chart: Gauteng
Annexure FC-D	Post Provisioning Flow chart: Kwa-Zulu Natal
Annexure FC-E	Post Provisioning Flow chart: Mpumalanga
Annexure FC-F	Post Provisioning Flow chart: Northern Cape
Annexure FC-G	Post Provisioning Flow chart: North West
Annexure FC-H	Post Provisioning Flow chart: Limpopo
Annexure FC-I	Post Provisioning Flow chart: Western Cape