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To some extent, the above-mentioned strategies have enabled the CSAWUZ to secure benefits for its members. These include improved terms and conditions of employment. The CSAWUZ Church Road Branch Chairperson (interview, 29 January 2015) indicated:

When funding comes to this department [Government Printing Department], we have requested that a member of the union representative also be in that meeting, so much that the monies which are being disbursed also our members should benefit, and on that front I think, though we are facing difficulties here and there but it has helped.

The other benefit is that the strategy of active participation has enabled the union to challenge decisions that worsen the terms and conditions of employment. The CSAWUZ Ridgeway Branch Chairperson (interview, 22 January 2015) mentioned that:

When a member, any member, starting from management up to the lowest man in the system has an issue, I will give an example of a funeral, you find if a junior officer loses a relative or a spouse . . . you would find the cheque will delay to be cut . . . But when somebody in management has a funeral, you find within hours, the cheque is cut for the entitlement of that officer. And with this, we sat and said, no. After that, now when something happens, it doesn't matter whether it's junior or senior [officer], the same things have to happen at the same time.

Relatedly, the National Food and Nutrition Commission Branch Vice Secretary, CSAWUZ, (interview, 19 February 2015) said:

Yes, there was . . . rationalisation and harmonisation of salaries which the PF [Patriotic Front] government had put in place. Yes, we had to sit down, especially after discovering that the circular had



come . . . with specification and when we looked at the situation where there were some kind of deliberate delays or sometimes procrastination, yes, union had to be so proactive . . . by taking over the matter, presenting that matter first of all starting with management, and management could not respond appropriately and we had to target the chair who happens to be the Director. From there, issues were discussed . . . we could see things happening, yes, and that is how things were accelerated or were quickly done.

In addition, active participation in policy-making has allowed the union to protect the rights of workers. The CSAWUZ Lusaka Central Branch Chairperson (interview, 4 February 2015) mentioned that:

I think they [union strategies] have been very effective because for example if you talk of the workers' rights, like the Labour Day participation, that one has been done very well at this office [Police and Prisons Commission] so to say.

The findings mentioned above show that trade unions can strengthen their position in industrial relations partnership by building their own capacity and actively participating in the processes of policy-making at both national and institutional levels. This entails having the ability to negotiate for representation in policy-making processes, gathering policy-relevant information, negotiating for improved terms and conditions of employment, challenging decisions that worsen the terms and conditions of employment, and presenting policy alternatives. These findings are in agreement with Coats (2006) who argues that in order for trade unions to benefit from the partnership model, they need to build their own capacity.

## **8.7 Summary**

This chapter has shown that there are two major types of industrial relations partnership implemented in Zambia. These are tripartite and bipartite alliances. Tripartite alliances involve all the three key actors in industrial relations working together to deal with labour matters. These actors are employers, trade unions and the government. In the case of bipartite alliances, they involve any two of these

actors working together to deal with labour matters. The chapter has also revealed that all the three major phases in the evolution of public administration have been characterised by one form of partnership or another when dealing with issues relating to industrial relations. These phases are traditional public administration, NPM and post-NPM. In addition, the chapter has indicated that implementation of the partnership strategy in industrial relations in Zambia has been influenced by three interconnected factors. These are the recognition of problems at the workplace (which include industrial disputes), the nuanced shift within the ideology of neo-liberalism, and the desire of the major players to promote social dialogue and industrial harmony.

Furthermore, the chapter has indicated that industrial relations partnership considers issues relating to economic and social policies. In addition, the chapter has shown that the effects of the partnership strategy appear at all the three levels of industrial relations activity, namely, long-term strategy, collective bargaining, and workplace levels. The major effect at these levels of industrial relations activity is that employers become more powerful than trade unions. This, in turn, enables employers to easily lower the terms and conditions of employment.

The chapter has also revealed that although trade unions are negatively affected by partnerships in industrial relations, they can make strategic decisions to achieve their objectives. These decisions are in the area of influence on policy-making. In this regard, the influence of trade unions can be enhanced by building their own capacity and actively participating in the processes of policy-making at both national and institutional levels. This entails having the ability to negotiate for representation in policy-making processes, gathering policy-relevant information, negotiating for improved terms and conditions of employment, challenging decisions that worsen the terms and conditions of employment, and presenting policy alternatives. The next chapter presents the conclusions and recommendations of the thesis.

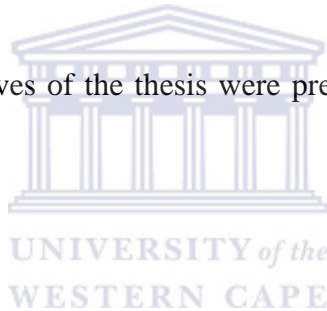
## **CHAPTER 9: CONCLUSIONS AND RECOMMENDATIONS**

### **9.1 Introduction**

The purpose of this chapter is to present the conclusions and recommendations of the thesis. In order to achieve its purpose, the chapter is divided into six sections. The first section is the introduction. The second section restates the purpose and objectives of the thesis. The third section explains the main findings of the research. The fourth section presents the conclusions of the thesis. The fifth section discusses the contribution of the thesis to the field of research. The final section presents the recommendations of the thesis.

### **9.2 Purpose and objectives of the thesis**

The purpose and objectives of the thesis were presented in Chapter 1. These are restated below.



#### **9.2.1 Main aim**

The main aim of the thesis was to examine the implications of Public Sector Reform for public sector unions in Zambia.

#### **9.2.2 Objectives**

The objectives of the thesis were as follows:

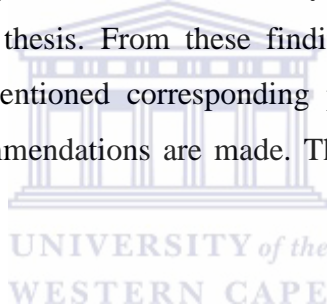
- i. To review literature and suggest a theoretical framework for analysing the implications of Public Sector Reform for trade unions in the public sector.
- ii. To examine the dimensions of Public Sector Reform implemented in Zambia and their effects on the public sector workplace.
- iii. To examine the effects of New Public Management and post-New Public Management reforms on collective bargaining in the public sector.

- iv. To analyse the effects of New Public Management and post-New Public Management reforms on the long-term strategies of the Civil Servants and Allied Workers Union of Zambia.
- v. To identify the strategic responses by the Civil Servants and Allied Workers Union of Zambia to Public Sector Reform.
- vi. To analyse the findings, draw conclusions and make recommendations.

The main findings, conclusions and recommendations of the thesis are presented below.

### **9.3 Main findings of the research**

The main findings are presented in such a way that reference is made to the various chapters of the thesis. From these findings, conclusions are drawn in relation to the above-mentioned corresponding purpose and objectives of the thesis. Thereafter, recommendations are made. The main findings are explained below.



#### **9.3.1 Dimensions of Public Sector Reform implemented in Zambia and their effects on the public sector workplace**

This subsection explains the main findings corresponding to objective (ii). The dimensions of Public Sector Reform (PSR) implemented in Zambia and their effects on the public sector workplace were discussed in Chapters 6, 7 and 8. The findings indicate that two generations of PSR have been implemented in Zambia. These are New Public Management (NPM) and post-NPM reforms. The reform strategies that have been implemented under NPM include restructuring of the public service, performance management, decentralisation, privatisation and commercialisation of State-owned Enterprises (SOEs). As for post-NPM reform strategies, they include partnerships in policy formulation and implementation. On the one hand, NPM reforms emphasised the effectiveness of market forces and the weakness of government regulation. On the other hand, post-NPM reforms emphasise the interconnectedness of stakeholders in the processes of policy

formulation and implementation. The stakeholders in these processes include government, business, civil society organisations, employers and trade unions.

The effects of PSR in Zambia have been felt at all the three levels of industrial relations activity. These are long-term strategy, collective bargaining, and workplace levels. The effects of NPM reforms at the workplace level included a smaller but disjointed public sector, loss of benefits associated with transfer within the public sector, increased workload for retained workers, poor performance, casualisation of labour, employment of skilled personnel, equity in the processes of recruitment, placement and rewards, and improved conditions of service in certain subsectors. The NPM reforms also initiated the process of hybridisation of public and private sectors. This was done through the introduction of private sector strategies in the management of the public sector. These strategies include commercialisation, lease and management contracts.

In the case of post-NPM reforms, their major effect at the workplace level is the intensification of the process of public/private hybridisation. This process is reinforced in two ways. The first is allowing private sector organisations to make investments at the public sector workplace. The second is the creation of dual chains of command at the public sector workplace. One chain of command is from the government structure while the other is from private sector partners. This process presents both benefits and challenges to the public sector workplace. The benefits include the following: first, it alleviates public institutions from the pressures associated with service delivery. These include provision of resources such as qualified personnel, materials, equipment and financial resources. Second, Public-Private Partnerships (PPPs) that focus on the delivery of non-core services enable public institutions to concentrate on their core business. Third, PPPs reduce the workload of public sector workers.

The challenges presented by partnerships to public institutions include the following: first, a number of private sector partners did not maintain the desired quality of service delivery, thereby forcing public managers to supervise them.

Second, the use of dual chains of command in PPP projects created role conflict at the public sector workplace. Third, PPPs were limiting employment opportunities in public institutions while promoting the growth of the private sector. This, in turn, constrained the development of public sector unions. In addition, the notion of social dialogue made it easier for the private sector to exploit both the public sector and workers. Under such conditions, the terms and conditions of employment are lowered.

### 9.3.2 Effects of New Public Management and post-New Public Management reforms on collective bargaining in the public sector

This subsection focuses on findings that address objective (iii). The effects of NPM on collective bargaining in the public sector were presented in Chapter 6. As for the effects of post-NPM, they were presented in Chapters 7 and 8. The findings reveal that both NPM and post-NPM reforms have transformed the bargaining structure from a centralised structure to a decentralised one. Through this transformation, workers are divided into several bargaining units and their bargaining power reduced. In addition, collective bargaining has become more expensive and time consuming for trade unions. This is because of several bargaining units that need to be attended to. This, in turn, has enabled employers to lower the terms and conditions of employment.

### 9.3.3 Effects of New Public Management and post-New Public Management reforms on the long-term strategies of the Civil Servants and Allied Workers Union of Zambia

This subsection considers the findings that address objective (iv). The findings, as presented in Chapters 6, 7 and 8, show that the implementation of NPM and post-NPM reforms also affected the long-term strategies of the Civil Servants and Allied Workers Union of Zambia (CSAWUZ). The effects of these reforms have been felt in the areas of union membership and governance. In terms of membership, the CSAWUZ has experienced a significant loss of membership due to job losses in the public sector. The union is also unable to organise private

sector workers operating at the public sector workplace. This is because its membership is confined to public sector workers. This implies that restricting membership recruitment to public sector workers hinders the expansion and power of public sector unions. In terms of governance, the CSAWUZ has become weaker due to losses in membership and income. The reforms have also resulted in conflicts of interest within the labour movement and between the labour movement and the government. This has further weakened the union while empowering employers. Under these conditions, employers are able to lower the terms and conditions of employment.

#### 9.3.4 Strategic responses by the Civil Servants and Allied Workers Union of Zambia to Public Sector Reform

Chapters 6, 7 and 8 have also discussed the findings corresponding to objective (v). The findings show that although the CSAWUZ was negatively affected by the reform of the public sector, it was an active agent in the reform process. The union had opportunities to make strategic decisions to achieve its goals. The opportunities were available both before and after the implementation of the reforms. Strategic decisions of the union before implementation of the reforms included participating in the process of formulating the reform strategies. The participation took the forms of challenging government proposals and presenting alternatives.

After implementation of PSR, the CSAWUZ made strategic decisions to deal with the negative effects of the reforms. The strategic decisions were in the areas of membership recruitment, union functions and objectives, collective bargaining and governance. In the area of membership recruitment, the first strategy of the CSAWUZ was to change its structure from a “specific-sectoral” union to a general-sectoral union. This strategy enabled it to extend its recruitment to allied workers rather than being confined to civil servants. The second strategy was to enhance the organisation of new employees in the targeted sectors. The third strategy was to discourage the growth of new unions. The fourth strategy was to offer members various services such as loans and training opportunities.

In the area of union functions and objectives, the strategy of the CSAWUZ was not only to organise workers in related fields but also to handle new issues such as promoting the participation of marginalised groups in decision-making processes. These groups include women and young workers. In the area of collective bargaining, the main strategy was to conduct research before presenting items for collective bargaining. The research focused on gathering information on the prevailing economic conditions. Based on this information, the union would then negotiate for terms and conditions that enabled workers to meet their basic needs. In the area of governance, the first strategy was to reform the organisational structure of the union. The reform process emphasised four elements of trade union organisation. These are democratisation, decentralisation, coordination and strategic leadership. The second strategy was to participate in policy-making processes both at national (public policy) and institutional levels. In order to strengthen its position in these processes, the CSAWUZ made efforts to gather policy-relevant information and present policy alternatives to government and employers. The third strategy was to form alliances with external organisations that deal with issues affecting union members.

Furthermore, the findings show that although a diversified membership increases the power of trade unions, it puts the union leadership under pressure to meet the diverse needs of the membership.

#### **9.4 Conclusions**

The thesis shows that PSR involves changing the role of the public sector in the process of providing goods and services. Instead of the public sector being the only provider, it is a partner. As a partner, its role is to create an environment that encourages the growth of the private sector. This environment is characterised by the following features: reduced employment opportunities in public institutions, weak trade unions, lower terms and conditions of employment, and transfer of resources from the public to the private sector. However, this mode of production



negatively affects trade unions in the public sector. The effects include reductions in union membership and income, less participation in union activities, increased intra- and inter-union conflict, and reduced union power.

The thesis also shows that although public sector unions are negatively affected by PSR, they have agency and do not just wait to become victims of the reform process. They make strategies so as to adapt to the changing circumstances. These strategies include diversifying the membership, enhancing membership recruitment, servicing the membership, discouraging the growth of new unions, dealing with nontraditional matters, and promoting the participation of marginalised groups in decision-making processes. The other strategies include decentralising the organisational structure of the union, coordinating union activities, gathering policy-relevant information, presenting policy alternatives to government and employers, negotiating for terms and conditions that enable workers to meet their basic needs, and forming alliances with external organisations dealing with issues affecting workers. This implies that trade unions in the public sector have opportunities to deal with challenges facing them under the rubric of PSR.

### **9.5 Contribution to the field of research**

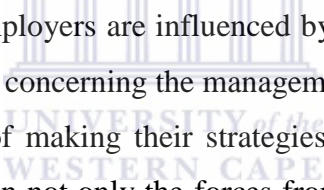
The thesis has made a number of contributions to research findings on Public Sector Reform (PSR) and trade unions in the public sector. First, the thesis has contributed information confirming the argument advanced by Christensen and Læg Reid (2007a) that there are two generations of PSR. These are New Public Management (NPM) and post-NPM reforms.

Second, the research is the first of its kind from Zambia. There is no other research that has been conducted in Zambia focusing on NPM or post-NPM reforms and their implications for public sector unions.

Third, the thesis confirms other studies about public/private hybridisation. The findings show that PSR blurs the distinction between the public and private sectors. This is because of the use of similar principles to manage the two sectors (Kletz, Hénaut and Sardas, 2014).

Fourth, the thesis has contributed to the literature on industrial relations under the rubric of PSR. The findings show how public sector employers in particular and the government in general use reform measures to weaken trade unions (Anderson, Griffin and Teicher, 2002; Brewster, Dempsey and Hegewisch, 2001). The findings also show how trade unions respond to the reform of the public sector (Anderson *et al.*, 2002; Brewster *et al.*, 2001; Connoley, 2008).

Fifth, the findings confirm the assumptions of the thesis' theoretical framework. These are:

- 
- (i) Public sector employers are influenced by environmental forces to make strategic choices concerning the management of public institutions.
  - (ii) In the process of making their strategies, public sector employers take into consideration not only the forces from the external environment but also their own management principles, and their interrelationships with the other key industrial relations actors.
  - (iii) When public sector unions and government agencies get affected by employer strategies, they also make strategies to achieve their goals.
  - (iv) Strategic decisions are made at three levels of industrial relations activity. These are long-term strategy, collective bargaining, and workplace levels.
  - (v) The effects of strategic decisions can be felt at any level of industrial relations activity.

From the above-mentioned findings and conclusions, it can be argued that to a large extent the purpose and objectives of the thesis have been achieved. Nevertheless, this does not imply that the thesis has exhausted all there is in the

understanding of PSR and its implications for trade unions in the public sector. There are still other areas for future research. These are presented in the next section.

## **9.6 Recommendations**

The recommendations of the thesis are in two categories. These are implications for policy and areas for future research. The details of these recommendations are presented below.

### 9.6.1 Implications for policy

The thesis has revealed that PSR reduces the scope of the public sector while promoting the growth of the private sector. The thesis has also revealed that PSR reduces the bargaining power of workers by creating several bargaining units. These findings imply that public sector unions need to reform their policies so as to deal with the challenges facing them. In this regard, the following reform measures must be undertaken:

- (i) Public sector unions must organise workers in the private sector so as to increase their membership and bargaining power.
- (ii) There is need for trade unions to establish collective bargaining networks so as to increase their bargaining power and harmonise the terms and conditions of employment across the country. This will, in turn, prevent the transfer of employment opportunities and resources from the public to the private sector. Eventually, the interests of workers in both sectors will be promoted.

### 9.6.2 Areas for future research

The thesis has contributed to the literature on PSR and its implications for trade unions in the public sector. However, the research does not cover all the strategies

of PSR implemented in Zambia. The research is confined to the following strategies of PSR: restructuring of the public service, performance management, decentralisation, privatisation, commercialisation, and partnerships in policy formulation and implementation. Strategies of PSR that are outside the scope of the research include public service capacity building, recentralisation, and the adoption of Information and Communication Technologies (ICTs). Therefore, future research can focus on public service capacity building, recentralisation, and ICTs and their implications for trade unions in the public sector.

In addition, the research does not cover all the categories of public institutions in Lusaka district. The research is confined to institutions from which the CSAWUZ draws its membership. These include government ministries, central government offices and departments, public hospitals and clinics, and semi-autonomous government institutions. Institutions that are outside the scope of the research include primary and secondary schools, and local councils. Therefore, future research can focus on trade unionism in primary and secondary schools, and local councils. Future research can also be conducted on PSR and trade unionism outside Lusaka district. Furthermore, future research can focus on the integration of gender issues in trade union activities, and trade union engagement in policy processes.

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<sup>43</sup> The referencing style is based on the guidelines presented by the Corrected 6/606: SOPH (UWC). (2005). *Academic Handbook*.

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## APPENDICES

### APPENDIX I: INTERVIEW GUIDE FOR FORMER CSAWUZ NATIONAL LEADERS

#### Background

1. Date of interview: \_\_\_\_\_
2. Start time of interview: \_\_\_\_\_
3. Position held in the union: \_\_\_\_\_
4. Gender of interviewee: \_\_\_\_\_

#### Civil Servants Union of Zambia (CSUZ) before implementation of Public Service Reform Programme (PSRP)

5. When was CSUZ formed?
6. Why was the union formed?
7. Ask for union constitution, policies and conference reports and resolutions so as to identify its objectives, activities and organisational structure before the days of PSRP.

#### Effects of PSRP

8. What structures did the government create when it decentralised some functions from central government to provinces and districts under the PSRP?
9. What functions were transferred to these structures?
10. How did implementation of PSRP affect the collective bargaining process for your union members? Explain the difference between the pre-PSRP and post-PSRP collective bargaining processes.
11. Did implementation of PSRP change issues that could be presented for collective bargaining? Describe issues that were presented for collective bargaining before the days of PSRP and those for the post-PSRP era.
12. How did the change in the collective bargaining process and/or bargaining issues affect your union's bargaining power and strategy?



13. How did implementation of PSRP affect membership levels and the organisation of your union? Give examples.
14. How did implementation of PSRP affect the relationships between your union and the government, and other partners such as other unions, Non-governmental Organisations (NGOs), political parties and the like?

**CSUZ strategic responses to the effects of PSRP**

15. What was your union's reaction to government efforts to implement the PSRP?
16. When was CSUZ renamed as Civil Servants and Allied Workers Union of Zambia (CSAWUZ)?
17. Why was the union renamed?
18. Was the union constitution amended? Ask for the amended constitution.
19. What strategies did your union adopt to increase its power in collective bargaining and policy-making following the implementation of PSRP?
20. What do you think should be done to strengthen trade unions in the public service?
21. Finish time of interview: \_\_\_\_\_
22. Duration of interview: \_\_\_\_\_

**End of Interview**

**Thank You**

## **APPENDIX II: INTERVIEW GUIDE FOR FORMER CSAWUZ REGIONAL LEADERS**

### **Background**

1. Date of interview: \_\_\_\_\_
2. Start time of interview: \_\_\_\_\_
3. Position held in the union: \_\_\_\_\_
4. Gender of interviewee: \_\_\_\_\_

### **Civil Servants Union of Zambia (CSUZ) before implementation of Public Service Reform Programme (PSRP)**

5. What categories of institutions did CSUZ draw its membership from within Lusaka district?
6. What was the organisational structure of CSUZ in Lusaka province?

### **Effects of PSRP**

7. What strategies did the government use to reduce the size of the public service in Lusaka district when it implemented the PSRP?
8. What structures/institutions did the government create in Lusaka district when it decentralised some functions from central government to provinces and districts?
9. What functions were transferred to these structures/institutions?
10. How did implementation of PSRP affect the collective bargaining process for CSUZ members in Lusaka district? Explain the difference between the pre-PSRP and post-PSRP collective bargaining processes.
11. Did implementation of PSRP change issues that could be presented for collective bargaining? Describe issues that were presented for collective bargaining before the days of PSRP and those for the post-PSRP era.
12. How did the change in the collective bargaining process and/or bargaining issues affect your union's bargaining power and strategy in Lusaka district?

13. How did implementation of PSRP affect membership levels and the organisation of your union in Lusaka district? Give examples and statistics, if any.
14. How did implementation of PSRP affect the relationships between your union and the government, and other partners such as other unions, Non-governmental Organisations (NGOs), political parties and the like in Lusaka district?

**CSUZ strategic responses to the effects of PSRP**

15. What was your union's reaction to government efforts to implement the PSRP in Lusaka district?
16. What strategies did the Regional Secretary adopt to increase union membership in Lusaka district following the implementation of PSRP?
17. Did membership diversification/the new recruitment strategies help your union to increase its membership in Lusaka district? Provide statistics, if any.
18. What changes, if any, were made to the union's organisational structure in Lusaka district when CSUZ was renamed as Civil Servants and Allied Workers Union of Zambia (CSAWUZ)?
19. What strategies did your union adopt to increase its power in collective bargaining and policy-making following the implementation of PSRP in Lusaka district?
20. What challenges did the Regional Secretary face governing a union that had diversified its membership?
21. What do you think should be done to strengthen public sector unions in Lusaka district?
22. Finish time of interview: \_\_\_\_\_
23. Duration of interview: \_\_\_\_\_

**End of Interview**

**Thank You**

## **APPENDIX III: INTERVIEW GUIDE FOR FORMER CSAWUZ BRANCH LEADERS AND SHOP STEWARDS**

### **Background**

1. Date of interview: \_\_\_\_\_
2. Start time of interview: \_\_\_\_\_
3. Category of public institution worked for:
  1. Government ministry office
  2. Public hospital/clinic
4. Name of public institution worked for: \_\_\_\_\_
5. Position held in the union: \_\_\_\_\_
6. If branch official, specify the name of the branch: \_\_\_\_\_
7. Gender of interviewee: \_\_\_\_\_

### **Civil Servants Union of Zambia (CSUZ) before implementation of Public Service Reform Programme (PSRP)**

8. Which categories of workers did CSUZ draw its membership from at the public institution you worked for (i.e. before the days of PSRP)?

### **Effects of PSRP**

9. What kind of restructuring took place at the public institution you worked for during the implementation of the PSRP?
10. What system did management introduce to manage the performance of employees at that institution?
11. How did implementation of PSRP affect the terms and conditions of employment at that institution?
12. How did implementation of PSRP affect workers' rights in general at that institution?
13. How did implementation of PSRP affect the collective bargaining process for CSUZ members at that institution? Explain the difference between the pre-PSRP and post-PSRP collective bargaining processes.

14. Did implementation of PSRP change issues that could be presented for collective bargaining? Describe issues that were presented for collective bargaining before the days of PSRP and those for the post-PSRP era.
15. How did implementation of PSRP affect membership levels and the organisation of your union at that institution? Give examples and statistics, if any.
16. How did implementation of PSRP affect the participation of members in union activities and decision-making processes at that institution?
17. How did implementation of PSRP affect the relationship between union leaders and members including the ability of the leaders to direct union activities at that institution?
18. How did implementation of PSRP affect the relationships between your union and management, and other unions at that institution?

**CSUZ strategic responses to the effects of PSRP**

19. What strategies did your union adopt to increase its membership at the public institution you worked for following the implementation of PSRP?
20. Did the new recruitment strategies help your union to increase its membership at that institution? Provide statistics, if any.
21. What changes, if any, were made to the union's governance process at that institution when CSUZ was renamed as Civil Servants and Allied Workers Union of Zambia (CSAWUZ)?
22. What strategies did your union adopt to increase its power in collective bargaining and policy-making following the implementation of PSRP at that institution?
23. What do you think should be done to strengthen trade unions in public institutions?
24. Finish time of interview: \_\_\_\_\_
25. Duration of interview: \_\_\_\_\_

**End of Interview**

**Thank You**

## **APPENDIX IV: INTERVIEW GUIDE FOR CURRENT CSAWUZ NATIONAL LEADERS**

### **Background**

1. Date of interview: \_\_\_\_\_
2. Start time of interview: \_\_\_\_\_
3. Position held in the union: \_\_\_\_\_
4. Gender of interviewee: \_\_\_\_\_

### **Civil Servants and Allied Workers Union of Zambia (CSAWUZ) before implementation of the Public-Private Partnership (PPP) policy**

5. Ask for union constitution, policies and conference reports and resolutions so as to identify its objectives, activities and organisational structure before the days of the PPP policy.

### **Effects of the PPP policy**

6. Mention some of the services that have been delivered on the basis of PPPs or outsourcing in the public service.
7. How has implementation of PPPs or outsourcing affected the collective bargaining process for your union members? Explain the difference between the pre-PPP and the current collective bargaining processes.
8. Has implementation of PPPs changed issues that are presented for collective bargaining? Describe issues that were presented for collective bargaining before the days of the PPPs and those being presented now.
9. How has the change in the collective bargaining process and/or bargaining issues affected your union's bargaining power and strategy?
10. How has the implementation of PPPs affected membership levels and the organisation of your union? Give examples.
11. What is the current membership of CSAWUZ?
12. What is the total number of workers in the public service?
13. Of the total number of workers in the public service, how many belong to trade unions?

14. How has the implementation of PPPs affected the relationships between your union and the government, and other partners such as other unions, Non-governmental Organisations (NGOs), political parties and the like?

**CSAWUZ strategic responses to the effects of the PPP policy**

15. What was your union's reaction to government efforts to implement the PPP policy?
16. Has the union constitution been amended in response to the effects of PPPs or outsourcing? Ask for the amended constitution.
17. What strategy has your union adopted to increase its collective bargaining power following the implementation of PPPs or outsourcing?

**Tripartite Consultative Labour Council**

18. What factors influenced the establishment of the Tripartite Consultative Labour Council?
19. What issues are considered by this Council? Give examples.
20. How many times did the Council meet in 2014?
21. How has the establishment of this Council affected the power and strategies of your union? Give examples.

**CSAWUZ strategies to increase its influence over government policies**

22. Has your union adopted any strategies to increase its influence over government policies?
1. Yes                      2. No (skip to q 25)
23. If yes to q 22, what are these strategies?
24. How effective have these strategies been in increasing your union's influence over government policies? Give examples.
25. What do you think should be done to strengthen trade unions in the public service?
26. Finish time of interview: \_\_\_\_\_
27. Duration of interview: \_\_\_\_\_

**End of Interview**

**Thank You**

## **APPENDIX V: INTERVIEW GUIDE FOR CURRENT CSAWUZ PROVINCIAL LEADERS**

### **Background**

1. Date of interview: \_\_\_\_\_
2. Start time of interview: \_\_\_\_\_
3. Position held in the union: \_\_\_\_\_
4. Gender of interviewee: \_\_\_\_\_

### **Civil Servants and Allied Workers Union of Zambia (CSAWUZ) before implementation of the Public-Private Partnership (PPP) policy**

5. What categories of institutions did CSAWUZ draw its membership from within Lusaka district before the days of PPPs or outsourcing?
6. What was the organisational structure of CSAWUZ in Lusaka province before implementation of the PPP policy?

### **Effects of the PPP policy**

7. Mention some of the services that have been delivered on the basis of PPPs or outsourcing in Lusaka district?
8. How has implementation of PPPs or outsourcing affected the collective bargaining process for CSAWUZ members in Lusaka district? Explain the difference between the pre-PPP and the current collective bargaining processes.
9. Has implementation of PPPs changed issues that are presented for collective bargaining? Describe issues that were presented for collective bargaining before the days of PPPs and those being presented now.
10. How has the change in the collective bargaining process and/or bargaining issues affected your union's bargaining power and strategy in Lusaka district?
11. How has the implementation of PPPs affected membership levels and the organisation of your union in Lusaka district? Give examples and statistics, if any.



12. How has implementation of PPPs affected the relationships between your union and the government, and other partners such as other unions, Non-governmental Organisations (NGOs), political parties and the like in Lusaka district?

**CSAWUZ strategic responses to the effects of the PPP policy**

13. What was your union's reaction to government efforts to implement the PPP policy in Lusaka district?
14. What strategies has the provincial committee adopted to increase union membership in Lusaka district following the implementation of PPPs or outsourcing?
15. Have the new recruitment strategies helped your union to increase its membership in Lusaka district? Provide statistics, if any.
16. What changes, if any, have you made to the union's organisational structure in Lusaka district as a response to the effects of PPPs or outsourcing?
17. What strategy has your union adopted to increase its collective bargaining power following the implementation of PPPs or outsourcing in Lusaka district?
18. What challenges does the provincial committee face governing a union with a diversified membership?

**Tripartite Consultative Labour Council**

19. How has the establishment of the Tripartite Consultative Labour Council affected the power and strategies of your union in Lusaka district? Give examples.

**CSAWUZ strategies to increase its influence over government policies**

20. Has the provincial committee adopted any strategies to increase its influence over government policies in Lusaka district?
1. Yes            2. No (skip to q 23)
21. If yes to q 20, what are these strategies?

22. How effective have these strategies been in increasing your union's influence over government policies? Give examples.
23. What do you think should be done to strengthen public sector unions in Lusaka district?
24. Finish time of interview: \_\_\_\_\_
25. Duration of interview: \_\_\_\_\_

**End of Interview**

**Thank You**



## **APPENDIX VI: INTERVIEW GUIDE FOR CURRENT CSAWUZ BRANCH LEADERS AND SHOP STEWARDS**

### **Background**

1. Date of interview: \_\_\_\_\_
2. Start time of interview: \_\_\_\_\_
3. Category of public institution worked for:
  1. Government ministry office
  2. Public hospital/clinic
  3. Semi-autonomous government institution
4. Name of public institution worked for: \_\_\_\_\_
5. Position held in the union: \_\_\_\_\_
6. If branch official, specify the name of the branch: \_\_\_\_\_
7. Gender of interviewee: \_\_\_\_\_

### **Civil Servants and Allied Workers Union of Zambia (CSAWUZ) before implementation of the Public-Private Partnership (PPP) policy**

8. Which categories of workers did CSAWUZ draw its membership from at the public institution you work for before the days of PPPs or outsourcing?

### **Effects of the PPP policy**

9. What services have been delivered on the basis of PPPs or outsourcing at the public institution you work for?
10. How has implementation of PPPs or outsourcing affected the terms and conditions of employment at this institution?
11. How has implementation of PPPs or outsourcing affected workers' rights in general at this institution?
12. How has implementation of PPPs affected the collective bargaining process for CSAWUZ members at this institution? Explain the difference between the pre-PPP and the current collective bargaining processes.
13. Has implementation of PPPs changed issues that are presented for collective bargaining? Describe issues that were presented for collective bargaining before the days of PPPs and those being presented now.

14. How has the implementation of PPPs affected membership levels and the organisation of your union at this institution? Give examples and statistics, if any.
15. How has implementation of PPPs affected the participation of members in union activities and decision-making processes at this institution?
16. How has implementation of PPPs affected the relationship between union leaders and members including the ability of the leaders to direct union activities at this institution?
17. How has implementation of PPPs affected the relationships between your union and management, and other unions at this institution?

#### **CSAWUZ strategic responses to the effects of the PPP policy**

18. What strategies has your union adopted to increase its membership at the public institution you work for following the implementation of PPPs?
19. Have the new recruitment strategies helped your union to increase its membership at this institution? Provide statistics, if any.
20. What changes, if any, have you made to the union's governance process at this institution as a response to the effects of PPPs?
21. What strategies has your union adopted to increase its collective bargaining power following the implementation of PPPs at this institution?

#### **Employer-union partnerships**

22. Is there a forum at your institution through which management and trade unions work in partnership to make policies or strategic plans?
  1. Yes
  2. No (skip to q 25)
23. If yes to q 22, what is this forum?
24. How has the establishment of this partnership affected the power and strategies of your union at this institution? Give examples.

#### **CSAWUZ strategies to increase its influence over employers' policies**

25. Has your union adopted any strategies to increase its influence over management policies or strategic plans at this institution?

1. Yes            2. No (skip to q 28)
26. If yes to q 25, what are these strategies?
27. How effective have these strategies been in increasing your union's influence over management policies or strategic plans? Give examples.
28. What do you think should be done to strengthen trade unions in public institutions?
29. Finish time of interview: \_\_\_\_\_
30. Duration of interview: \_\_\_\_\_

**End of Interview**

**Thank You**



## **APPENDIX VII: INTERVIEW GUIDE FOR MANAGERS OF PUBLIC INSTITUTIONS**

### **Background**

1. Date of interview: \_\_\_\_\_
2. Start time of interview: \_\_\_\_\_
3. Category of public institution
  1. Government ministry office
  2. Public hospital/clinic
  3. Semi-autonomous government institution
4. Name of public institution: \_\_\_\_\_
5. Interviewee's position in the institution: \_\_\_\_\_
6. Gender of interviewee: \_\_\_\_\_

### **Public-Private Partnerships (PPPs)**

7. What services have been delivered on the basis of PPPs or outsourcing at this institution?
8. When did PPPs or outsourcing of these services begin?
9. How does your institution select its private sector partners?
10. What are the terms of the concessions/contracts?
11. What factors influenced the adoption of PPPs at this institution?
12. What services does your institution deliver on its own (i.e. without using PPPs or outsourcing)?
13. Why are these services not outsourced?

### **Tripartite Consultative Labour Council**

14. What factors influenced the establishment of the Tripartite Consultative Labour Council?
15. What issues are considered by this Council? Give examples.

### **Employer-union partnerships**

16. Is there a forum at this institution through which management and trade unions work in partnership to make policies or strategic plans?

1. Yes            2. No (skip to q 21)
17. If yes to q 16, what is this forum?
18. Give examples of policies or strategic plans that have been made through this forum/partnership.
19. What factors influenced the establishment of this partnership?
20. What challenges does management at this institution face partnering with trade unions in the process of policy-making or strategic planning?
21. What role do you think trade unions should play so as to promote effectiveness in the delivery of services at this institution?
22. Finish time of interview: \_\_\_\_\_
23. Duration of interview: \_\_\_\_\_

**End of Interview**

**Thank You**



## **APPENDIX VIII: LETTER TO CSAWUZ GENERAL SECRETARY**

The University of Zambia  
School of Humanities and Social Sciences  
Department of Political and Administrative Studies  
P. O. Box 32379  
Lusaka

5<sup>th</sup> January, 2015

The General Secretary  
Civil Servants and Allied Workers Union of Zambia  
P. O. Box 50160  
Lusaka



Dear Sir,

### **RE: REQUEST FOR PERMISSION TO INTERVIEW LEADERS OF THE CIVIL SERVANTS AND ALLIED WORKERS UNION OF ZAMBIA**

I am hereby requesting for permission to interview leaders of the Civil Servants and Allied Workers Union of Zambia (CSAWUZ). I am a Special Research Fellow in the Department of Political and Administrative Studies at the University of Zambia. The interviews are part of the data collection process for a study towards my PhD in Public Administration at the University of the Western Cape in South Africa.

The research title is: “Implications of Public Sector Reform for Public Sector Unions in Zambia: A Case Study of the Civil Servants and Allied Workers Union of Zambia in Lusaka District.” The interviews will focus on how public institutions in Zambia have been reformed, the effects of the reforms on CSAWUZ, and the union’s coping strategies.



In this process, I promise to protect the confidentiality of all the participants and to use the collected information for academic purposes only.

I will be grateful for your favourable consideration of this request.

Yours faithfully,

Mr. Clever Madimutsa



## **APPENDIX IX: LETTER TO MANAGERS OF PUBLIC INSTITUTIONS**

The University of Zambia  
School of Humanities and Social Sciences  
Department of Political and Administrative Studies  
P. O. Box 32379  
Lusaka

25<sup>th</sup> January, 2015

### **To Whom It May Concern**

Dear Sir/Madam,

**RE: REQUEST FOR PERMISSION TO INTERVIEW ONE  
MANAGEMENT OFFICIAL AT YOUR INSTITUTION**

I am hereby requesting for permission to interview one management official at your institution. I am a Research Fellow in the Department of Political and Administrative Studies at the University of Zambia. The interview is part of the data collection process for a study towards my PhD in Public Administration at the University of the Western Cape in South Africa.

The research title is: “Implications of Public Sector Reform for Public Sector Unions in Zambia: A Case Study of the Civil Servants and Allied Workers Union of Zambia in Lusaka District.” The interview will focus on Public-Private Partnerships (PPPs) adopted by your institution to deliver public services, employer-union partnerships, and the Tripartite Consultative Labour Council.

In this process, I promise to protect the confidentiality of all the participants and to use the collected information for academic purposes only.

I will be grateful for your favourable consideration of this request.

Yours faithfully,

Mr. Clever Madimutsa



## APPENDIX X: CONSENT FORM

### RESEARCH TITLE: IMPLICATIONS OF PUBLIC SECTOR REFORM FOR PUBLIC SECTOR UNIONS IN ZAMBIA: A CASE STUDY OF THE CIVIL SERVANTS AND ALLIED WORKERS UNION OF ZAMBIA IN LUSAKA DISTRICT

I have read the information presented in the information letter about a study being conducted by Clever Madimutsa towards the Doctoral Programme at the School of Government (SOG) at the University of the Western Cape.

This study has been described to me in a language that I understand and I freely and voluntarily agree to participate. My questions about the study have been answered.

I understand that my identity will not be disclosed and was informed that I may withdraw my consent at any time by advising the student researcher.

With full knowledge of all foregoing, I agree to participate in this study.

Participant Name : \_\_\_\_\_  
Participant ID Number : \_\_\_\_\_  
Participant Signature : \_\_\_\_\_  
Date : \_\_\_\_\_  
Place : \_\_\_\_\_

Student Researcher : Clever Madimutsa  
Student Researcher Signature : \_\_\_\_\_  
Student Number : 3314494  
Mobile Number : +27 84 248 3105  
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I am accountable to my supervisor : Dr. Leon G. Pretorius  
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