AN ASSESSMENT OF THE PUBLIC SECTOR PLANNING PROCESS OF THE IMPLEMENTATION OF CAPITAL PROJECTS IN THE OHANGWENA REGION, NAMIBIA

BY

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DECLARATION

I declare that an assessment of the public sector planning process of the implementation of capital projects in the Ohangwena region, Namibia, is my own unaided work, that it has not been submitted for any degree or examination in any other university, and that all the resources I have used or quoted have been indicated and acknowledged as complete references.

George Tileinge Jeremia   May 2009

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Signature

DEDICATION

I dedicate this work to my late parents, Thomas Jeremia and Tresia Hashipala, who passed away while I was six and thirteen year old, respectively. Dad, I can hardly recall your face, but what a humble and caring person you were, I am told. I wish you lived longer so that you could share in my achievements. In your absence, mother took full responsibility for all of us and raised us in an exemplary way. It was such a blessing to have a wonderful mother, teacher and friend, like her.

I will remiss if I fail to also dedicate this research to the late Mr. and Ms. Kalangula who took over the role of parenthood after the passing of my mother until I became a man. Thank you very much for making a difference in my life. MAY ALL YOUR SOULS REST IN ETERNAL PEACE!

ACKNOWLEDGEMENTS

10 KEY WORDS

Project Identification Form

Decentralization

Planning

Capital Projects

Capacity

Public Sector

National Planning Commission

Regional Council

National Development Plan

Implementation

ABSTRACT

This research study focuses on the way the Namibian public sector plans and implements capital projects, mainly in the Ohangwena region, and the Ministry of Health and Social Services in general. The research results show that the planning and project process is not clear and that options need to be considered for the improvement thereof. It is observed that often some of the identified and approved capital projects are not implemented and, if implemented, this is typically done in two or three years. Most parts of Ohangwena are comprised of sandy roads, especially the north-eastern area of Ohangwena which represents a large part of the region. Distances between health facilities and the scarcity of transport make it difficult for the community to easily reach the nearest health facility.

The primary objective of this study is to perform an assessment of the planning process in the public sector for the implementation of capital projects and its effectiveness with regard to the planning and implementation of identified capital projects. From the outset, the critical issue is not only implementation, but also how the Ministry plans its capital projects for successful implementation. Interestingly, no research has been done before on this topic in Namibia. Against this background, officials (planners) that are directly involved in capital projects design were interviewed at the district, regional and national levels of the Ministry. The research investigation found that, in general, the planning and project processes in the Ministry are good, but a number of weaknesses were observed in the implementation process.

The findings of the study showed that capacity in the Ministry, in terms of skills and technical expertise, are among the main causes of delay in the implementation of capital projects, particularly in the region and in the Ministry in general. The research found that lack of technical expertise in the Ministry and the limited capacity of those responsible for capital projects initiation and implementation, especially at the District and Regional level, have a substantial influence on most of all the weaknesses observed in the system. In this regard, specific recommendations were made regarding the prioritization of the necessary posts and building capacity at the operational level.

ABBREVIATIONS

COs	Civic Organizations
CDCC	Constituency Development Coordinating Committee
CMO	Chief Medical Officer
CCO	Chief Control Officer
CO	Control Officer
DoW	Department of Works
HIS	Health Information System
MTP	Medium Term Plan
MTR	Medium Term Review
MTEF	Medium Term Expenditure Framework
MoHSS	Ministry of Health and Social Services
MoF	Ministry of Finance
NGOs	Non Governmental Organizations
NDPs	National Development Plans
NPC	National Planning Commission
NGOs	Non-Governmental Organization
O/M/A	Office Ministry Agency
PIF	Project Identification Form
PMO	Principal Medical Officer
PHC	Primary Health Care
PMBOK	Project Management Body of Knowledge
PMDRC	Policy and Management Development Review Committee
RMT	Regional Management Team
RDCC	Regional Development Coordinating Committee
SADC	Southern Africa Development Community
UN	United Nations

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CHAPTER 1

INTRODUCTION

1.1   INTRODUCTION

Of late, the concept of project management has gained momentum in the implementation of activities. Even individuals, when carrying out their daily chores, though insignificant, refer to these activities as projects. The public sector had also moved away from a system management to a project management type of approach when planning and carrying out its unique programmes. However, one of the functions of the government of Namibia is to plans for infrastructure development; better known in Namibia as 'Capital Projects[1]'. The main aims of capital projects, for instance, in the Ministries of Education and Health, are to make education and health accessible to the community by building schools and health institutions within walking distances of the community. The utilization of these services creates a healthy and well-educated nation and, eventually, promotes quality of life. In order for the nation to achieve such goals, the political and social environment of the country needs to be sympathetic to the planning system and project management processes.

Namibia is a democratic country and pursues a policy of mixed and open economy in which free enterprise plays a leading role. The government has chosen a participatory approach in the formulation of National Development Plans (NDPs) which are among the country's planning instruments. This creates a favorable social and political environment for the planning system.

The irony is that sometimes one finds institutions with good organizational arrangements, but which lack the direction and capacity[2] to deliver effectively and according to plan. Therefore, this research study explores the principles underlying an effective planning system and

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[1] For the purpose of this study, Capital Project means construction or identification of health facilities, schools, etc.

[2] Capacity refers, *inter alia*, to human and financial resources, and skills to deliver the services according to required standards.

investigates those that are beneficial to successful implementation of capital projects. Lessons learned from strategic and other management approaches will be used to advance the Ministry's strategic agenda. The research will further examine whether the project development process in Namibia is in conformity with the project management knowledge areas. Lessons borne out of experience will be recorded to form practical recommendations for best practice benchmarks, if taken into considerations.

1.2   RESEARCH PROBLEM

The way in which projects are managed in the public sector differ slightly from the manner adopted in the private sector, and also depend on a number of factors, such as type of the project, whether it is state, private or donor funded, etc. Goodman and Love (1980: 44) maintain that the success of project management is in many ways pre-determined by the policy setting within which the project takes place.

In Namibia, projects are planned over a five-year period in the National Development Plan (NDP) and are implemented by means of an annual budget over that five-year period. Despite the wonderful social and political climate in Namibia, in some parts of the country, especially the northern regions, one still finds people walking long distances to reach the nearest health facility. These anomalies in infrastructural development do not necessarily result from a lack of planning, but from the slow implementation process of planned projects. There are not many concrete guidelines in Namibia's public sector that regulate the management of projects, but individual Ministries have developed their implementation policies that are within the national legal framework of infrastructure development and management.

Upon approval and funding of a specific project, the Ministries (national) inform regions who, as a result, communicate the position of the project to the community concerned.   Consequently, these create an expectation in the communities of the implementation of the planned projects. Often, this does not happen as planned, since approved projects may, sometimes; take up to three

years before the initial implementation. Regional Council Offices[3] and line-ministries still retain a number of projects that are identified and approved and, in some cases, documented as funded capital projects that are still to be implemented. However, the decentralization[4] policy in Namibia is progressing fairly well in most areas, which is to be applauded. Yet, this does not shed much light on project funds transfer (utilization and management) to the Regional Council Funds which seems to be one of the main areas at which project implementation is delayed. The Regional Council Act, of 2002, as amended, section 33 made provision for the establishment of the Regional Council Funds[5].

Once they heard that their clinic was approved by the Ministry two years ago, the community of Oshaango in Ohangwena region, Eenhana district, arranged an urgent meeting with the Regional Director of the Ministry of Health and Social Services to demand the immediate construction of the clinic. Since Oshaango is in the Ondonga tribal area and most residents of Ohangwena are of the Kwanyama tribe, the community of Oshaango judged the delay in construction of the clinic from a tribal point of view. They went even to the extent of boycotting the immunization outreach service that the district hospital was carrying out on a weekly basis in that area.

Onambutu clinic which is in the same region and district was transferred to the state by the Evangelical Lutheran Church in Namibia (ELCIN) mission and needed urgent renovation. The clinic had large wall cracks and a loose roof that could be blown off by the wind at any time. In spite of consistent reminders, and even though approval for renovation had already been given, it

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[3] Regional Council office refers to the office to which all Regional Councillors of different constituencies and line Ministries within Ohangwena region report, as provided for in the Regional Amendment Council Act of 2000.

[4] Decentralization refers to a process of transferring responsibilities and resources from the decision-making sphere to the intermediate or base levels. It also implies the functional decentralization whereby the functions and services are transferred from central agencies to other intermediate or basic levels in a specific sector of public administration (Alfonso in Kaufman 1997: 170-171).

[5] Regional Council Fund means the Fund that was established in terms of the Regional Council Finance Act and in which all regional moneys are deposited.

took the Ministry[6] (national) about three years to realize that a new clinic needed to be built rather than to renovate the existing one. The existing RMT[7] is a small office which was built based on the old staff establishment[8]. After the old staff establishment was revised, a number of staff members were appointed and, as a result, the need for additional office space was inevitable. Even though requests for an extension of the premises were submitted simultaneously with the proposed increase in the staff establishment, the office is still to be built, a situation that has resulted in an unhealthy working environment. These are but only a few of many examples. Given that backdrop, this research will attempt to seek answers to the following research questions:

- What causes the delay in the planning of the implementation of public sector capital projects?
- Who is involved in the planning of the implementation of capital projects?
- What processes are followed in the planning of the implementation of capital projects?
- How are capital projects appraised, selected, funded and implemented, generally in the Namibian public sector and, in particular, in the MoHSS?
- Does project management process in the public sector conform to the PMBOK requirements?
- What are the weaknesses within the current planning process in the implementation of capital projects?

By responding to these research questions, the researcher will be able to test their validity and relevance to this study and suggest possible solutions to advance the situation.

1.3   RESEARCH OBJECTIVES

The primary objective of this research is to perform an assessment of the planning process in the Namibian public sector that leads to the implementation of capital projects and to explore various

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[6] Ministry means, for the purpose of this study, the Ministry of Health and Social Services.

[7] RMT office means Regional Management Team which refers to Ministry of Health and Social Services at the regional level (line-Ministry).

[8] Staff establishment in this context means the total filled and vacant posts in the Regional Management Team (RMT) of Ohangwena Region.

options in an attempt to make it responsive to community needs. Effectiveness of the existing planning tools, in particular the National Development Plans (NDPs), will also be subjected to investigation.

The secondary objectives are to:

- Present a theoretical perspective of the planning and implementation process of capital projects in the public sector;
- Provide an overview of policies, legislation and NDPs as planning instruments in the Namibian public sector;
- Record and develop a case study of the planning process of the implementation of capital project in the Ministry of health and social services;
- Develop research findings on the planning process of the implementation of capital project; and
- Draw conclusions and formulate a practical set of recommendations for decision-makers and practitioners.

In other words, the research will investigate capital projects in the Ministry of Health and Social Services in the Ohangwena region and review the way they are developed at the grassroots, district and regional levels, how they are dealt with at national level, and eventually implemented.

1.4   RESEARCH METHODOLOGY

This section of the research covers issues related to research design; information on case study research; research pre-planning activities; methods of data collection; the process of data analysis; and the ethical aspects of the research.

1.4.1   Research design

Babbie and Mouton (2001) defines a research design as a plan or blueprint of how you intend conducting your research. It focuses on the end product, point of departure and the logic of the

research. This means that any research study must develop a design that will guide the process of planning and execution during data collection.

According to Babbie (2007) before designing a study, a researcher must define the purpose of the project i.e. exploratory, descriptive or explanatory. An exploratory design occurs when a researcher examines a new interest or when the subject of study itself is relatively new; a descriptive design describes situations and events, and an explanatory design is useful in research that explain things. This study is carried out based on the qualitative approach, and therefore, it comprises all three purposes that Babbie addresses.

Marshal (1996) argues that qualitative studies pursue a more humanistic approach aimed at answering complex issues. On the other hand, Smith and Osborn (2003) explain that many researchers use the qualitative approach when they need to gather detailed information about the perception and understanding of a particular aspect rather than make general claims.

The purpose of this study is to perform an assessment of the planning process in the Namibian public sector that leads to the implementation of capital projects. To achieve this purpose this research is embedded in a case study approach. The selected case study that assesses the effectiveness of the planning and project process took place in Ohangwena region (MoHSS) which is one of the poorest and highly populated regions in the country.

1.4.2   Case study research

According to Creswell (1998) a case study can be regarded as an exploration or in-depth analysis of a 'bounded system' (bounded by time and/or place) or a single or multiple cases, over a period of time. On the other hand, Yin (1989) defines a case study as an empirical inquiry that investigates a contemporary phenomenon within its real-life context, when the boundaries between the phenomenon and context are not clearly evident, and which multiple sources of evidence are used.

Both Handel (1991) and Runyan (1982) agree that a case study is an intensive investigation of a single unit. They also argue that, most case studies involve the examination of multiple variables. De Vos, Strydom, Fouche and Delport (2002) propose that exploration and description of the case take place through detailed, in-depth data collection methods, involving multiple sources of information that are rich in context. These can include interviews, documents, observation or archival records. Babbie (2001) points out that the case study researcher, in contrast with grounded theorists, seeks to enter the field with knowledge of the relevant literature before conducting the field research.

On the other hand Yin (1989) also identifies three types of case studies namely; exploratory, descriptive and explanatory. According to him, explanatory case studies often seek to answer the 'what' questions; the descriptive case studies ask 'what is going on' questions, while explanatory case studies seek to answer the 'how' and 'why' questions. Therefore this research was guided by the above-mentioned types of case studies to investigate how the planning of and capital project process is done in the MoHSS, Ohangwena region, and suggests options to improve the system.
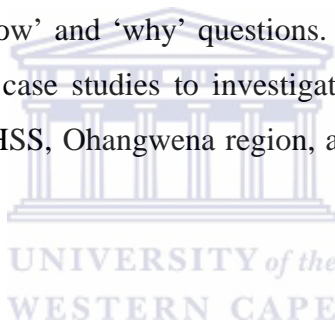
1.4.3   Research pre-planning

The researcher went through various dissertations and accessed their research objectives in connection to their influence in choosing methods of data collection and how the chosen methods influenced the final findings of their research. It was learnt that most academic dissertations had questionnaires as the most central method of data collection. This research is literature-based, and draws on both primary and secondary sources that are relevant to this study in order to answer the research question. Primary data includes, among others, guidelines and policies, while newspaper articles form part of the secondary source of information. The fieldwork results were gathered with the use of structured questionnaires that where answered by selected respondents. Before the interviews were conducted, the researcher piloted the structured questionnaire with two junior officials in the planning division of the MoHSS to measure the duration of the interview and to verify the precision of the questions. In the process a number changes were made to the questionnaire to make it more user-friendly.

The process of sampling considered the administrative setting of the MoHSS at all levels where capital projects are handled. This will assist the researcher to have a complete picture of the system due to the interconnectedness of activities that take place at all these levels. In terms of the decentralization policy, the Ministry of Health and Social Services (MoHss) is operating at national, regional and district levels. Being the political and administrative headquarter of the region, the line Health Ministry is supposed to report to the Regional Council Office, but due to the decentralization process that is not yet fully implemented, it reports to both the Regional Council and the MoHSS (national). Ohangwena health region is the third most populous region in the country[9], with a population of 263 388 inhabitants. The region covers an area of 10 582 km^2 and has an average population density of 21.3 per km^2. It consists of three district hospitals, namely, Engela, Eenhana and Okongo. Under these three district hospitals are 2 health centers, 27 clinics and 127 permanent outreach points. The Regional Management Team (RMT) oversees and supports the district hospitals in administrative and professional matters, to enable them to manage clinics and health centers.

The RMT is headed by the Regional Director deputized by the Chief Medical Officer (CMO) and the Chief Control Officer (CCO) as a regional administrator. District hospitals are managed by Principal Medical Officers (PMOs) deputized by the Nursing Managers and Control Officers as district administrators. 'Sisters in-charge' at the rank of a Professional Registered Nurse, manages health centers and clinics. There is no fulltime staff at outreach points but the Primary Health Care (PHC) sub-unit in the district hospitals carries out outreach services to these points according to a pre-planned monthly programme. One of the reasons for establishing outreach points is to, later; upgrade them to fully fledged clinics. The health district can have more than one constituency that is headed by different regional Councillors, hence the need for each Councillor to develop his/ her constituency. There are a total of 11 constituencies in the Ohangwena region.

However, methods that became relevant for this study were interviews, documentation and observation. The researcher conducted interviews, primarily at the regional and national levels of

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[9] Source: Ohangwena Region Annual Report, 2007/2008

the Ministry. The idea behind that was that the study needed to get as best responses as possible that would answer all the research questions and provide suitable information in a very limited period with minimal funds.

In that respect, interviewing was the main data collection method used by the researcher. In this part the study seeks to establish how capital projects are planned and developed at the district and regional levels, and how they are handled at national level, before implementation.

In light of the above, fifteen appointments for interviews were made, but only eleven interviews were successfully held. Due to time limits, the researcher requested the remaining four respondents to answer the structured interview questions (see Annexure A) which would be collected on the agreed upon date. Out of the four administered structured interview questions issued, only two respondents replied, and their responses had to be faxed to the researcher in Windhoek, on his way back to Cape Town. As has been indicated in section 1.7 of this research, the difficulty encountered may be attributed to the upcoming National and Presidential elections that will take place in November 2009.
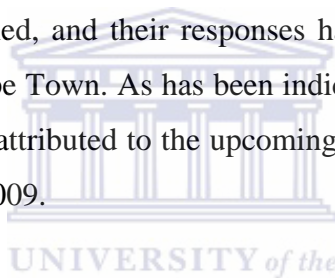
The researcher interviewed officials in the Ministry of Health and Social Services at national, regional and district levels who are responsible for planning. Included in the number of interviewees are one Regional Director of Planning, one Regional Economic Planner of the Ohangwena Regional Council and one Regional Inspector of Education and the Chief Control Officer (Administrator) in the Ministry of Basic Education of Ohangwena Region. The reason for including the Line-Ministry of Education in the interviews is to demonstrate that the same planning principles and project process are utilized in all government Ministries. Health and Education are the largest Ministries in the government of the Republic of Namibia. In terms of the Decentralization Policy of 2000, the Regional Council is the head of the regional government and plays a crucial role in regional planning. The officials interviewed in the Ministry of Health and Social Services include three Directors for Planning, Policy Planning and Facility Planning; one Project Manager; the Regional Director and Senior Accountant of the Ohangwena Region; a Nurse Manager and a Control Officer of the Okongo District Hospital in the Ohangwena Region. All these officials are directly involved in projects planning functions at their level of operations.

With regard to observation, the researcher uses the general knowledge gained at the work-place concerning capital projects planning instruments that are being used and the process that leads to project implementation in the Ministry. Regarding documentation the researcher made use of policies and other documents from government departments, and revisited various government websites to see further what has been written in the public sector on project management. The researcher visited the regional office of the Ministry of Basic Education and Regional Council of Ohangwena to see how they are planning and implementing projects. The idea was to generate information that would assist in the improvement of the implementation of capital projects in the Ohangwena Health Ministry. The experience that the researcher got was very useful for the success of this study and is incorporated in chapter four.

Finally, the researcher analyzed views of the interviewees and what is taking place on the ground (actual practice observed) against policies and guidelines, and the review of literature, to enable him to draw findings, conclusions and recommendations in chapter five and six, respectively.

1.4.4   Ethical aspects

Babbie and Mouton (2001) argue that ethics in research is the most important principle that guides the relationship between the researcher and his respondents. It also helps the researcher to maintain objectivity and integrity during the process of conducting scientific research.

This study observes the conventional procedures of ethical research: informed consent - the researcher obtained the permission of the respondents after they had been thoroughly and truthfully informed about the purpose of the interview and the investigation; the right to withdraw from the research - the researcher made it clear to participants in this research that they had the right to withdraw at any time during the research without any consequence to them; right to privacy - all the respondents were assured of their right to privacy i.e. their anonymity would be maintained when necessary; and the matter of referencing where this study uses other people's data or ideas with due acknowledgement and permission where appropriate.
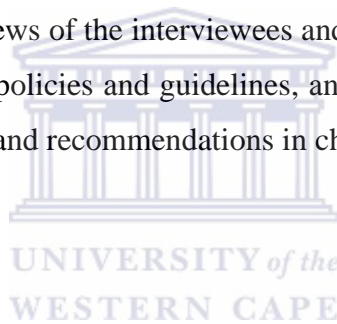
1.4.5   Method of data analysis

The researcher selected some people for interviews. Criteria for sample selection are explained above. This method focused on some potential respondents that would add more value to the study based on their skills, spheres of influence or positions in the organisation. Then the researcher transcribed all the information gathered during interviews and aligned this information with the data gathered through observations and documentation. The next step was to categorise the available themes based on the research questions and objectives. These themes and discussions can be found in chapter five.

1.5   LITERATURE REVIEW

The public sector is the part of economic and administrative life that deals with the delivery of goods and services by and for the government, whether national, regional or local/municipal, http://en.wikipedia.org/wiki/Public_sector [Online]. It is also viewed as the part of the economy concerned with providing basic government services. The composition of the public sector varies from country to country but, in most countries, the public sector includes such services as the police, military, public roads, public transit, primary education and healthcare for the poor. The public sector might provide services that non-taxpayers cannot be excluded from (such as street lighting), services which benefit all of society rather than just the individual who uses the service (such as public education), and services that encourage equal opportunity. http://www.investorwords.com/3947/public_sector.html [Online].

On the other hand, planning in public policy is the practice and the profession associated with the idea of planning an idea yourself, (land use planning, urban planning or spatial planning). In many countries, the operation of a town and country planning system is often referred to as 'planning' and the professionals which operate the system are known as 'planners'. Planning is a process for accomplishing a specific purpose. It is a blue-print of business growth and a road map of development. It helps in deciding objectives both in quantitative and qualitative terms. It is the setting of goals on the basis of objectives and keeping in view the resources, http://en.wikipedia.org/wiki/Planning#Planning_basics [Online].

The public sector needs to provide public goods in a more planned and coordinated manner on an annual basis. It is expected that, each financial year, the public sector will outline a plan of activities, known as a budget, to be carried out during that year. The budget covers the operational as well as developmental (capital) expenditures. For the plan to be operational, funds need to be made available. Chapter 4, section 18 of the Local Government: Municipal Finance Act, 2003 of the Republic of South Africa prescribes that an annual budget may be funded from realistically anticipated revenues to be collected, funds rolled back from the previous year's surpluses not committed for other purposes and borrowed funds, only for the capital budget.

Jones and Pundlebury (1994:63) point out that if capital expenditure is to be financed from revenue contributions, the capital budget will be an essential means of determining the pricing structures that will be needed to ensure sufficient resources are generated to meet the capital requirements and, if it is to be financed from loans, the long-term effect on future revenue budgets is an important issue. Although capital budgets may be prepared for one year only, according to Jones and Pundlebury, the long-term nature of capital schemes suggests that budgets for several years ahead will usually be more appropriate, which make capital project budgeting a medium to long-term exercise. They added that a useful approach to the problem of planning and controlling capital expenditure is to develop capital programmes which express the overall plan of short, medium and long-term capital schemes, and reveal the allocation of priorities between different parts of the organization, Jones and Pundlebury (1994: 66).

Clements and Gido (2006: 4) define a project as an endeavor to accomplish a specific objective through a unique set of interrelated tasks and the effective utilization of resources. According to them, the following attributes help define a project:

A project has a well-defined objective - an expected result or product that is defined in terms of scope, schedule, and cost; it is carried out through a series of interdependent tasks, that is, a number of non repetitive tasks that need to be accomplished in a certain sequence in order to achieve the project objective; it utilizes various resources that can include different people, organizations, equipment, materials, and facilities, to carry out the tasks; a project has a specific

timeframe or finite lifespan that has the starting time and the date by which the objective must be finished; it may be a unique or a one-time endeavor; a project has a customer. The customer can be an entity, it can be a person, an organization, or a group of two or more people that provides the funds necessary to accomplish the project; and finally, they indicated that a project involves a degree of uncertainty since it is based on a unique set of tasks and estimates how long each task will take, and estimates the costs associated with the resources.

Defining a budget for development projects is frequently referred to as an art form. It seems to be true with all business ventures; cost projection can easily be the subject of 'fuzzy math', with little bearing on reality. Hourly rates for development time, escalation costs for rapid development, and pricing of tools and other resources can fluctuate based on little more than what the client can afford http://www.sanichar.com/DefineBudget.html [Online].

Actual costs are defined as real, accounted construction costs determined at the time of project completion. Estimated costs are defined as budgeted, or forecasted, construction costs at the time of the decision to build. Although the project planning process varies with project type, country, and time, it is typically possible for any given project to identify a specific point in the process as the time of decision to build (Flyvbjerg, Holm and Buhl 2002: 281).

It is widely recognized that poor project planning plays a major role as one of the significant causes of failure to deliver. Projects do not often suffer from devastating failure. They do, however, have a propensity to run over budget, take longer to complete than was originally anticipated or fail to deliver on expectations in terms of quality, scope, safety or some other key stakeholder expectations. Root cause analysis on numerous projects over an eight-year period suggests that these failures are commonly triggered by some form of communication breakdown. A significant number of projects exceed their original budgets, run late or fail to meet their objectives, Hartman, and Ashrafi. (2004: 499 - 500).

Once individuals are in the planning or narrative mode, there are a number of obstacles that prevent them from incorporating their past experiences into their story. Three of these impediments were identified by Buehler, Griffin and Ross as; the forward nature of prediction,

the elusive definition of 'similar' experiences and the attribution processes that diminish the relevance of the past to the present. The act of prediction, by its very nature, elicits a focus on the future rather than on the past; a future orientation may prevent individuals from looking back in time at previous events. However, a failure to use personal base rates need not always result from neglecting to learn from the past. People may sometimes attend to their past experiences but nevertheless fail to incorporate this information into their predictions, (Buehler, Griffin and Ross 1994: 367).

Burke (1999: 1) postulates that the main difference between project management and general management (or any other management for that matter) relates to the definition of a project and what the project intends to deliver to the client and stakeholders. Project management is defined by the Body of Knowledge as: "….the application of knowledge, skills, tools, and techniques to project activities in order to meet stakeholders' needs and expectations from a project." In other words, the project manager must do whatever is required to make the project happen (Burke, 1999: 3). Project management is a dynamic process that is influenced by resources, environment and stakeholders; therefore it needs a lot of creativity and flexibility in order to realize the project objective. Project management phases are known by many different expressions, depending on the type of project that is being undertaken. Some of the familiar phases and expressions are outlined below;

Phase 1:   Project Initiation / Inception / Envisioning / Analysis
The first phase of project management is where it is decided what must be done and what limits or constraints must be lived within. This phase is the responsibility of the sponsor (the management person with oversight of the project), but it can be done by the project leader with the sponsor reviewing and approving it when it's complete.

Phase 2:   Project Planning / Elaboration / Design / Prototyping
In this phase the team decides how the project will be done: by whom, for how much money, how long. Outputs from this phase are the project plan, which is approved by the sponsor, customer, and other key stakeholders (people or groups affected by the project).

Phase 3:   Project Execution / Construction / Development / Production

Some use the word implementation in reference to implementing the plan (such as creating software) rather than installation of the product created as a result of following the project plan.

Phase 4:   Project Deployment / Transition / Stabilizing / Close-Out

This step includes project completion and review; disband the project team and deployment of projects to end users (Wysocki, et al, 2003).

1.6   RATIONALE AND SIGNIFICANCE OF THE STUDY

Each year the region is informed to motivate and submit PIF forms to the Ministry in which they give details of identified clinics, and rank them according to the priorities of the region. On a number of occasions, it happened that these identified projects were not considered and, if considered, it may not be within the planned period, or even according to the regional priorities.

The rationale underlying the research is that a diagnosis of public sector planning that typically, leads to the implementation of capital projects will identify the root causes of the delays in the implementation of approved and funded projects, particularly in the Ohangwena Region and in general in the Ministry of Health and Social Services. Implementation of planned health facilities enables the Ministry to attain its vision of 'health for all by the year 2030 and beyond.'

This study is significant since no similar research has been undertaken before, particularly in the Ohangwena region and generally in Namibia on this topic. Furthermore, the study is essential given that it will come up with recommendations that, if taken into consideration, could assist to improve the planning of the implementation of future projects. Since the research is the first of its kind, it may provoke the academics, managers and planners to promote further research on the same or relevant topic.

1.7 LIMITATIONS OF THE STUDY

As was mentioned earlier, the fact that no previous research in this area has been conducted in Namibia before will impact the nature and scope of the study. Another limitation, which was also alluded to earlier, is the lack of literature, particularly in the field of project management in the Namibian context. Consequently, there are few sources, specifically on this topic, in Namibia on which this study is to be based.

Nevertheless, the study will make use of relevant legal frameworks and policy documents that are currently in use. The study will also use approaches advanced by various authors on the subject and relate them to the Namibian situation. The study is done with very limited sources of funding with no substantial support from external forces. Funds hinder results to some extent as they set limits e.g.; the number of respondents contacted, the area to research and the time for carrying out the study. All in all, this study is for academic purpose and this factor influences the researcher to adhere with other academic requirements such as degree duration and the need to graduate within two years.

The research coincides with the National and Presidential election which will take place in November 2009. Therefore it is likely that the researcher will encounter difficulty in obtaining information, especially information regarded as confidential as some respondents may fear to be perceived as a political promoter. Some of the examples of approved projects not implemented and used by the researcher in the study are as given, but they may be addressed by the Ministry during the course of this research. However, apart from these limitations, the researcher tried his level best to conduct a study that adhered to the requisites of scientific research.

1.8 COMPOSITION OF THE STUDY

The thesis is structured in six chapters and the sequence will be as follows:

Chapter 1:   Introduction

This chapter provides an extensive and general backdrop to the problem statement with regards to the planning process in the public sector that leads to the implementation of capital projects in Namibia. It will also include the research statement, research objectives, an introductory review of literature, research methodology, rationale and significance of the study, composition of the study, and ends with the conclusion.

Chapter 2:   The notion of planning in the public sector

The main discussion in this chapter covers the background of planning, principles of planning, and strategy and other management approaches. The study demonstrates how planning, when linked to strategies, can enable an organization to adapt to the changing environment.

Chapter 3:   Theoretical review of implementation and project management processes

The discussion in this chapter also forms part of the literature review which is more specific to approaches that leads to the implementation of projects and project management processes. The project management processes are discussed in relation to the nine areas of Project Management Body of Knowledge which features prominently in the processes. Throughout, the study looks at various implementation approaches and assesses their relevance to solicit those that are beneficial and able to test the case study of this research. Common reasons for project failure are discussed last in the chapter.

Chapter 4:   Case of public sector planning and the project cycle in the MoHSS

A perspective of the planning process in Namibia will be outlined in this chapter by looking at the phases of planning or the annual planning cycle and procedures followed. Moreover, the study will look at available legal instruments, that is, policy guidelines, Acts, and legislation that regulate the planning system in Namibia. The chapter covers project development cycles in the

Ministry of Health and Social Services in the Ohangwena Region, Namibia, by looking at how projects are identified and selected at the regional level and how they are appraised at national level, and eventually implemented. The field work results are incorporated in the discussion of this chapter.

Chapter 5:   Research findings

This chapter will apply the theoretical overview to the case study and develop research findings on capital project planning and the project process in the Ministry of Health and Social Services in Namibia.

Chapter 6:   Conclusions and recommendations

In this chapter the research draws its conclusions by forming practical sets of recommendations for decision-makers and those who are interested in future research on similar topics. This chapter will also outline a number of recommendations for future research areas.

1.9   CONCLUSION

The main aim of planning is to look into the future, identify problems and act on them. To plan for many projects that are not implemented, year after year, create a wrong impression of the whole planning system and, if wrongly interpreted, as in the case of Oshaango, it destroys the good relationship between the region and the community it is serving. The plan is rendered incomplete if it lacks proper implementation mechanisms; hence, planning objectives are reached through implementation of planned activities.

The following chapter will highlight key planning principles which serve as a catalyst to an effective planning system, and discuss, systematically, various management aspects required to enhance management practices conducive to the implementation of capital projects in the public sector.

CHAPTER 2

THE NOTION OF PLANNING IN THE PUBLIC SECTOR

2.1   INTRODUCTION

Chapter 2 and chapter 3 of this research will discuss the theoretical background to the study. This chapter provides a brief overview of planning approaches with a view to showing the importance of sustainability of planning through empowerment and capacity-building of the community or service recipients. In order to demonstrate the significance of planning, the research addresses the principles of planning, and identifies lessons learned from the bottom-up and top-down planning experiences. The chapter concludes with strategic and other management aspects that facilitate and enable an organization to attain its objectives.

Frame (1987:156) postulates that plans are generally three-dimensional, as they focus on time, money, and human and material resources. Planning entails the future and, in dealing with the future, we are dealing with uncertainty. A fundamental reality of planning, then, is that it involves uncertainty. This means that our very best plans are estimates, mere approximations of what the future may hold (Frame 1987: 157). When planning, one visualizes what one would like the future to look like for a specific period of time. It is then expected that all activities planned need to travel through the planned path until the desired objective is achieved. Plans are basically meant to address existing, and/or anticipated problems. Therefore, until a planned activity is implemented, that existing or anticipated problem persists except if re-planning takes place to suit the changing environment. It is, therefore, the intention of this chapter to examine planning principles and various management aspects in the public sector that are suitable for implementation of capital projects.

2.2   PLANNING BACKGROUND

The 1950s and 1960s were periods of vigorous theorizing about planning. Some thinkers perceived the rise of a new professional class, a technical intelligentsia, and speculated about its

relationship to the older classes of capitalists and workers. Planners wanted to be absolutely certain that their counsel was reliable. They saw planning as a form of scientific management which differed from traditional management because it brought special skills to the rational analysis and solution of social problems. Unlike administrators who dealt with the tasks of everyday management, planners were primarily concerned with making non-routine decisions.

In this role, planners were sustained by a widely held belief that science and the new technologies of decision-making could help to provide what they promised. As members of the state apparatus, planners were inclined to see the managerial state as a guardian of the public interest and an instrument for social progress. As long as everyone played his part well, the system was fail proof. The dream of endless progress did not last as, within two decades after World War II, the United States was bogged down in the quagmire of Vietnam, and then poverty was rediscovered, on a larger scale than before. Militant students read Marx and Marcuse and organized themselves for political struggle. This caused an uprising by the Black Power movement which became restless, and resulted in the assassination of national leaders and burning of properties in the inner cities. The state responded to this frontal challenge in the accustomed way whereby many experimental programmes were started in the 1960s to combat poverty and to respond to the escalating demands of inner city residents. These caused planners to listen more attentively to the voice of the people and maximum participation was given an official blessing (Friedman, 87:7-8).

The main aim of planning is to ensure that essential services needs are met, concurrently, taking cognizance of the available resources into consideration before a decision to spend is considered. By definition, a socially undesirable distribution of resources is one with which society is unhappy. Government, as a representative of society, must therefore take steps to achieve a more acceptable (equitable) resources distribution. While there are many competing needs in the public sector, note must also be taken of the limited resources available to address these needs. It is at this point that planning becomes more crucial to determine the merit of priorities among priorities.

From the planning background, it becomes evident that there is a distinction between planners and administrators; therefore, the two need to work together, closely. It has also become clear that for planning to become sustainable, it needs to be transparent and include those that are directly or indirectly affected.

2.3   KEY PRINCIPLES FOR AN EFFECTIVE PLANNING SYSTEM

Planning is a process by which managers look to the future and discover alternative courses of action. The need for planning becomes more obvious as persons and organizations develop an awareness of the precise nature of their objectives. Therefore, the first stage of any type of planning is the conscious and explicit statement of the ultimate objectives. The process of planning may begin with a vague hunch or an element of intuition on the part of an individual or a group; yet, good managers will visualize quickly a clear pattern for handling correct assumptions about future actions. In planning for a group action, this pattern must provide a reference for all members of the group. Each member need not understand all the details of all related plans, but must comprehend how that member's own detailed plan fits into the general overall plan (Massie, 1987: 83). Massie defines a plan as a predetermined course of action. Plans may be tailored to a specific project, or they may be established as standing plans for any future actions (Massie, 1987: 83).

Kaufman identifies three major levels of planning, which are micro-planning - individual (or a small group's) performance; macro-planning - the organization itself, and mega-planning which uses the information for making sensible choices about operations (and methods) and thus helps to shape the results as a consequence. The mega-planning level takes the widest view of what an organization can do or how it can contribute. The macro-planning level views the primary planning client as the organization itself, while the micro-planning level is the most widely used. It functions to specifically improve individual human competence and performance. He concluded that the choice of which level to use (and when) is our own (Kaufman, 1992: 4).

Planning ensures that sound administrative, management and governance process that will facilitates effective service delivery, are maintained. This is facilitated by ensuring that the

management or implementation activities are updated, by guaranteeing that the right or qualified people are employed in a transparent approach and are capacitated in order to enable them to exercise their duties in a more professional and desirable manner and eventually, ensure that resources are spend where they are mostly needed. For that reason, the following discussion will provide a brief overview of the key principles for an effective planning system.

2.3.1   Planning and communication

Cameron and Stone (1995:139) explain an organisational structure as - the network and channels through which communication takes place in an organisation and which help either to facilitate or to hinder communication. Communication networks define the flow of messages in formal patterns (downwards, upwards and horizontally) and informal patterns (the grapevine). They define downward communication as the flow of communication from manager to employee in the organisational hierarchical structure while upward communication is the flow of information/ messages from employees to managers. Downwards communication command and instruct, while upwards communication informs.

Kuye et al (2002:169) describe communication as the process that binds the institutions together, a way of reaching others by transmitting ideas, facts, thoughts, feelings and values. They emphasises that the goal for communication is understanding and often blame poor communication when the Public Services does not implement processes or functions successfully. They conclude that successful communication practices should be applied by all managers and subordinates alike in all spheres of government.

2.3.2   Planning and participation

An interesting definition of citizen participation is given by Johnson 1984, in Brynard P. (1996: 40) who defines it as "a process wherein the common amateurs of community exercise power over decisions related to the general affairs of a community." Similarly, Persons 1990, in Brynard P. (1996: 42) submits that effective citizen participation exists when a decision-making effort aiming at planning, funding, advocacy or delivery of services directly involves those

whom the decision affects and of which the results reflect their concerns. In his article titled, 'Community participation: lessons from post-apartheid South Africa', John William defines community participation as the direct involvement of ordinary people in the affairs of planning governance and overall development programmes at local or grassroots level.

The logic of moving from individual choice to choices made by society as a whole is built on three fairly simple tenets. First, individuals are the best judges of their own well-being and will generally act to improve that well-being as they see it. There is no scientific principle that leads us to reject or accept the judgement made by the individuals about their own lives. Second, the welfare of the community depends on the welfare of the individuals in that community. In other words, communities are made up of people. From that comes the third tenet - judging the impact of a social action on the welfare of the community (Mikesell, 1995: 10).

Gaventa (2006:11) in Larok (2007), when discussing deepening democracy as part of community participation, postulates that democracy is a process through which citizens exercise ever-deepening control over decisions that affect their lives. Studies in organisational behaviour have long argued that more participation in the workplace, high job involvement, and opportunities to use an effective voice may lead to high job satisfaction, low staff turnover and absenteeism, and better performance by organisations, Keller (1997) and Lume et al (1998) in Vigoda-Gadot and Cohen (2004:15). Vigoda-Gadot and Cohen (2004:49-50) suggest that a better definition of the government and public administration-citizen relationship must rely upon the conception of corroboration and partnership, if not citizenry ownership and control.

Opportunities to participate increase trust in organisations. Participatory work cultures also facilitate learning, Watkins and Marsick (1993) in Carnevale (1995:75). He added that an organisation's willingness to use participatory processes and to involve people in decision-making is the primary way of building trust, learning, and high performance. Carnevale remarked that participation is democratic, a way to decentralize authority and influence in an organisation, and it fosters efficacy, the feeling that organisational change is possible and an individual can play a role in bringing about this change (Carnevale, 1995:75).

2.3.3   Planning and transparency

Khoza and Adam (2005:209) indicate that transparency is inextricably linked to accountability and is thus one of the essential ingredients of good corporate governance. They state that transparency concerned the obligation of an organisation to account in an open and honest manner to those with legitimate interests - the stakeholders in business (Accountability 1999:8). In a more business-like approach, the King Report defines transparency as "...the ease with which an outsider is able to make meaningful analysis of the company's action, its economic fundamentals and the non-financial aspects pertinent to the business. This is a measure of how good management is at making necessary information available in a candid, accurate and timely manner - not only the audit data but also general reports and press releases. It reflects whether or not investors obtain a true picture of what is happening inside the company" King Committee on Corporate Governance (2002) in Khoza and Adam (2005:209).

Khoza and Adam (2005:209-210) further indicate that transparency includes appropriate reporting and disclosure practices, as well as the right of access to information. Moreover, they added that transparency enhances accountability and inclusivity and it is through transparent practices that the accountability of organisations is enhanced. "Government has a special duty of transparency and accountability in respect of its stewardship of national assets in pursuit of the national interest" King Committee on Corporate Governance (2002) in Khoza and Adam (2005:212).

2.3.4   Planning and prioritization

The process of determining priorities has both a political and a socio-economic foundation. The reason for the political aspect is that government departments implement political policy, and departmental objectives must necessarily complement and support political policy. The socio-economic aspect is equally logical. The executive activities carried out by the departments are intended to accommodate the needs of the community, while at the same time it is the question of economics that make prioritization necessary. The term 'priority' refers to the preferential choice concerning needs that must be met. Bearing in mind that government has only limited

resources at its disposal, we can logically deduce that each objective executed by a department in fact represents a top priority. The determination of priority is one of the foundations of budgetary decision-making. There is therefore a direct link between determining priorities and the budget. We can therefore conclude that priorities are determined in terms of the estimate of expenditure, particularly because alternatives can be established once the proposed expenditure related to a priority has been determined (Erasmus and Visser, 1997: 96-97).

When revenues become uncertain, spending behavior may change. Planning assumes long-term stability. With continual disruptions and reallocation from project to project, planning makes little sense. The idea of being patient and giving up current programmes or capital projects to someone else with the assurance that you will succeed in the future, vanishes. Being on top of the current list is all that counts. This pattern makes it difficult to save money for a large project or allocate one large project in one area in one year and another large project somewhere else another year. Instead, the emphasis is likely to be on a number of smaller projects each year, even if none of them can solve real problems because they are too small. Also, one is not likely to break a large project or programme into parts; assuming that one part can be achieved this year, and another next year; the later part may never arrive, and the project would remain incomplete and useless (Rubin, I.S., 1993: 133).

2.3.5 Planning and re-prioritization

Each year the government is expected to make an estimation of revenue and expenditure for a specific financial year and outline the activities it is going to carry out. An efficient budget preparation procedure should aim at making the government's priorities clear and at selecting, from the many budget requests by spending Ministries, those which are really important to the government.In principle, that requires two elements. First, a budget strategy needs to be determined at a political (typically cabinet) level, which determines the affordable total, new policies to be accommodated, and any changes (often reductions or cut backs) in existing policy provision. Second, each spending Ministry and the budget department/planning Ministry should meet to discuss each Ministry's estimates. To accommodate new policies, the budget department/planning Ministry must require each spending Ministry to prioritize its requests.

2.3.6 Planning and expenditures control

A government holds both political and administrative power over public resources. Given this combination of power, good governance becomes a critical factor in the financial management of the public sector. Good governance entails that government must ensure the economic stability, redistribution and achievement of development goals by acting responsibly, participative, transparently and accountably.

Kerzner (2003) argues that careful management control must be established, because the planning phase provides the fundamental guidelines for the remainder of the project. Since planning is an ongoing activity for a variety of different programmes, management guidelines must be established on a company-wide basis in order to achieve unity and coherence. Management policies and directives are written specifically to assist the programme manager in defining the requirements (Kerzner, 2003:431). Frame (1987:162) argues that "You can't plan too much" and "A project with weak control is a project out of control." Unfortunately, planning and control have costs associated with them. On the surface, it may seem that we should always implement a major planning and control effort in order to minimize uncertainty and to be in full control.

The expenditure control function in budgeting involves restraining expenditures to the limits of available finance and preserving the legality of transactions conducted by an agency. Expenditures must agree with appropriations. Expenditures must coincide with the intent of the legislature. The control function helps develop information for cost estimates used in preparation of new budgets and in preserving audit trails after budget years are over (Mikesell, 1995: 37).

2.3.7 Planning and responsibilities

Where plans stipulate that something needs changing, they also need to make clear who will take responsibility for achieving the change. Frustration with planning has often arisen from the feeling that plans do not lead to action. This is one of the reasons for the growing popularity of

the term 'strategic management' as opposed to 'strategic planning'. The planning process is an opportunity to decide what action should be taken, but it needs to go further than that and generate action plans. Clarification of responsibilities can go further than linking names with actions. One of the issues which may emerge from a planning process is that of organizational structure, and how different units relate to each other. Job descriptions and statements of roles and responsibilities emerging from plans can contribute significantly to the achievement of the desired outcomes (Smith, R.J. 1994:8-9).

2.3.8   Planning and crisis management

The term 'crisis' refers to an undesirable and unexpected situation: when we talk about crisis, we usually mean that something bad is to befall a person, group, organization, culture, society, or, when we think really big, the world at large. Crises can be considered in three key components, that is threat, uncertainty and urgency. Crises occur when core values or life-sustaining systems of the community come under threat, for instance safety and security, welfare and health, integrity and fairness, which become shaky or even meaningless as a result of looming violence, destruction, damage, or other form of adversity (Boin et al, 2005:2-3).

In a crisis, the perception of threat is accompanied by a high degree of uncertainty. Uncertainty typically applies to other factors in the crisis process as well, such as people's initial and emergent responses to the crisis. However, we claim that the strategic, as opposed to the tactical and operational, challenges for leaders in dealing with these threats are essentially the same: trying to prevent or at least to minimize the impact of adversity, deal with the social and political consequences, and restore public faith in the future (Boin et al, 2005:3-4).

2.4   BOTTOM-UP AND TOP-DOWN PLANNING APPROACH

The existence of the bottom-up approach came about from the weaknesses that were observed from the top-down approach. Elmore (1979: 603) found the notion that policy-makers exercise - or ought to exercise - some kind of direct and definite control over policy implementation to be called a 'noble lie'. Lipsky (1978: 398) submits that analysis should focus on those who are

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charged with carrying out policy rather than those who formulate and convey it. A few bottom-uppers even suggested that discretion at lower level is not only inevitable, but also desirable as it is necessary for policy to be 'reinvented' so that they better fit local needs (Palumbo and Colista, 1987).

Concurrent with the refinement of the top-down model of implementation, a growing steam of scholarship had already begun to question some of the assumptions of these models and highlight the importance of factors that had either been ignored or deemed less critical. Rein and Rabinowitz (1977) implicitly challenge the hierarchical assumptions of the top-down model by proposing the 'principle of circularity'. Nakamura and Smallwood (1980) build on this principle to suggest their conception of the implementation process as a system of functional environments, each of which contains a variety of actors and arenas and is connected to others by various communications and compliance linkages (Cloete, et al, 2006:190).

2.5   STRATEGIC AND OTHER MANAGEMENT ASPECTS

The lineage of strategy stems from the military axioms of Sun Tzu, Napoleon and other military leaders. The term is derived from the Greek *strategos*, meaning 'a general set of maneuvers carried out to overcome an enemy during combat'. The notion is one of 'generalship' which Machiavelli took to mean the planned exercise of power and influence to carry out the aims of the state. Machiavelli thrust the metaphors of combat, adversaries, attack, and generalship into the political arena. The adversary vanquished in a political battle loses support for his or her position.

The notion of securing a territory in the military context was translated to gathering support for a platform or policy. Battle is joined with adversaries using lobbying, votes and hearings, which are analogous to campaigns charges, and pincer movements. One definition of strategy suggests that it is an effort or deliberate action that an organization implements to out-perform its rivals. For a strategy to be successful it needs to be aligned to relevant management aspects that are discussed below.

2.5.1 Strategy, strategic planning and strategic management

In the context of management, the concept of strategy indicates a suitable plan or method for achieving the aims of the institution, irrespective of change. Four aspects of a strategy can be identified, namely the mission or overall aim of an institution, the transformation technology used, the strategic and operational planning to achieve the aims, and strategic control (Van Der Waldt and Knipe, 1998: 4). Strategic planning refers to the process by which organizational goals and the means to achieve those goals are formulated and implemented. Primarily, strategic planning deals with the economic goals of the organization and the means or the strategy to attain the goals. An organization's strategy is reflected in the choice of the industries in which the organization operates and the manner in which it competes in those industries (Narayanan and Nath, 1993: 244). Strategic planning enables public managers to evaluate, select and implement alternatives for rendering effective services. This school of thought argues that strategic planning is interwoven in the whole management process. A more traditional definition of strategic management states that it is the daily implementation of the strategic plans of an institution. Strategic planning is seen as a senior management responsibility, and the strategic planning process forms an important link between comprehensive planning and the annual operating and capital budgets (MacMaster, 2004:4).

There is no general consensus on exactly what strategic management entails. Fox et al. (1991:221) define strategic management as "….. the formulation, implementation and evaluation of actions that will enable an organization to achieve its objective." Koteen (1989:17) emphasizes the changing environment and suggests that strategic management is a management application to keep up with the environment. Rowe et al. (1985:11) (translation) see it as a continuous decision-making process which reconciles an institution's internal capacity with the opportunities and threats it faces in the environment in order to achieve the objectives of the institution. The above definitions of strategic management emphasize the importance of the environmental scanning process as well as an organizational analysis with the aim of formulating and implementing strategies, and thus promoting organizational effectiveness and efficiency. The definitions also emphasize the fact that management should make a concerted effort to guide the institution strategically towards a changing environment (Van Der Waldt and Knipe, 1998: 5).

Strategic management is a comprehensive term, indicating the total management of the institution. This implies that strategic planning is merely a tool or phase of strategic management. The difference between strategic planning and strategic management is that the latter also includes the implementation (management) of the strategy (Van Der Waldt and Knipe, 1998: 6).

Strategic management provides the theme and focus of the future direction of the organization. It supports consistency of action at every level of the organization. It encourages integration because efforts and resources are committed to common goals and strategies. It is a continuous, reiterative process aiming at developing an integrated and coordinated long-term plan of action. Strategic management positions the organization to meet the needs and requirements of its customers for the long term. With the long-term position identified, objectives are set, and strategies are developed to achieve objectives and then translated into actions by implementing projects. Strategy can decide the survival of an organization. However, the problem in many organizations is implementing strategies, that is, making them happen. Integration of strategy formulation and implementation often does not co-exist (Gray & Larson, 2003:24).

2.5.2   Public policy and policy management

Policy-making is a single concept that designates both the processes and contents of government and government practices. The business of government is to make choices and to strategically manage resources towards achieving the goals those choices imply with policy being the product thereof. Policy can be understood to function at three levels: a philosophical or value level, the principal or policy level, and the action or implementation level. This differentiation can be understood by considering the example of the South African Constitution that sets out government's values, the Reconstruction and Development Programme that sets out the various policy intentions of government, and Presidential Lead Projects that set out actions to be implemented by government. Since World War II, policy-making as an activity of government has become the normal responsibility of government officials, but it is only with the shift from public administration to public management in the 1980s that policy has been examined within

the managerial framework, and that public managers have become recognized as managers of policy (MacMaster, 2004:7).

It is important to understand that public policy occurs at various levels. However, the line dividing each level is not absolute and therefore each policy level should be understood in close relation to the next level. These policy levels are political policy, government (national) policy, executive policy and operational policy. Political policy or party political policy is the policy promoted or advanced by a specific political party on specific issues. Political policy is largely generalist and idealistic in nature. Government policy or national policy is the policy of the political party in power. This is policy formulated by the government of the day and attempts to interpret the ideology of the political party into practical objectives. Government policy is more specific than political policy. Executive policy originates from political and government policies and is decided upon by the political office-bearers who originate from political and government policy and is decided upon by the political office-bearers who work together with senior ranking public officials. Policy at this level is concerned with setting priorities for government departments. Operational or administrative policy is the most specific policy and is required to achieve departmental objectives and ensure the smooth running of departmental operations. It usually relates to routine work which can be done by supervisors at the lower level of the hierarchy.

The concept policy management refers to the facilitation and management of the policy-making process in a specific effort to improve the success of policy initiatives. It includes the interlinked activities constituting the functions of policy formulation, implementation, monitoring and evaluation, conducted through an institutional and organizational framework. Effective policy management implies that all these activities are equally important and have to be executed or performed in an acceptable and efficient manner (MacMaster, 2004:7-10).

2.5.3   Programmes and programme management

Organizations of all kinds manage programmes. The Central Computer and Telecommunications Agency (CCTA) define programme management as the coordinated management of a portfolio

of projects to achieve a set of business objectives. Reiss opines that programmes, meaning dealing with a large number of simultaneous projects within one organization, has assumed increasing importance. From engineering to information technology, public utility to banks, in government and industry, organizations find themselves trying to achieve many projects with few resources. Programmes could be considered to be the grouping together of related actions necessary for the attainment of a planning aim. According to the United Nations, a programme should include the following characteristics:

- A clear well-expressed goal;

- The determination of the instrumentalities best-suited to achieve that goal;

- A set of consistent policies or interrelated projects to achieve the goal most effectively;

- Relationship with other ongoing activities and programmes;

- Measures, including staffing and financing, necessary to execute the programme; and

- A measurement of the expected costs and benefits one hopes to derive from the programme.

The budget of a government is regarded as the operational plan that it represents to indicate how it will use financial resources to deliver services to the people, and it serves, amongst other things, as a policy formulating instrument and as policy declaration instrument stating the financial implications of the following year's policy. The objectives in a government budget document are indicated through various programmes. Programme-based budgets are budget premised on identified programmes, executed by programme managers and further divided by lower-ordered functions: sub-programmes, elements and activities, for reasons of work division, allocation of responsibilities, votes and objectives, and specific requirements (MacMaster, 2004:10).

Programmes are the products of policy choices by various groups in the country at national, regional, and/or local levels. Programmes represent the operational manifestations of a country's policy choices such as their content and identity from political bargaining, competition, and negotiation among both formal and informal entities from the national level downwards. Four distinctive features are outlined to better understand the nature and scope of development programmes: policy sanction, development focus, organizational identity, and replication. However, the management problems of (development) programmes are different from those of smaller, simpler and time-bound projects, and a strategic management approach is thus

necessary. Programme management has evolved from the complexities of the more intricate aspects of project management. As project became larger, more interrelated, complex and multidimensional, the need arose to have an approach that controlled project management whilst remaining focused on the strategic objectives of the organization. Whilst project management focused on technical delivery, programme management engaged on relating design concepts to the organization's strategic vision of the future (MacMaster, 2004:11).

2.5.4   Operations management

From programmes and programme management functions, the following management aspect in line is projects and project management. Since projects and project management receives prominent discussion in the next chapter, the research discusses the next and last management feature, operations management. Operation management deals with the way organizations produce goods and services. Everything you wear, eat, sit on, read or knock about on the sports field comes to you courtesy of the operations managers who organized its production. All organizations have an operations function, which produce their goods, products and services, and all organizations have operations managers who are responsible for managing the operations functions. The operations function (operation system) is important to the organization because it directly affects how the organization's goods, products and/or services satisfy its clients/ customers (MacMaster, 2004:15).

Operations have three important roles in an organization: as a support to business strategy, as the implementer of business strategy, and as the driver of business strategy. In order to support the organization's business strategy, operations develop its resources to provide the capabilities, which are needed to allow the organization to achieve its strategic goals. Everything about the operation, its technology, staff, and its systems and procedures, must be appropriate for the company's competitive strategy. If the company had adopted a different business strategy, its operations function would have needed to adopt different objectives. The second role of operations is to implement strategy. Most organizations will have some kind of strategy, but it is the operation that puts it into practice. The implication of this role for the operations function is very significant. It means that even the most original and brilliant strategy can be rendered totally

ineffective by an inept operations function. The third role of the operations part of the business is to drive strategy by giving it a long-term competitive edge. Different parts of the business have different effects on a company's ability to prosper. All things which promote long-term success come directly or indirectly from the operations function. It is operations which is the ultimate custodian of competitiveness.

All operations produce goods (products) or service or a mixture of the two, and they do this through a process of transformation. Transformation or conversion entails that an operation take in a set of input resources and use them either to transform something, or to be transformed themselves, into outputs of goods (products) and services. All operations conform to this general output-transformation-output model. Transformed resources mean resources that are treated, transformed or converted in some way, and comprise a mixture of materials, information and customers. Transforming resources entails the resources that act upon the transformed resources, and include facilities and staff. Facilities refer to the buildings, plant and equipment, and process technology of the operation. Staff is those who operate, maintain, plan and manage the operation. The exact nature of both facilities and staff will differ between operations. The process of conversion, processing or transformation of inputs is sometimes seen as the actual operations management (MacMaster, 2004:16-18).

2.6   CONCLUSION

From the above discussion, it becomes evident that in order to succeed in any venture, planning forms the backbone for the course of action taken. Plans are generally aimed at addressing specific community-related problems. It's true to mention that a community is made up of individuals, and that individuals are the best judges of their own well-being and will act to improve that well-being according to their interpretation. Therefore, in order to avoid resistance during implementation of projects, when planning, it is crucial for the government to include all the stakeholders, especially the community who are directly affected by the outcome of projects. For the authority to facilitate effective and meaningful participation, it needs to be transparent in resource allocation and the right of access to information that can assist in specific decision-making. Transparency ensures that planned activities are carried out according to the agreed

plan. However, when planning, the government needs to take into consideration that there are many competing community needs to be addressed with limited resources, hence the necessity to prioritize. It is again essential for the government to consult the beneficiaries when determining priorities since they may differ on the priorities. On the other hand, a plan is deemed incomplete if it does not clarify responsibilities, thus, clear and well understood statements of roles and responsibilities can contribute significantly to the achievement of the desired outcomes.

A clear communication system is one that clarifies issues and allows collective actions rather than commanding from the top. Successful projects rely heavily on leadership skills, teamwork, cooperation and mutual understanding. The above-mentioned will not be possible in the absence of collective planning and sharing of information.

It is interesting to note that weaknesses observed in the implementation of planned activities necessitate the emergence of instruments such as programmes, projects and operation management, which improve the implementation of policies and strategies if, together with resources, happen in an integrated and coordinated way through the management continuum.. It is essential to link plans with strategies to enable the institution to adapt to the dynamic and the increasingly changing environment by determining its future direction. The above-mentioned instruments are important implementation tools at the operational level in the integration of service delivery in departments and projects. Implementation approaches and phases in the implementation of project management are discussed in the next chapter.

CHAPTER 3

THEORETICAL REVIEW OF IMPLEMENTATION AND PROJECT MANAGEMENT PROCESSES

3.1 INTRODUCTION

Project management is one of the instruments of policy and strategic implementation. This chapter is going to look at a number of approaches in the field of policy implementation and the stages that constitute the general approach to project management with the main focus on implementation. Even though alluded to in chapter 1, the project management process is discussed in more detail in this chapter. The importance and relevance of the Project Management Body of Knowledge (PMBOK) to project management forms part of the discussion. The PMBOK is made up of pertinent elements that ensure the success of projects, hence a need to make sure that they feature all along in the project cycle. The chapter concludes with some common reasons why projects fail.

Implementation means transaction. To carry out a programme, implementers must continually deal with tasks, environments, clients, and each other. The formalities of the organization and the mechanics of administration are important as background, but the key to success is the continual capacity to cope with contexts, personalities, alliances and events. And crucial to such adaptation is the willingness to acknowledge and correct mistakes, to shift directions, and to learn from doing. Nothing is more vital to implementation than self-correction; nothing is more lethal than blind preservation (Warwick 1982: 90).

3.2 IMPLEMENTATION APPROACHES

This research study looks at a number of implementation approaches that has been put forward by various writers in the field of policy implementation. For the purpose of this study, policy implementation will be regarded as the conversion of mainly physical and financial resources

into concrete service delivery out-puts in the form of services, or into other concrete outputs aimed at achieving policy objectives.

3.2.1 Three generations of research into implementation

Although any attempt to arrange the literature on implementation is bound to be unscientifically, three generation of research into implementation emanated over the last 20 years.

The first ('classical') generation of thinking on the subject began with the assumption that implementation will happen automatically once the appropriate policies had been authoritatively proclaimed. Hjern and Hull (1982: 107) trace the past history of the 'classical' view of administration and implementation to early 'constitutionalist' theorists. The classical model of policy administration was bases on three basic concepts which helped make the machine the symbol and model for the study of administration, and helped foster the view that implementation was but an automatic component within the rationalized administrative machine. The first was a Weberian framework of the ideal bureaucratic small group of decision-makers at the top that create policy and subordinates at the bottom that dutifully carry it out. Second, Woodrow Wilson, in an influential paper on the subject in 1887, put forward the thesis that policy formulation and policy implementation are - and should be - two separate distinct activities, with the latter being neutral, professionalized and non-political. The third, Frederick Taylor's influential work, '*THE PRINCIPLE OF SCIENTIFIC MANAGEMENT*', provide a rationale for adopting efficiency as the basic criterion for evaluating administrative performance. The resulting 'rational' model was based on three concepts: organizational hierarchy, the separation of politics, and efficiency. For precisely these reasons, it minimized the significance of implementation.

The second generation set out to challenge the first inference, to explain implementation failure in specific cases, and to demonstrate that implementation was a political process no less complex (and often more so) than policy formulation. The limitations of the classic model, however, began to emerge in the post World War II period as it became apparent that public policy worked less as an efficient and orderly machine and more as a process of 'muddling through' (Lindblom,

1979). Simon, 1947; Kaufman, 1960; Etozioni, 1964 revealed that administration and implementation were far more complex, and political, than the classical assumptions had suggested them to be. While Pressman and Wildavsky (1973) are the most prominent example of this genre of research, the general mood of this generation is caught by Bardach (1977: 3) who notes that "It is hard enough to design public policies and programmes that look good on paper. It is harder still to formulate them in words and slogans that resonate pleasingly in the ears of political leaders and the constituencies to which they are responsive. And it excruciatingly hard to implement them in a way that pleases anyone at all, including the supposed beneficiaries or clients".

The third ('analytic') generation, by contrast, has been less concerned with specific implementation failure and more with understanding how implementation works in general and how its prospects might be improved. It suggested that it is time to design research so that knowledge from individual studies in different policy sectors can be accumulated and compared. It was the realization of the absence of (and the need for) causal, understanding, organizing framework, conceptual models, analytic approaches, and ultimately explanatory and predictive theories that ushered in the third generation of thinking on implementation.

3.2.2 Mark Moore's strategic triangle theory

Moore (1995) suggests a compressive strategy for implementation of public policy in order to ensure public value. This includes the equally important elements of substantive value, legitimacy and political sustainability, as well as operational and administrative feasibility. He disputes that an organizational strategy is a notion that seeks to address three challenges: first the mission and purpose of the organization, cast in terms of public values; second the sources of support and legitimacy that will be tapped to sustain society's commitment to the organization; and third the challenge of having to organize and operate the organization to achieve set objectives. In developing a strategy for a public sector organization, a manager must bring these elements into coherent alignment by meeting three broad tests. First, the strategy must be substantively valuable in the sense that the organization produces things of value to overseers, clients, and beneficiaries at a low cost in terms of money and authority. Second, it must be

legitimate and politically sustainable. That is, the enterprise must be able to continually attract both authority and money from the political authorizing environment to which it is ultimately accountable. Third, it must be operationally and administratively feasible in that the authorized, valuable activities can actually be accomplished by the existing organization with help from others who can be induced to contribute to the organization's goal.

These tests are powerful because they identify the necessary conditions for the production of value in the public sector. To verify their necessity, imagine what happens to managers and their organizations if anyone of these three conditions is missing. If managers have an attractive purpose broadly supported by the political environment but lack the operational capacity to achieve it, the strategic vision must fail. Either the goal will be rejected as unfeasible or the political world will find a different institutional vehicle for accomplishing it. If managers have a substantively valuable goal that is administratively and operationally feasible but cannot attract political support, then that enterprise, too, will fail. The want of capital and resources will doom it. If managers conceive of some organizational activities that can command political support and are administratively feasible but lack any substantive significance then, over the long run, the strategy will fail, because its operations will be wasteful and someone will eventually get around to blowing the whistle. Finally and most painfully, if managers have substantively valuable ideas but are unable to attract political support or administer them feasibly, then those ideas must fail as strategic conception. Such ideas are 'academic' in the worse sense of the word.

3.2.3   The 5-C protocol theory

It is imperative to note what Pressman and Wildavsky (1973: xiii-xvii) - realized that implementation is not an easy theory to define. As a noun, implementation is the state of having achieved the goals of the policy objective, whereas as a verb, it is a process - everything that happens in trying to achieve that policy objective. Thus, just because implementation (noun) is not achieved does not mean that implementation (verb) does not happen. However, the 'process' of implementation does happen in that the prescribed steps are taken, ignored, or transformed. It is generally, believed that implementation is not simply an administrative problem, it is also a

political process concerned with who gets what, when, how, where, and from whom. By definition, there are multiple actors, even though there are some exceptions.

- **Content**

Lowi (1963) characterizes policy as distributive, regulatory, or redistributive. In very broad terms, distributive policies provide public goods for the general welfare and are non-zero-sum in character; regulatory policies specify rules of conduct with sanctions for failure to comply; and redistributive policies attempt to change allocations of wealth or power of some groups at the expense of others. Fundamental to Lowi's work is his assumption that policies determine politics and that the most significant political fact is that governments coerce, (Lowi, 1972). The content of policy, then, is a function of the level and type of coercion by the government (Cloete et al, 2006:197).

- **Context**

Here, as noted by Berman (1980: 206) and O'Toole (1986: 202), the focus is on the institutional context which, like the other four variables, will necessarily be shaped by the larger context of social, economical, political, and legal realities of the system. This is in no way an attempt to underestimate the importance of the larger contextuality, but emphasizes the importance of how this impacts on the implementation process, primarily via the institutional corridor through which implementation must pass. Effective working relations typically resulted from bargaining, cajoling, accommodation, threats, gestures of respects, and related transactions. In short, Warwick (1982: 188) put it that bureaucratic contexts favorable to implementation more often grow out of human interactions than hierarchical regulation.

- **Commitment**

Governments may have the most logical policy imaginable, the policy may pass cost-benefit analyses with flying colors, and it may have a bureaucratic structure that would do honor to Max Weber, but if those responsible for carrying it out are unwilling or unable to do so, little will

happen (Warwick 1982: 135). This sentiment, most often associated with bottom-up scholars is, in fact, also central to the top-down perspective. Both, Van Meter and van Horn, 1974; Edward and Sharkansky, 1978; Mazmanian and Sabatier, 1981,all consider the variables to be 'critical' to effective implementation but on the other hand, a hard-liner top-down perspective would view implementer commitment being fashioned primarily by the context of the policy and its capacity (resource) of which both can be controlled from the top, while a fundamentalist bottom-up view, even while accepting the influence of context and capacity, would tend to view commitment as being influenced much more by the institutional context, and clients and coalitions. This demonstrated that commitment is not only important at the street level, but at all the levels the policy has to go through.

Krislov identifies three areas of possible motivation for compliance - personal, organizational and psychological utilities - and argues that compliance is at its greatest when personal advantage is highest, organizational sanctions against opposition are certain and severe, and the legitimacy of the issuing authority is acknowledged. Conversely, it will be at its minimum when the individual utilities all point in the direction of opposition, organizational sanctions are lenient - and most importantly - erratic in application and the legitimacy of the higher authority is doubtful (Krislov, 1965: 136).

- **Capacity**

In this research, the capacity of the public sector is seen in terms of the ability to deliver those public services aimed at raising the quality of life of citizens, which the government has set out to deliver effectively as planned over time. Capacity obviously, refers to the availability of and access to concrete or tangible resources (human, financial, material, technological, logistical, etc.). It also include the intangible requirements of leadership - motivation, commitment, willingness, courage, endurance and other intangible attributes needed to transform rhetoric into action. The political, administrative, economic, technological, cultural and social environment within which action is taken must also be sympathetic or conducive to successful implementation (Grindle and Hildebrand, 1995: 446). Roughly half of the over 300 practical studies surveyed by O'Toole (1986: 189) feature resources as a critical variable.

The White Paper on Local Government acknowledges that the transitional municipal structures lack sufficient administrative and financial capacity to undertake their mandated responsibilities. Effective developmental local government will require appropriate staff in each municipality. The transitional municipal structures had too many of the wrong (inappropriately trained and inexperienced) staff and too few of the right staff. To this end, a comprehensive overhaul of capacity-building is required. As local government assumes more developmental functions, both councillors and officials must be provided with the necessary skills to fulfill their developmental roles (DBSA: 2000:45-47).

- **Clients and coalitions**

Rein and Rabinowitz (1978: 314) remind us that a power shift among the different outside interest groups produce a corresponding shift in the implementation process. Therefore, it is important for the government to join a coalition of interest groups, opinion leaders and other outside actors to have the process of implementation supported dynamically. Elmore (1979: 610) considers the finding that implementation is affected, in some 'critical sense', by the formation of local coalitions of individuals affected by the policy to be one of the 'most robust' findings of implementation research.

3.2.4   Conclusion on implementation approaches

Looking at the above implementation approaches, it is found that Mark Moore's strategic triangle and the 5-C protocol theories cover a large dimension, and in most cases, give emphasis to wide areas of policy implementation. Moore talks of substantive value, while the 5-cprotocol talks of content and context. All these elements emphasize the importance of value and nature of the product that the policy has to deliver, within the context of the institution. Whereas Moore talks of legitimacy and political sustainability, the 5-C protocol talks of commitment and capacity. The 5-C protocol did not only mention the acquisition of tangible resources (human and financial), but went as far as indicating the needs of intangible resources, for instance, leadership qualities and willingness of individual to perform. Finally, when Moore talks of

operational and administrative feasibility of the organization to deliver with assistance from others; the 5-C protocol talks of the importance of government to form partnerships with outside actors in order to have the implementation process supported dynamically. Notwithstanding other implementation approaches mentioned above, this research gives more emphasis to the 5-C protocol approach which forms an instrument of research findings.

3.3   LIFE-CYCLE PHASES OF PROJECT MANAGEMENT

According to Kerzner, project planning takes place at two levels. The first level is the corporate cultural approach and the second method is the individual approach. The corporate cultural approach breaks the project down into life-cycle phases that assist project managers to provide a methodology for uniformity in the project planning. Many companies, including government agencies, prepare checklists of activities that should be considered in each phase. These checklists are intended for consistency; however, the project manager can still exercise his own planning initiatives within each phase (Kerzner, 2003:382-383). Martin and Tate (2001: 9) argue that trying to manage a project without project management is like trying to play football without a game plan.

Keeling confirms that every project undergoes a series of phases from its conception to the point of completion, which each has its own needs and characteristics. As the project passes through these phases, the cumulative amount of expended resources and time will diminish. He further states that an understanding of a life cycle is important to successful project management because significant events occur in logical progression and each phase must be properly planned and managed. To that effect, Keeling argues that familiarity with the project life cycle enables those involved to understand the logical sequence of events, recognize goals or 'milestones', and know where the project stand in the continuum of activities that progress from start to finish. It helps the manager to anticipate changes in character and pace, the build-up of pressure as costs accumulate and time and resources diminish, recognize when special reviews, revisions or priority reappraisals are due, and understand the needs of each phase (Keeling 2000: 9-11).

There are several approaches that can be taken to managing project activities including agile, interactive, incremental, and phased approaches. Regardless of the approach employed, careful consideration needs to be given to clarify surrounding project objectives, goals and, importantly, the roles and responsibilities of all participants and stakeholders. A traditional phased approach identifies a sequence of steps to be completed. In the traditional approach, five components of a project can be distinguished (four stages plus control) in the development of a project, which are project initiation, project planning or design, project execution or production, project monitoring and controlling systems, and project completion stages. Not all the projects will visit every stage as projects can be terminated before they reach completion. Some projects probably don't have the planning and/or the monitoring. Some projects will go through steps 2, 3 and 4 multiple times.

http://en.wikipedia.org/wiki/Project_management#Project_development_stages [Online].

In each stage of the project cycle, there are a number of steps that a project has to undergo. Most of those steps are represented in the nine areas of Project Management Body of Knowledge (PMBOK); therefore, the research will only discuss steps that are crucial to most types of projects while the PMBOK is discussed later in this chapter.

3.3.1   Project initiation stage

Project initiation may be defined as the process of defining planned deliverables and anticipation of those actions needed in order to complete a project. It will involve the identification of activities, tasks and a sequence in a project schedule, including both milestones and deadlines. In addition, it involves estimating those resources that will be needed in the project together with projected costs (Strange 2008).

During conceptualization, preliminary goals are considered and ideas on costs, potential benefits, feasibility and scope receive initial consideration, possibly with ideas on problem areas, alternative approaches and ways of overcoming difficulty. As the idea becomes established, it may be necessary to seek approval from principals or other parties (stakeholders) who might, in some way, be affected by the project. In such cases, a project proposal will usually be prepared,

setting out rationale, proposed methods, estimated costs, benefits and other details (Keeling, 2000:13). Project stakeholders are those who can impact the project and those who can be impacted by the project. From the perspective of project management literature, it is important to identify the key stakeholders for project success (Sutterfield et al, 2006, Milosevic 2003). Project managers need to identify all stakeholders, determine which are most important, develop relationships with at least the important stakeholders, and communicate effectively with all of the stakeholders. One way to identify stakeholders is to determine who can impact the project and who the project can impact. These impacts can be positive in the sense of helping the project achieve success or negative in the sense of making it more difficult to achieve project success. These impacts can be either on the process or the results of the project. Some researchers such as Milosevic (2003: 331) break the impact-upon-project process down further into providing or withholding resources, defining project requirements, and people and communication issues.

- **Develop a project proposal**

A project proposal is a set of documents submitted to evaluate a project that is being considered. All proposals should begin with a short summery statement, an executive summary, covering the fundamental nature of the proposal in minimally technical language, as well as the general benefits that are expected. All proposals should be accompanied by a 'cover letter'. Roman (1986:67-68) emphasizes that the cover letter is a key marketing document and is worthy of careful attention. In addition to the executive summary and cover letter, every proposal should deal with four distinct issues: (1) the nature of the technical problem and how it is to be approached; (2) the plan for implementing the project once it has been accepted; (3) the plan for logistical support and administration of the project; and (4) a description of the group proposing to do the work, plus its past experience in similar work (Meredith, J.R. and Mantel Jr., S. J., 2003:86).

- **Undertake feasibility study**

As the name implies, a feasibility study is an analysis of the viability of an idea. The feasibility study focuses on helping answer the essential question of 'should we proceed with the proposed

project idea'? All activities of the study are directed towards helping answer this question. Feasibility studies can be used in many ways but primarily focus on proposed business ventures. Farmers and others with a business idea should conduct a feasibility study to determine the viability of their idea before proceeding with the development of the business. To determine early on that a business idea will not work saves time, money and heartache later (Hofstrand and Holz-Clause, 2006).

- **Establish the terms of references**

Often called the project 'terms of reference', the project specification should be an accurate description of what the project aims to achieve, and the criteria and flexibilities involved, its parameters, scope, range, outputs, sources, participants, budgets and timescales. Usually the project manager must consult with others and then agree the project specification with superiors, or with relevant authorities. The specification may involve several drafts before it is agreed. A project specification is essential in that it creates measurable accountability for anyone wishing at any time to assess how the project is going, or its success on completion. Project terms of reference also provide an essential discipline and framework to keep the project on track, and are concerned with the original agreed aims and parameters. A properly formulated and agreed project specification also protects the project manager from being held to account for issues that are outside the original scope of the project or beyond the project manager's control (Chapman 2008).

- **Appoint a project team**

Another important part of the planning stage is picking your team. Take great care, especially if you have team members imposed on you by the project brief. Selecting and gaining commitment from the best team members - whether directly employed, freelance, contractors, suppliers, consultants or other partners - is crucial to the quality of the project, and the ease with which you are able to manage it. Generally, try to establish your team as soon as possible. Identifying or appointing one or two people even during the terms of reference stage is possible sometimes. Appointing the team early maximizes their ownership and buy-in into the project, and maximizes

what they can contribute. But be very wary of appointing people before you are sure of how good they are, and not until they have committed themselves to the project upon terms that are clearly understood and acceptable. Don't imagine that teams need to be full of paid and official project team members. Some of the most valuable team members are informal advisors, mentors, helpers, who want nothing than to be involved and a few words of thanks. Project management on a tight budget can be a lonely business - get some help from good people you can trust, whatever the budget (Chapman 2008).

As observed by Forsberg, when selecting individuals to populate an organization, there are two primary factors that should be considered. The first is the attributes of the individual and whether those attributes fit the organization you have or plan to have. Attributes have to do with personal conduct and behavior such as being prompt, honest, forthright, communicative, alert, self-reliant, trustworthy, and a host of others traits. The second factor is the competencies of the individual and how skillful he or she is within the claimed competencies. An individual may be competent enough to be certified by an authorizing body and at the same time have no valuable skills except being able to pass evaluation tests (Forsberg et al, 2005:182-183).

3.3.2   Project planning or design stage

After defining the project and appointing the project team, you're ready to enter the detailed Project Planning phase. This involves creating a suite of planning documents to help guide the team throughout the project's delivery. The Planning Phase involves completing the following ten key steps:
Create a project plan, create a resource plan, create a financial plan, create a quality plan, create a risk plan, create an acceptance plan, create communications plan, create a procurement plan, contract the suppliers and perform phase review (Fell, 2008). Since the other mentioned steps are dealt with in a similar discussion later in this chapter, the research will discuss only the creation of a project plan in detail.

A useful tip to create a plan of the project is to work backwards from the end aim, identifying all the things that need to be put in place and done, in reverse order. First, brainstorming (simply

noting ideas and points at random), will help to gather most of the points and issues. For complex projects, or when you lack experience on the issues, involve others in the brainstorming process. Thereafter it's a question of putting the issues in the right order, and establishing relationships and links between each issue. Complex projects will have a number of activities running in parallel. Some parts of the project will need other parts of the project to be completed before they can begin or progress. Some projects will require a feasibility stage before the completion of a detailed plan (Chapman 2008).

To plan and manage large complex projects with various parallel and dependent activities you will need to put together a 'Critical Path Analysis'. Critical Path Analysis will show you the order in which tasks must be performed, and the relative importance of tasks. Some tasks can appear small and insignificant when they might actually be hugely influential in enabling much bigger activities to proceed or give best results. A Gantt chart is a useful way of showing blocks of activities over time and at a given cost, and for managing the project and its costs along the way. The Project 'Critical Path Analysis' sounds very complicated, but it's a very logical and effective method for planning and managing complex projects. Most projects come in late - that's just the way it is - so don't plan a timescale that is overambitious. If you have been given a fixed deadline, plan to meet it earlier, and work back from that earlier date. Build some slippage or leeway into each phase of the project. Err on the side of caution where you can, otherwise you'll be making a rod for your own back (Chapman 2008).

As mentioned above, at this stage, a number of plans that address the knowledge areas are created in order to be managed in the next stage. Among others, they are the resource plan, financial plan, quality plan, risk plan, acceptance plan, communication plan, procurement plan, supply plan, and the performance review plan.

3.3.3 Project implementation stage

With a clear definition of the project and a suite of detailed project plans, you are now ready to enter the execution phase of the project. This is the phase in which the deliverables are physically built and presented to the customer for acceptance. While each deliverable is being

constructed, a suite of management processes are undertaken to monitor and control the deliverables being produced by the project. These processes include managing time, costs, quality, change, risks, issues, suppliers, customers and communication. Once all the deliverables have been produced and the customer has accepted the final solution, the project is ready for closure (Fell, 2008).

3.3.4 Project completion stage

Project closure involves releasing the final deliverables to the customer, handing over project documentation to the business, terminating supplier contracts, releasing project resources and communicating project closure to all stakeholders. The last remaining step is to undertake a Post Implementation Review to identify the level of project success and note any lessons learned for future projects (Fell, 2008).

Being the very last part of the project life-cycle, it is often ignored even by large organizations, especially when they operate in multi-project environments. Then projects keep failing and organizations take no corrective actions, simply because they do not have the time to think about what went wrong and what should be fixed next time. Lessons learned can be discussed at project reviews as part of the closure phase. Closure also deals with the final details of the project and provides a normal ending for all procedures, including the delivery of the final product. When the project is finished, the closure phase must be implemented as planned. "A general rule is that project closing should take no more than 2% of the total effort required for the project" (Crawford, 2002:163). The project management literature has many different sets of actions for the last phase of the project life cycle. Maylor (2005:345) groups the necessary activities into a six-step procedure, which can differ depending on the size and the scope of the project:

- **Completion**

First of all, the project manager must ensure the project is 100% complete. Young (2003:256) noticed that in the closure phase "It is quite common to find a number of outstanding minor tasks

from early key stages still unfinished. They are not critical and have not impeded progress, yet they must be completed". Furthermore, some projects need continuing service and support even after they are finished, such as IT projects. While it is helpful when this demand is part of the original statement of requirements, it is often part of the contract closure. Rosenau and Githens (2005:300) suggest that the contractor should view continuing service and support as an opportunity and not merely as an obligation since they can both learn from each other by exchanging ideas.

- **Documentation**

Mooz et al (2003:160) defines documentation as "Any text or pictorial information that describes project deliverables". The importance of documentation is emphasized by Pinkerton (2003:329) who notes that "It is imperative that everything learned during the project, from conception through initial operations, should be captured and become an asset." Detailed documentation will allow future changes to be made without extraordinary effort since all the aspects of the project are written down. Documentation is key for well-organized change in the project owner, i.e. for a new investor to take over the project after it is finished. Lecky-Thompson (2005:26) makes a distinction between the documentation requirements of the internal and the external clients since the external party usually needs the documents for audit purposes only. Despite the uninteresting nature of documenting historical data, the person responsible for this task must engage actively with his assignment.

- **Project systems closure**

All project systems must close down at the closure phase. This includes the financial systems, i.e. all payments must be completed to external suppliers or providers and all work orders must be terminated (Department of Veterans Affairs, 2004:13). In closing project files, the project manager should bring records up to date and make sure all original documents are in the project files and at one location (Arora, 1995). Maylor (2005:347) suggests that "A formal notice of closure should be issued to inform other staff and support systems that there are no further activities to be carried out or charges to be made". As a result, unnecessary charges can be

avoided by unauthorized expenditure and clients will understand that they can not receive additional services at no cost.

- **Project reviews**

The project review comes after all the project systems are closed. It is a bridge that connects two projects that come one after another. Project reviews transfer not only tangible knowledge such as numerical data of cost and time but also the tacit knowledge which is hard to document. 'Know-how' and more important 'know-why' are passed on to future projects in order to eliminate the need for project managers to 'reinvent the wheel' every time they start a new project. The reuse of existing tools and experience can be expanded to different project teams of the same organization in order to enhance project results (Bucero, 2005). Reviews have holistic natures which investigate the impact of the project on the environment as a whole.
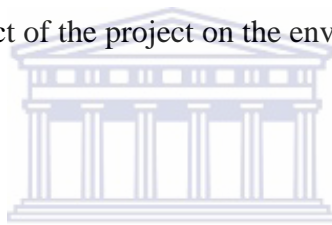
- **Disband the project team**

Before reallocating the staff amongst other resources, the closure phase provides an excellent opportunity to assess the effort, the commitment and the results of each team member individually. Extraordinary performance should be complimented in public and symbolic rewards could be granted for innovation and creativity (Gannon, 1994). This process can be vital for team satisfaction and can improve commitment to future projects (Reed, 2001). Reviewing a project can be in the form of a reflective process. It can also be applied to problematic project teams in order to identify the roots of possible conflicts and bring them into an open discussion. Ignoring the established point of view of disbanding the project team as soon as possible to avoid unnecessary overheads, Meredith and Mandel (2003:660) imply that it's best to wait as much as you can for two main reasons. First, it helps to minimize the frustration that might generate a team member's reassignment with unfavorable prospects. Second it keeps the interest and the professionalism of the team members high as it is commonly agreed that during the closing stages, some slacking is likely to appear.

- **Stakeholder satisfaction**

Project Management Institution's PMBoK (2004:102) states that "Actions and activities are necessary to confirm that the project has met the entire sponsor, customer and other stakeholders' requirements". Such actions can be a final presentation of the project review which includes all the important information that should be published to the stakeholders. This information can include a timeline showing the progress of the project from the beginning until the end, the milestones that were met or missed, the problems encountered and a brief financial presentation. A well-prepared presentation which is focused on the strong aspects of the projects can cover-up some flaws from the stakeholders and make a failure look like an unexpected success.

3.3.5   Conclusions on project management cycle

From the discussion, it has become clear that each and every project phase is important in its own right and that the phases must be performed in a systematic order. The first steps in the project cycle need to be conceptually clear in order not to derail the project at the onset. The success or failure of a project depends on the way the project is designed and dealt with. The lesson learnt again, is that a detailed project proposal is needed for a project to attract funding. The proposal covers, mostly, the nature and the approach to the technical problem, plan of implementation, logistical support and administration, and staffing and financing. The viability of the idea needs to be tested as there may be external or internal impediments that obstruct progress of the project. The nine management knowledge areas (PMBOK) formed the nucleus of the whole project cycles as it features in almost all the phases. Therefore it is necessary to always check whether they are represented in any project management cycle. Against this background, the PMBOK is discussed in the following section.

3.4 THE PROJECT MANAGEMENT KNOWLEDGE AREAS (PMBOK)

In 1951 Ludwig von Bertalanffy, a biologist, described so-called open system[10] using anatomy nomenclature. The body's muscles, skeleton, circulatory system, and so on, were all described as a subsystem of the total system (the human being). Dr. von Bertalanffy's contribution was important in that he identified how specialists in each subsystem could be integrated so as to get a better understanding of the interrelationship, thereby contributing to the overall knowledge of the operation of the system. Thus, the foundation was laid for the evolution and growth of project management (Kerzner, 2003:34). Again, in 1956 Kenneth Boulding identified the communication problems that can occur during system integration. Professor Boulding was concerned with the fact that subsystem specialists (i.e., physicists, economists, chemists, sociologists, etc.) have their own languages. He advocated that, in order for successful integration to take place, all subsystem specialists must speak a common language, such as mathematics. Today we use the PMBOK to satisfy this need for project management (Kerzner, 2003:34). Thus, the Project Management Body of Knowledge is a sum of knowledge within the profession of project management. As with other professions such as law, medicine and accounting, the body of knowledge rests with the practitioners and academics that apply and advance it. It describes knowledge unique to the project management field and that overlaps other management disciplines. PMBOK consists of nine knowledge areas which are project integration, scope, time, cost, quality, human resource, communication, risk, and procurement management that are discussed below.

- **Project integration management** includes the processes and activities needed to identify, define, combine, unify and coordinate the various processes and Project Management Process Groups. In the project management context, integration includes characteristics of unification, consolidation, articulation and integrative actions that are crucial to project completion, successfully meeting customer and stakeholder requirements and managing expectations (PMBOK, 2004:77).

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[10] The so-called open system refers to the nine management knowledge areas (PMBOK) which operate in a similar way the whole system of a human body is functioning.

- **Project scope management** includes the processes required to ensure that the project includes all the work required, and only the work required, to complete the project successfully. Project scope management is primarily concerned with defining and controlling what is and what is not included in the project (PMBOK, 2004:103). Scope influences all of the other categories and it is also the most difficult to measure since it must be expressed in terms completely external to itself. Part of the problem with scope is that it continually redefines itself as progress up and down the project tree. Perhaps the most useful tool at management's disposal is that of 'accountability' (McCue, 1997). Gray and Larson (2003:100) argue that defining the project scope sets the stage for developing a project plan. Project scope is a definition of the end result or mission of your project, a product or service to or for your clients/customer. The primary purpose is to define as clearly as possible the deliverable(s) for the end user and to focus project plans. Research clearly shows that a poorly defined scope or mission is the most frequently mentioned barrier to project success.

- **Project time management** includes the processes required to accomplish timely completion of the project. The elements of time, quality and cost impact one another (PMBOK, 2004:123). According to Keeling, most projects of ancient civilizations were related to power, worship or the construction of great monuments. Cost, of overriding importance today, was of scant significance to despotic rulers of old ages and time, now so highly valued and closely tied to project cost, was of secondary importance. On rare occasions a case in which time was synonymous with success would occur. In the fifth dynasty, a pyramid in Egypt, at Abusir, was not finished in time for the death of its sponsor and the great tomb was eventually completed to house the remains of another dignitary. This fine disregard for time extended to building the great cathedrals. Constructions extended over hundreds of years and successive generations of stonemasons were employed in their building. Then the overriding considerations were beauty, durability of structure, and quality of workmanship. As the years progressed, cost and time assumed increasing significance. A study of the great houses of Europe tells many a sad story of ambitious owners who, having failed in financial planning, were reduced to poverty by escalating project costs (Keeling, 2000:1).

- **Project cost management** includes the processes involved in planning, estimating, budgeting, and controlling costs so that the project can be completed within the approved budget (PMBOK, 2004:157). Estimating is the process of forecasting or approximating the time and cost of completing project deliverables. The processes used are unique to the organization; you can't buy the process off the shelf. However, in practice, estimating processes are frequently classified as top-down (macro)/ bottom-up (micro). Top-down estimates are usually derived from analogy or mathematical relationships, while bottom-up are typically based on estimates of elements found in the work breakdown structure. In a few situations both methods are used and reasons for any differences are reconciled (Gray and Larson, 2003:126). Project funding is recognized as one of the causes of delays in project implementations and, as such, proper planning is essential.

- **Project quality management** includes the processes and activities of the performing organization that determine quality policies, objectives, and responsibilities so that the project will satisfy the needs for which it was undertaken. It implements the quality management system through policies and procedures, with continuous process improvement activities conducted throughout, as appropriate (PMBOK, 2004:179).

- **Project human resource management** includes the processes that organize and manage the project team. The project team is comprised of the people who assign roles and responsibilities for completing the project. While it is common to speak of roles and responsibilities being assigned, team members should be involved in much of the project's planning and decision-making. Early involvement of team members adds expertise during the planning process and strengthens commitment to the project. The type and number of the project team members can be referred to as the project's staff. The project management team is a subset of the project team and is responsible for project management activities such as planning, controlling, and closing. This group can be called the core, executive, or leadership team. For smaller projects, the project management responsibilities can be shared by the entire team or administered solely by the project manager. The project sponsor works with the project management team, typically assisting with matters such as project funding,

clarifying scope questions, and influencing others in order to benefit the project (PMBOK, 2004:199).

- **Project communication management** includes the process required to ensure timely and appropriate generation, collection, distribution, storage, retrieval, and ultimate disposition of project information. The Project Communication Management Processes provide the critical links among people and information that are necessary for successful communications. Project managers can spend an inordinate amount of time communicating with the project team, stakeholders, customer, and sponsor. Everyone involved in the project should understand how communications affect the project as a whole (PMBOK, 2004:221).

- **Project risk management** includes the processes concerned with conducting risk management planning, identification, analysis, response, and monitoring and control of a project. The objectives of Project Risk Management are to increase the probability and impact of positive events and decrease the probability and impact of events adverse to project objectives (PMBOK, 2004:237).
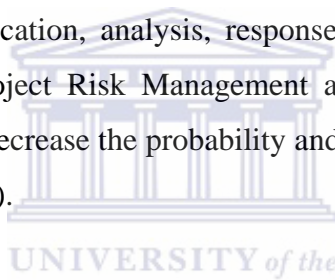
Every project manager understands risks are inherent in projects. No amount of planning can overcome risk, or the inability to control chance events. Plans are essentially lists of things to do. More often than not, what is missing from plans is serious consideration of what can go wrong. In the context of projects, risk is the chance that an undesirable event will occur and the consequences of all its possible outcomes. Project risks are those events that, if they materialize, can delay or kill a project. Some of these possible undesirable events can be identified before the project starts, while a few may be unforeseen and beyond imagination. The September 11, 2001, attack on the Twin Towers in New York is an example of the latter.

Risk management attempts to recognize and manage potential and unforeseen trouble spots that may occur when the project is implemented. Risk management identifies as many risk events as possible (what can go wrong), minimizes their impact (what can be done about the events before the project begins), manages responses to those events that do materialize (contingency plans), and provides contingency funds to cover risk events that actually

materialized (Gray and Larson, 2003:12008). There are several approaches for classifying project risks and risk sources (Leung et al., 1998; Tah and Carr, 2000; Baloi and Price, 2003; Li et al., 2005). The main categories are financial, economic, managerial, legal, construction, design and environmental risks. During the risk assessment the identified risks are evaluated and ranked. The goal is to prioritize risks for management. Baccarini and Archer (2001) describe a methodology for the risk ranking of projects, which allows for an effective and efficient allocation of the resources for management of project risks.

- **Project procurement management** includes the processes to purchase or acquire the products, services or results needed from outside the project team to perform the work. The organization can be either the buyer or seller of the product, service, or results under a contract. Project procurement management includes the contract management and change control processes required to administer contracts or purchase orders issued by authorized project team members. Project procurement management also includes administering any contract issued by an outside organization (the buyer), that is acquiring the project from the performing organization (the seller) and administering contractual obligations placed on the project team by the contract (PMBOK, 2004:269).

3.5   COMMON REASONS WHY PROJECTS FAIL

According to Custworth & Franks (1993:11), project failures occur at two levels. Firstly, there is the failure to implement the project effectively in terms of its objectives. It is common to find projects running late and probably suffering cost overruns as a result. Secondly, more obvious failures occur after implementation when the facilities created fail to achieve the intended effects. Project managers have to avoid both types of failure. They will, however, be more involved with the failure to implement effectively. Responsibility for the failure to achieve the desired effects lay more often with the policy makers and policy planners than with project managers. Van Baalen & De Coning argue that in the public and development management setting, few management areas have been as popular and successful as the discovery and application of a project management approach by government. However, its institutionalization in departments has proven to be problematic and projects have failed, *inter alia*, because of

inadequate organizational support, lack of management commitment and understanding, and inadequate project management training and exposure. Public managers and administrators have realized that three-day and one-week courses are inadequate and that such training merely serves as an introduction to project management. The necessary competencies, knowledge and skills must be acquired through dedicated and advanced training and work experience (Cloete, Wissinky & De Coning, 2006:236-239).

Likewise, Perkins argues that the root causes of project failure can be reduced to two issues: either project managers do not have the knowledge they need, or they do not properly apply the knowledge they have. The first of these primary causes of project failure is the easiest to correct. One solution is to provide the necessary training, remedying the problem of managers not receiving necessary training. Jack Ferguson, while teaching workshops for the Software Engineering Institute used to argue that, too often, training in a particular topic is provided too far in advance of need. It is crucial that training is provided at the appropriate time in the project life cycle. An individual needs experience to be a good manager (Perkins, 2006:13-14).

The second root cause of project failure is more difficult to remedy. There are five associated causes and effects for this cause. If the issue is one of overlooking the implementation of a project management principle i.e., just a lapse of memory in what needed to be done, then gentle reminders from subordinates, peers, or supervisors can be a catalyst to correct the omission. Program offices can provide mentoring to project managers to deal with such oversights. This mentoring can be used to provide refresher training to those who either have forgotten what to do or may not be familiar with current policy, directives, and procedures. Care should be taken not to take shortcuts in project management, since it usually results in lengthening a project because of rework. What would have taken 36 months in a well-planned project then takes 48 months (Perkins, 2006:14).

Some project managers consider some mandated project management practices to be of little value. For example, some consider preparing a formal project plan to be a waste of effort. They consider a project schedule prepared by using one of the popular project management software packages to be adequate. Others may consider peer reviews of code or documents as using more

resources than the value gained from them. Rather than discuss their concerns with senior management, they choose to ignore the principle with which they disagree. When the belief that a practice does not add value is coupled with the decision to not implement it, project failure can occur. Project managers should discuss their concerns with senior managers and resolve them. One of the best ways to deal with these concerns is to use historical data from other projects to validate the benefit of certain practices or to show the consequences of not following certain practices.

Books espousing various project management philosophies and methodologies abound. Current policies and directives have mandated some of the philosophies and methodologies while ignoring others. Some project managers may not believe that the mandated philosophies are the best approaches to use. Rather than implement what they consider to be flawed methods, they choose to follow what they consider to be proper principles. During management reviews, it becomes evident that the mandated methods are not being used, and the project manager is directed to implement the mandated method. Resources are now consumed in either getting on the right track or in trying to gain approval to not use the mandated methodology - resources that are usually scarce. This use of scarce resources has a negative impact on the chance of project completion within the originally allocated cost and schedule (Perkins, 2006:14).

But what if the application of sound project management principles to ensure project success is not the primary goal of the project manager? While this problem seldom occurs, a few project managers may see their current position as a stepping stone for advancement to higher positions. Their goal may be to show good short-term results at the expense of overall project success. Though the issues of policy/directives or statutes (laws) preventing a project manager from properly managing a project seldom occur, they both must be recognized as potential causes of project failure (Perkins, 2006:14).

3.6   CONCLUSION

From all the approaches discussed, the researcher finds the top-down and bottom-up approach to planning and the 5-C protocol to be most relevant to this study and it will therefore be used to

assess the case study in terms of implementation, in the next chapter. The 5-C protocol stands for content, context, commitment, capacity, and clients and coalitions. The content and context enables the researcher to find out more about the type of policies the Ministry uses to regulate projects, and the environment in which they are implemented, towards meeting the needs of the community on time and without compromising quality. Commitment and capacity allow the researcher to find out if the staff of the Ministry have the relevant knowledge and skills in project management at both regional and national levels and, if not, whether relevant training is given to address this. Capacity as described by the 5-C protocol also means the availability of financial resources, hence the approach further assesses if sufficient funds are availed for implementation of approved capital projects. Finally, the researcher makes use of the approach to find out if projects receive the necessary support from the Ministry, community and other interested groups.

It is also worthwhile to note that project management is a process that is made up of phases which need to be implemented in a systematic and orderly manner. It is a rule in project management that one has to finish one phase before continuing with the next. The nine knowledge areas of PMBOK form an integral part of the project management life cycle since they feature throughout the process. Among the common reasons why projects fails, a number of them relate to lack of project management knowledge and failure to adhere to project cycle principles which incorporate the knowledge areas. Therefore lessons borne out of experience will be used, in the next chapter to evaluate if the project cycle in the Ministry of Health and Social Services conforms to the required standard.

CHAPTER 4

THE CASE OF PUBLIC SECTOR PLANNING AND THE PROJECT CYCLE IN THE MINISTRY OF HEALTH AND SOCIAL SERVICES IN NAMIBIA

4.1   INTRODUCTION

This chapter gives a brief overview of Namibia's geographical nature, people, political history and administration, before it presents the fieldwork results of this study. The two key issues under discussion in this chapter are the public sector planning and the project cycle in the Ministry of Health and Social Services (MoHSS) on which the case study is based. The fieldwork results are supported by observations (work experience) of the researcher, policy guidelines and other relevant documentation.

Having good policy instruments and procedures that cover a large dimension of implementing government policy does not qualify success in the implementation of capital projects. There are a number of activities involved, for example, availability of human and financial resources, capacity to implement, and motivation and commitment of the staff members. All these need to be brought in line with the goals and objectives of the government, hence, a need for investigation of where the system needs improvement.

For this reason, the fieldwork results and policy guidelines revealed how capital projects are planned and implemented in the Namibian public sector. Moreover, the opinions of national, regional and district experts in the field of public sector planning and capital project management in the Ministry and the Ohangwena region were gained to ascertain weaknesses that exist in the system and how it can be improved.

4.2   NAMIBIA – AN OVERVIEW

Namibia is one of the Southern Africa Development Community (SADC) countries situated on the south western region of Africa, bordering South Africa to the south, Angola to the north, Botswana to the east and the Atlantic Ocean to the west. In the north-east of the country, it shares a common border with Zambia and a point of contact with Zimbabwe. Namibia is an arid country with generally low and high variable rainfall. A large part of the country is classified as a desert, and three different desert systems are found within its boundaries. These are the Namib to the west, an ancient desert of sand seas and gravel plains; the Kalahari to the east, characterized by deep sand with no surface water, except for temporary pans, but which has a specific and fairly extensive vegetation; and the Karoo to the South, which is characterized by low rainfall and unproductive soils. However, it supports an extensive vegetation of low-growing, often succulent, shrubs. The perennial sources of water are very scarce. Such rivers are found only on Namibia's boundaries - the Orange River in the south, the Kunene and Okavango Rivers in the north and the Zambezi and Kwando-Linyanti-Chobe river systems associated with the Caprivi. Natural springs occur in various scattered locations across the country and there are a few eastward-southern-and extensive westward- flowing ephemeral rivers, which carry only surface water for a few days a year. However, they provide important underground aquifer systems, varying in distribution and water quality. An extensive deposit of fine fossil water occurs in the central/ northern region, known as the Karstveld.

Namibia has a land area of 842 000 km^2 whereas the official population size was estimated to be 1.8 million, according to the 2001 census. The population projection of 2009 is 210 3762[11]. With its low population density, compared to most countries in Africa, Namibia makes up 3% of Africa's land area, but only 0.2% of its population. This is mainly due to the fact that a large part of the country is too dry for human settlement. While there are on average only about 2 people per km^2, people are not spread evenly across the country. Most of the rural people live in the

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[11] The projections are presented in three categories, namely, low, medium and High Variants. The figure used represents the medium variant (Namibia Population Projections 2001-2031). The projection is done by the Central Bureau of Statistics at the National Planning Commission.

north and north-east of the country and some 40% of the population lives in urban areas (Namibia Population and Housing Census, 2001).

In 1878 the United Kingdom annexed the harbor of Walvis Bay. In 1883 a German, Adolf Luderitz, claimed the rest of the coastal region for Germany, and in 1884, the whole of the country was declared a Germany protectorate. The colonial period in Namibia was a violent one. Germany colonists gained control of land, mineral and other resources by a mixture of purchase, theft and application of superior military power. The period between 1890 and 1908 was one of many conflicts between the Germans and the Namibian ethnic groups, and resulted in the decimation of the indigenous Namibian population, for instance, the Hereros, Namas and Damaras. After 1908 Namibians living in the 'Police Zone' were not allowed to own cattle, and were forced to take work on white-owned farms, or as indentured labor. Ethically divided native reserves were established. German rule of Namibia came to an end with the outbreak of World War I and the allied occupation of Namibia. In 1920, the League of Nations granted South Africa a mandate which gave it full power of administration and legislation over the territory. The mandate required that South Africa promote the material and moral well-being and social progress for the Namibian people, but this was not upheld. The League of Nations was dissolved in 1946, and the newly formed United Nations took over its supervisory authority over the South West Africa territory (Namibia). The UN declared Namibia a trust territory with rights of self-determination, but South Africa refused to acknowledge this. In 1966 the UN revoked South Africa's mandate and set up a council with authority for the territory, but South Africa continued to ignore this authority. This led to war during the liberation struggle and, eventually, Namibia gained independence in 1990.

The government of the Republic of Namibia is made up of central, regional and local governments. Local government is made up of municipalities, towns, villages and settlement areas, while the regional government is comprised of 13 regions (see annexure E), which are Caprivi, Erongo, Hardap, Karas, Kavango, Khomas, Kunene, Ohangwena, Omusati, Oshana, Oshikoto and Otjozondjupa. Each of the 13 administrative regions has its own regional councils and, together, these make up the regional government network. The central government is divided into three state organs, by means of which the country is administered - the executive,

legislature and the judiciary. Each organ of the state has a specific function to perform, and it is assisted in that function by the other organs. For example, the executive branch of government is made up of the President and other members of the Cabinet. The executive has the power and responsibility to initiate and execute, with the President's agreement, any law that has been brought into existence by the legislative (law-making) branch of government. The legislature (Parliament) is made up of the National Assembly and National Council. These two chambers are responsible for creating, evaluating, and passing laws. The judiciary then has the responsibility of judging whether citizens live within those laws and deals with them accordingly in the court of law (Fitchat, 2003: 30-31).

4.3   DEVELOPMENT PLANNING PROCESS IN NAMIBIA

The Constitution of the Republic of Namibia recognizes planning as a national development tool. The National Planning Commission[12] is established in the office of the President to plan and give direction to the national development efforts as stipulated in Article 129 of the Constitution of the Republic of Namibia and in the NPC Act (Act 15 of 1994). Since Namibia is a democratic country and pursues a policy of mixed and open economy in which free enterprise plays a leading role, it is with this in mind that the government has chosen a participatory approach in the formulation of the National Development Plans in which all stakeholders make decisions on how the country's resources should be utilized but, at the same time, the government keeps control of how the resources of the country are allocated and managed.

Development planning in Namibia was realized with the start of the implementation of the first National Development Plan (NDP 1) in 1995, and is directed by the National Planning Commission (NPC) of Namibia. The NPC serves as the leading agent in planning the priorities of and directing the course of development of the country. One of the main objectives of the Commission is to strive for the attainment of its developmental goals of, among others;

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[12] National Planning Commission refers to the office that is charged with the responsibility of collecting, storing and preserving data and statistics for national and individual use. The office is also responsible for consolidating the National Development Plans.

improving the quality of life, poverty reduction, job creation, economic growth and reduction of regional inequality.

4.3.1   Planning Horizon

Development planning in Namibia has a three-tiered cascading planning horizon, covering the long -, medium -, and short - term planning horizons.

The Vision 2030[13] planning process of Namibia commenced in January 1998**.** It is designed as a broad unifying vision which would serve to guide the country's five-year development plans, from NDP 1 through to NDP 7 and at the same time, provide direction to government ministries, the private sector, NGOs, civil society, regional and local government authorities. Therefore, Namibia's Vision 2030 creates policy synergies, which effectively link long-term perspectives to short-term planning and provides focus for national development efforts.

The next tier is medium-term planning, where five-year National Development Plans are formulated to operationalize Vision 2030. The first National Development Plan started with the 1995/96 - 1999/00 financial years, the second started in 2001/02 – 2005/06, and the current (third) NDP starts in the 2007/08 financial year and will ends in 2012. The developmental goals of the country are expressed in the National Developmental Plans (NDPs) and the resources to achieve these goals are allocated through the National Development Budget.

In the middle of the 5-year planning cycles, a mid-term review (MTR) of the five-year plan is carried out. The MTR is not only a stocktaking exercise to determine whether the plan is implemented in accordance with the stated targets and development schedule, but it also reviews macroeconomic and sectoral policies and strategies and makes adjustments where necessary.

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[13]Vision 2030 is Namibia's long-term plan that clearly defines the present position of the nation, where it wants to be by the year 2030, and how to get there. The vision provides sectors with strategic direction that they must each operationalize through the development of strategies, and monitor through indicators.

The final tier is short-term planning through the annual budget. The annual budget is made up of operational and developmental expenditures. Operational or recurrent expenditure is service-oriented and, generally characterized by current expenditure, whereas development or capital expenditure aims to achieve developmental objectives, for instance, developmental projects.

Respondents interviewed regarding public sector planning in the MoHSS indicated that planning for capital projects includes top officials at all levels in the Ministry - those that are directly responsible for planning (planners) - and the community at the grassroots level who are the end - users of project outcomes. However, managers at the national level are of the opinion that full community participation is hampered by the superiority of regional councillors who are, in most cases, obliged to make political decisions. They further revealed their dissatisfaction about the delay caused by the regions when they submit documentation for identified capital projects. Therefore, they feel that there is a great need for coordination between the district hospitals, RMT office and Regional Council regarding project planning. It is interesting to note that the general feelings of interviewed respondents at both national and regional levels is that planning at national level still overshadows the regional plans, especially on the control and management of the financial resources for development projects. In this sense, planning for development projects at the regional level becomes only an annual process without guaranteed outcomes.

Most interviewed respondents indicated that among the planning instruments used by the Ministry to plan for capital projects are the National Development Plans (NDPs), strategic plans (Ministry and regional), annual work plans and the annual budget. It became clear that the NDP, as a national planning instrument, does not indicate specific projects for regions, but indicates the total number of projects allocated to each region for that specific five-year period. Regions are the one to align their identified projects to correspond with the number their individual regions are assigned in the NDP. As a result, those projects become part of that specific NDP and need to be implemented during that specific five-year period. It was further explained that those projects are then outlined in the strategic plan according to the financial years they are to be implemented and, finally, in each annual work plan for each year, accordingly.

The general view is that there are good planning instruments and project management guidelines in the Ministry. Conversely, a number of problems have been experienced, for example, resource mobilization sometimes is not in line with the identified projects. Implementation of projects in phases is hampered by the escalation of inflation rates, causing funds from other projects to be diverted to ongoing projects, etc. However, all the respondents interviewed agreed that there is no limit on a number of capital projects that specific regions submit, annually, to national level as all depends on the availability of funds.

4.4 PROJECT DEVELOPMENT CYCLE[14] IN THE MINISTRY OF HEALTH AND SOCIAL SERVICES

Before discussing the project development in the MoHSS below, is important to understand how the development budget is formulated.

The Development Budget is prepared in the form of a three-year rolling framework which set out the country's expenditure and policy priorities for the next three years. The first step in the formulation of the Development Budget[15] is the preparation of the macroeconomic framework which is a tool used to point out how the economy is performing and the likely sources of revenue and how this revenue could be distributed and allocated among sectors. The formulation of the macroeconomic framework is followed by an invitation to Offices/ Ministries/ Agencies (O/M/A) by the National Planning Commission Secretariat (NPCS) to submit their three-year budget requests. This is done by filling in the Project Identification Form (PIF). In the case of ongoing projects, the PIFs are sufficient, and where new projects are introduced, PIFs are accompanied by a project proposal. Once received by the NPCS, the proposals are appraised to see whether or not they are worth spending money on and whether or not they are addressing the

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[14] Annexure C is a guide explaining all the steps of the project cycle in Namibia. The project cycle has been developed by the Cross-Ministerial Task Force. Their terms of reference were to develop guidelines for project planning and budgeting under the delegation phase of decentralization applicable to all Ministries.

[15] Source: The three-year Rolling Development Budget for the Financial Years 2005/06-2007/08, and MTEF 2008/09-2010/11 Office of the President, NPC.

national development goals. A budget hearing where O/M/A and NPCS meet to discuss the submissions in detail follows. This is the forum that provides opportunity for line Ministries and NPCS to exchange information and views resulting in a more efficient allocation of resources. The budget hearing is conducted based on the approved MTEF ceiling which determines resource allocations to different sectors.

4.4.1   Project identification

Interviews showed that all managers and administrators at all levels are of the opinion that the initial process of capital projects identification starts with the community who are represented by the regional councillors of their constituencies. Since the Ministry (region and districts) is in a better position to know all the criteria for establishing new health facilities, the opposite may be true, but it (Ministry) needs to consult and get approval of the community before it proceeds with the identified projects. Regional councillors meet with the community to discuss developmental issues of the community in their constituencies and serve as a link between the community and the government. Therefore, feasibility, location and other issues related to the identified project are discussed between the community and the regional councillor before approaching the responsible line Ministry, in this case, the district hospital. On the other hand, interviewed planners at the Ministry of Basic Education (region) showed that their projects are identified through the cluster centre[16] and the Circuit Inspector's office, before the projects are brought to their attention.

The interviews with the regional managers and administrators revealed that the general understanding at the regional level is that they are involved in the initiation, planning and monitoring phases of the project cycle while their involvement in other project phases is only as observers. On the other hand, their counterparts at the national level felt that their (national) involvement in project cycle starts from planning up to project monitoring and evaluation.

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[16] A cluster centre is formed up by a number of schools, about six to seven that are in close proximity and report to the circuit office. A circuit is made up of four to five cluster centres and is headed by the Circuit Inspector. The Circuit Inspector reports to the Regional Director who in turn reports to the regional government, in this case, the regional government in the Ohangwena region.

4.4.2 Project initial screening and selecting

Interviews showed respondents views that the initial screening and selecting of projects is done by the district hospitals in consultation with the regional councillor and the community. The district hospitals screen all the available requests for new capital projects (clinics) and sees if they meet all the requirements. At the same time districts evaluate the needs, prioritize and rank them as such, before they forward them to the RMT. Respondents at the district level specified that, during the selection of projects, they use outreach services statistics from the Health Information System (HIS) to check, among others, the outreach points with high numbers of daily attendance and distances from other health facilities. It has been noted that the RMT re-evaluates all identified capital projects received from the three districts hospitals and verifies again if they meet the requirements. Even at this level, the general views of all managers and administrators are that there is no limitation on the number of projects to be submitted to the RMT. Likewise, interviews with the Regional Education Planners and Administrator showed that the initial screening is done by the cluster and circuit inspector, while the selection is done by the regional office. Interviewed respondents at the Ministry of Basic Education also agree that there is no limit on projects to be submitted to national level.

4.4.3 Project formulation and preparation

Interviewed planners and managers at the regional and district levels (including Basic Education and Region Council) believed that identified projects are formulated and prepared by the regions by means of PIF[17] forms which are forwarded to national level, together with the motivation for specific projects, for appraisal. It was further revealed that this process is undertaken if the project passes the initial screening tests by the line Ministry and in the Regional Development

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[17]Project Identification Form refers to forms used by the government in which information for identified projects is captured. The information includes, among others, the name of the project, location, motivation (priority) and cost estimation.

Coordinating Committee meeting (RDCC) which is composed of representatives from all line-Ministries in the region. At this stage the RMT prepares comprehensive PIF forms with strong motivation of the needs and necessities of establishing clinics (new) at identified locations. It became known that there is no technical person at the regional level to design projects in a more professional way, but the only design done at this level is guided by the pre-designed PIF form. The staff filling in the PIF forms make a rough cost estimation of projects according to their size and whether the construction is done in phases or not. The staff members interviewed revealed that no prior training was given regarding PIF forms completion.

However, it became evident from national level that the task of completing PIF forms is theirs and not the regions'. It was also revealed that PIF forms are completed with the purpose of applying for funds from the National Planning Commission Secretariat (NPCS), and therefore, highly technical information is needed. As a result, an architect and a quantity surveyor are appointed by the Department of Works (DoW) to do project documentation and cost estimations, respectively, for that purpose. This gave an indication that the regions need only to send comprehensive motivations for screened and selected projects, even though they might not be accompanied by PIF forms.

4.4.4 Project appraisal and inclusion in the submission

Interviews revealed that respondents at national level and a number at regional level know that project appraisal and inclusion in the submission to NPCS is done by the Directorates of Policy Planning and Facility Planning, but some staff at the regional level, especially administrators and junior staff, doesn't know this information. It was revealed that the Directorate of Policy Planning receives motivated projects from the regions and discusses them in the Policy and Management Development Review Committee (PMDRC), where they are appraised. Successful projects are sent to the Facility Planning Directorate which prepares for proper documentation (feasibility studies, drawings, motivations, PIFs, etc) in order to forward them to the NPCS for funding. It is worthwhile to note that, in this step, the involvement of the regional level (districts included) is only limited to consultation, which sometimes does not take place. Some problems that were cited by national planners and project managers are the delays experienced in acquiring

the services of architects and quantity surveyor who are from outside the Ministry, and the late submission by regions of projects, some of which are incomplete. The NPCS arrange for a hearing and invite all offices, Ministries and agencies (O/M/A) to present and defend their projects that they have submitted. Planners and project managers interviewed at the national level indicated that line Ministries at the regional level do not attend these hearing, but are represented by the regional council and the national level (Ministry). Most respondents interviewed at the regional level, including planners at the regional council and Ministry of Basic Education and some planners at national level argued that it is better if they are afforded an opportunity to defend their own projects. It came to light that regions that submit their projects late are disadvantaged since they will find projects that are submitted early and comprehensive projects being approved and allocated with funds from the limited capital projects budget.

4.4.5   Project approval and budgeting

This process takes place at national level and the majority of the respondents at regional and district level indicated that they do not know exactly how projects are approved at national level. It was established that the NPCS and Ministry of Finance (MoF), in consultation with the MoHSS, determines the budget allocation/ceiling for projects that the Ministry submits to the NPCS, which is approved by Cabinet. The majority of respondents indicated that the capital projects are funded by the government, donor agencies and individual contributors. Limited resources in terms of project funding featured prominently among the problems experienced.

4.4.6   Project implementation

All the national managers interviewed revealed that this process is managed by the division of Facility Planning at national level. It was learned that after the budget is approved by the Cabinet, and the appointment of the Architect, he/she (Architect) appoints other team members in consultation with the Ministry and according to the needed expertise. The Ministry again appoints a project manager from its staff members who will lead the team and makes sure that the project is carried out according to architectural drawings, which are the requirements of the Ministry. The project team meets with the line Ministry (RMT) and the community, especially

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the headmen, on site where the clinic is to be built for site handover to the contractor. At this point one can say, with satisfaction, that the implementation of the project has started. The Architect who is a specialist in constructions is always the one acting as a team leader, but any decision concerning change to the plan or additional cost is communicated to the project manager. In most cases the project manager communicates further the concern to the Ministry for final decision.

Interviews with all managers at the national level indicated that the architect, as chairperson of site meetings, distributes the meeting schedule to all members who will meet for the duration of the project life cycle. The project completion stage does not feature prominently in the project cycle, but is mostly done by the technical team members, as long as the Ministry is satisfied with the project workmanship. It was further learnt that the regions have very little to learn from experience/lessons learned since they have no access to the project documentation. The general views of most respondents is that the human resource capacity within the Department of Works is worrisome as it seems that they are overloaded with many projects instead of having specific people to serve specific line ministries.

4.4.7   Project monitoring and evaluation

Evaluation can be viewed as an assessment of the relevance, efficiency, effectiveness, financial viability, sustainability, economic and social impact of a project in the context of its stated objectives and expected results. It allows the planners to use the experiences from one project in the preparation of future projects. Interviewed managers and administrators at the district and regional levels agreed that they are more directly involved with the monitoring and evaluation of their clinics than the national level as they are using them on a daily basis. National level is instrumental in resource mobilization in case of renovations or upgrading.

4.5   CONCLUSION

Literature revealed that it is advisable to have projects carried out by a well selected team of people with good knowledge and competencies which are relevant to that project. Since initiation

and project planning take place at the district and regional levels, we can conclude that the project process in the Ministry takes place at three levels of operation. The difference here is that the team members at the district and regional levels are ordinary staff members while at the national level, a more competent team is appointed that mostly consists of members from outside the Ministry.

The general view is that there are good planning instruments and project management guidelines in the Ministry but, at the same time, a number of problems have been experienced. For instance, some planned capital projects have not been implemented. National government receives capital projects from all the thirteen regions for implementation and may not fully attend fairly to all of them, because of time and limited financial and human resources. It has been noted that shortages of funds entail a change in the scope of projects and, thus, it becomes difficult in determining priorities and lead consultants to redraw plans, thus requiring additional funding thereby causing delays in implementation. The dependency on the Department of Works was also cited as one the impediments in project implementation. Since the regions submit unlimited projects to national level, it gives the Ministry again problems to discern the real priorities of the regions and subjects the system to vulnerability.

The fact that the majority of regional staff members know little of what is happening with their project at national level gives an indication that there are significant information-sharing gaps between the national, regional and district levels of operation. Timely and consistent interaction between these levels is a prerequisite for effective capital projects implementation. Through consistent interaction (communication), these three levels will be able to, collectively, maximize the benefits of events they have control over and minimize the impact of those that they have less control over. The next chapter deals with the research findings of the study.

CHAPTER 5

RESEARCH FINDINGS

5.1   INTRODUCTION

The purpose of this chapter is to present the main research findings on public sector planning and project cycles in the Ministry of Health and Social Services. The findings are based on the key issues discussed in the study and information derived from the fieldwork.

As was mentioned earlier in section 3.6, the research findings on public sector planning were mainly reached with the use of the top-down and bottom-up planning approach, while the 5-C protocol approach to policy implementation was used to assess the effectiveness of the project process in the MoHSS. Since it became known that the project process in the Ministry takes place at three levels, the findings of the research were generally based on the Ministry as a whole.

5.2   FINDINGS ON PUBLIC SECTOR PLANNING IN NAMIBIA

The research study found that Vision 2030, National Development Plans, strategic plans and the Annual Budget are among the instruments that guide all the government Ministries in planning for the developmental goals of the country, including capital projects. This was confirmed in the interviews carried out with National Planners in the Ministry of Health, Regional Planners in the Ministries of Health and Education and the Regional Council which is the Head of the regional government. This implies that Ministries can use different methods and strategies to implement their plans, as long as they are within the parameters of the above-mentioned planning instruments. Therefore, in this context, it is correct to refer to planning in the Ministry of Health and Social Services as planning in Namibia.

The literature review indicated that certain requirements need to be met in order for the planning system to be favorable. Among others, the system needs to make provision for proper

communication channels that describe the way in which all stakeholders can make their contribution. This is in agreement with the argument forwarded by Cameron and Stone that organizational structure should act as a network and channels through which communication should take place. Active communication is enhanced through active participation. This implies that the planning system needs equally to make provision for a platform in the organization that is conducive to participation in order to garner support and acceptance of other stakeholders. In light of the above, it is necessary to consider the contributions of those directly affected by the decision, the beneficiaries.

The research study found that the regions do not always consider capital projects that are in the strategic plan and aligned to the NDP as their first priorities. It was learnt that capital projects that are aligned to the NDP are developed through the same project management process, starting from the grassroots, at district level, and discussed in the RDCC meetings at the regional level in where other stakeholders are allowed an opportunity to give their contribution. This means that projects that are in the regional strategic plan are highly considered by most stakeholders and are the top priority of the region. Therefore, there is no reason the region can ignore their implementation without justification.

One of the findings of this research is that there is no direct link between the strategic plan of the region and the capital project budget of the Ministry. Literally, this means that there is no specific fund connected to projects that are earmarked for implementation by the region during a specific year. A strategy is a suitable plan or method for achieving the aims of the institution, irrespective of change. This implies that strategies always incorporate an alternative (contingency) plan in case of eventualities. Strategic planning goes hand in hand with the means that will enable the organization to achieve the goals formulated. The absence of a link between the strategic plan and the budget implies that capital projects that are outlined in the strategic plan of the region are not guaranteed for implementation at any time. It is an unfortunate situation that funding for projects that has been planned and approved beforehand has to be negotiated again. As a result, this rendered the strategic plan of the region ineffective.

5.3 FINDINGS ON THE CAPITAL PROJECTS PROCESS OF THE MoHSS

It was earlier mentioned that the findings on the capital project process was reached with the use of the 5-C protocol approach to implementation. However, it is worthwhile to note at the onset, as was revealed by the interviews, that project management in the Ministry is carried out by team members at different levels who usually do not come together as a team to discuss project issues, but their communication is mostly confined to telephones. According to the PMBOK, a project must be carried out by a well selected team that knows and understands what is expected from them, and that shares that with each other through constant communication. Detailed findings are discussed below in line with the 5-C protocol of policy implementation.

5.3.1 Content

Results from the interviews and policy documents found that NDPs are the primary medium-term planning instruments in which all goals of the Ministry for the five-year period are outlined. This implies that projects in the Ohangwena region that are to be implemented during that five-year period are designed in line with that specific NDP. The projects are further broken down in the strategic plan for each of the five financial years and, eventually, in the annual plan. For that matter, each year the region knows of the number of capital projects to be implemented according to the strategic plan and annual plan. Capital projects are intended to address the shortage of health facilities in the region with the main aim of promoting the quality of life. Ohangwena was noted as one of the poorest regions in the country, where there is a remarkable distance between existing health facilities.

However, the research found that due to different circumstances, priorities of projects in the strategic plan for a specific year may change. Among those circumstances mentioned by managers are instances whereby an individual or donor targets a project that is already in the strategic plan or where there is a change in meeting the requirements for establishing a clinic, for instance, a drop in the population of an area where a project was planned. In this case, the region is requested to motivate or develop other projects according to priorities by means of the project process. The fact that there is no limit in projects that the region submits to national government

for consideration, causes the region to deviate from the strategic plan by submitting many projects that are not aligned to the NDP, and which are not necessarily priorities, as some may due to political pressure. As a result, the effectiveness of the strategic plan is compromised. To reduce deviation from the strategic plan, the NDP should indicate specific projects that are to be implemented during the specific five-year period and allow minimum revision of projects, except in extreme cases.

5.3.2   Context

The research study found that all projects that are developed in the Ministry (new or re-appraised), follow the process of the project development cycle as was discussed in the previous chapter. Interviews indicated that the project process takes place at two levels of operations, that is, at the regional and national levels. Under normal circumstances, the project management cycle is carried out by a team of selected individuals who have all that is required for the success of a project. Interviews revealed that there are only administrators at the regional and district levels of which most are not well acquainted with the whole project process. To that effect, this is in disagreement with the Project Management Body of Knowledge and Keeling who argues that familiarity with the project life cycle is crucial since it enables those involved in the process to understand the logical sequence of events, recognize goals or milestones, and know where the project stands in the continuum of activities that progress from start to finish. It helps the manager to anticipate changes in character and pace, the build-up of pressure as costs accumulate and time and resources diminish, recognize when special reviews, revisions or priority reappraisals are due, and understand the needs of each phase. For that matter, the MoHSS, especially at the regional and district levels, does not have sufficient understanding of the nature of the institutional context through which projects in the Ministry pass.

The study found that it is lack of knowledge of the institutional context that causes regions to submit their projects late as was indicated by national project managers. On the other hand, national level was also supposed to build the capacity of the regions through workshops and in-service training after recognizing this shortcoming. If the regions become aware that projects are

submitted to NPCS on a first-come, first-served basis, then no region will delay its projects since they know that capital project funds are limited.

Beside the regional and national levels that projects have to go through, there is the Department of Works that is responsible for the technical design which is one of the main requirements for projects to be able to request funds from the NPCS. Since the DoW and the NPCS are different institutions through which projects pass over which it doesn't have control, the Ministry needs to ensure that projects from the regions are prepared well in advance to allow them ample time with outside institutions.

5.3.3   Capacity

The interrelationship of the variables makes it difficult to separate when discussing them. However, one of the main findings of the research is that the effectiveness of the project implementation can only be attained if those charged with the responsibility of implementation are knowledgeable and conversant with the project process. The validity of this argument is supported by MacMaster who argues that the operations function in an organization is important as it directly affects how the organization's goods, products and/or services satisfy its clients/ customers. Regional staff members responsible for projects need to understand what a good project motivation entails to enable them to send complete project applications that will not be referred back for being incomplete. This will save time and allow national level officials ample time to prepare Project Identification Forms for submission to the NPCS as the main requirement for fund allocation. This factor needs to be emphasized since it is within the control of the Ministry, unlike the expertise that is vital for the approval of PIFs that is controlled by the Department of Works, who appoints and oversees the works of architects and quantity surveyors. Therefore the research found that the national level is overloaded with too many technical activities of projects, and receiving projects from thirteen health regions nationwide is just too much for them. The above statement is considered in line with the decentralization process that is transferring responsibilities and personnel from the national sphere to the regions.

Likewise, the Department of Works does not only receive projects from other regions for the Ministry of Health and Social Services alone, but also for different Ministries, since they are the department responsible for infrastructure development and maintenance in the whole government. If it happens that projects are submitted late, their chances for proper consideration are very slim due to limited personnel and the bureaucratic system. The fact that the DoW deals with nationwide projects placed a burden on them and they may not attend to all capital projects fairly evenhandedly. This stage is crucial in the project process of the Ministry, but the unfortunate situation is that it is not in the full control of the Ministry, and therefore contributes to the delay in the implementation of projects.

The study found that the Ministry does not have planning officers at the district and regional levels, unlike the Ministry of Education which has regional planners. In fact, this is not a big problem as long as those administrators responsible for carrying out planning functions for the region are well trained. The initial stage of project development is crucial as it determines its future, hence, the need for knowledgeable officials at these levels in the absence of planners.

5.3.4 Commitment

The commitment of the project team is an intangible interlinked variable, the effect of which on the system is shaped by the other four variables. Interview results showed that capital projects in the Ministry lag behind all the way back to 2001. The indication is that the process of submitting capital projects to the national level had become only a routine annual process to the regions, and there is no guarantee that all the proposed projects shall be considered for implementation. Obviously, if that is the case, then nothing will motivate the team members, especially those at the regional level, to do their best if the outcomes are not encouraging.

Commitment of the staff members is shaped, primarily, by the satisfaction that they (staff members) get from the capital project process outcome. Sometimes staff members are not motivated enough to submit capital projects to national level simply because they know that nothing will come out of it, or they are not quite sure of what is exactly expected of them in the process of the project cycle. All the outcomes of these possibilities are detrimental to project

implementation as they are likely to cause delays or incomplete submission of projects to the national sphere. This clearly shows that it is essential that staff members are knowledgeable to enable them to carry out their functions effectively and efficiently. If the staff members know what is expected from them and from national government, it is only in that moment that they will have the audacity to question the system, and demand action.

Commitment of the staff members is not only necessary at the district, regional and national levels of the Ministry, but everywhere the project may pass in the project cycle, including at the Regional Council, the DoW and the NPCS. This is very challenging since the ministry has no control over other ministries' activities, but will only be able to influence their actions. This influence is only possible if the staff members, both inside and outside the Ministry have project knowledge and are committed to produce positive outcome.

5.3.5   Clients and coalitions

The research found that clients and coalitions of the MoHSS are, among others, donor agencies who provide the government with the necessary capital projects funding to supplement its development budget, community based health care groups who are conversant with local health needs of the people at the grassroots level, and the general community who are beneficiaries and end users of the health facilities. The study found that each of these groups has a big and influential role to play that determines, in a positive or negative way, the success or failure of capital projects. On the other hand, the government needs to have a good relationship with these groups as partners in the development of and service provision for the country.

Interview results of this study revealed that the government of the Republic of Namibia, through the NDP, created an environment that is conducive for engagement with NGOs, CBOs, community members and other interested groups for collective planning of capital projects. It is found in this study that private persons and donor agencies are among those that provide funding for capital projects. This gives an indication that the government enjoys the support of this group of stakeholders. It was uncovered in the research that a need for establishing a health institution (clinic) starts with members of the community who forward their needs to the government. Even

though not all projects are implemented as planned, generally this translates into a good relationship between the government and the community.

5.4 CONCLUSION

It is interesting to note that in general terms, the system of planning and the process of project management in the MoHSS are good but are made ineffective by the operations management. It was found that most officials in the Ministry, especially at the district and regional levels, have little knowledge of the project management process and in a way, are unable to operationalize the system effectively and consequently contributed to the cause of delay in project implementation. It is on this basis that most of the recommendations of this research will be on building the capacity of the team members which is the requirement of one of the variables of the 5-C protocol. Since capacity influences and is influenced by the other variables, the next chapter will discuss them in unison.

CHAPTER 6

CONCLUSIONS AND RECOMMENDATIONS

6.1   CONCLUSIONS

The research attempts to answer and address the question of the delay experienced in the implementation of identified capital projects in the Ohangwena health region and the Ministry of Health and Social Services in general. Since the project process takes place at three levels of the Ministry, conclusions and recommendations will generally be about the Ministry as a whole. The study found that there are a number of causes that are within and outside the Ministry that contributed to the delays. Therefore, it is concluded that good planning guidelines exist in the Ministry of Health and Social Services. However the following weaknesses have been observed:

- Non-limitation of the number of projects for submission to the national level for consideration causes deviations from the strategic plan. It was made clear in the research that there is a shortage of health facilities in the region in relation to distances traveled by the community and population growth. Many constituencies in the region may qualify for one or two clinics in terms of the minimum criteria for establishing a permanent clinic (see annexure B), but not all of them are top priorities. Without considering the limited resources at the disposal of the Ministry and needs from other regions, the region may submit many projects as proposed by regional councillors, who all want development in their constituencies. This also creates a very insecure situation that may disadvantage some constituencies or regions that are not well represented in positions of authority and those which do not have powerful leadership. People in positions of authority are the ones with the power to decide which project to implement. On other hand, regions with quality leadership and good political understanding have the potential to influence the outcome of capital projects to the benefit of their constituencies or regions.

- Beside the good planning guidelines that are present in the Ministry, ineffective two-way communication in the system was observed. The research made it clear that all the capital

projects that are aligned to the NDP and to be implemented in that specific five-year period have been developed through the capital project process (see annexure C). Interviews with the national level experts in project management indicated that the main purpose of the project cycle is to initiate projects earmarked for the NDP. Since priorities changes, the capital project process is also used to develop new or re-prioritize projects in addition to those aligned to the NDP. It was found that the region does not know the main purpose of the two but only knows the routine work of annual project identification, and little of what happens with projects once they are sent to national level. Project success relies heavily on leadership skills, teamwork, co-operation and mutual understanding. The above-mentioned will not be possible if there is no proper communication and flow of information in the system.

- The research concluded that the strategic plan of the region will remain ineffective as long as the funds for capital projects are not directly controlled by the region. This means that capital projects that are outlined in the strategic plan, as the first hurdle, need to have funds allocated to them at a convenient time for project implementation. If there are no specific funds earmarked for specific projects that are with the region or the Ministry for that matter, then there is no assurance that capital projects that are in the strategic plan will be implemented accordingly.

In general terms, the Ministry has a sound project process that corresponds with the Project Management Body of Knowledge; nonetheless, the following weaknesses were identified:

- Lack of capacity of those responsible for capital project initiation and planning in the Ministry, especially at the district and regional levels, has a substantial influence on most of all the weaknesses observed in the system. If knowledge of the staff members of the system is limited, the possibility of finding wrong or right in it (the system) will be limited too; therefore nobody will be courageous enough to question it, especially those regions that are not privileged by it. Lack of capacity caused regions to submit incomplete project that are not well motivated to the national level, thereby resulting in delays in preparing them to request funds from the National Planning Commission Secretariat.

- The research concluded that lack of technical expertise in the Ministry, for instance, the architects and the quantity surveyors play a big role in the delay experienced between the Ministry and the Department of Works. Acquisition of technical people in the Ministry will enable it to communicate better with the Department of Works and to oversee that projects of the Ministry are attended to by the DoW within a reasonable time, rather than communicating with ordinary planners and project managers who have limited technical knowledge.

- In terms of the Project Management Body of Knowledge, a project is carried out by a carefully selected team from the beginning to the end. Project process in the Ministry takes place at three levels of operation. The categories of staff members at all these levels have different knowledge and understanding related to project management. Even though a formal project team is assembled at the national level, composed mostly of technicians from outside the Ministry, contribution by the district and regional levels cannot be ignored as they form an important part of the complete project team. It is against this background that they need to be empowered for effective participation and familiarity with the whole project process.

6.2   RECOMMENDATIONS

A number of recommendations are suggested in this research study for the purpose of improving the effectiveness in the planning and implementation process of capital projects in the Ohangwena health region and the Ministry of Health in Namibia. It should be emphatically clear that the following recommendations apply to the Ohangwena health region in Namibia, and may lead to improvement in capital project planning and implementation.

6.2.1   Recommendation 1: Limit annual submissions to national level by two projects per region

By considering the negative impact this exercise caused in the system, the research report recommends regions to submit two projects to national level. It should be well understood that

this does not limit the regions to develop as many projects as they wish; it is just a way of bringing them close to reality with regards to project implementation. Two projects for each region per year portray a true picture of the political and socio-economic reality of the country and will build the confidence and hope of the regional staff members that their projects will receive the attention they deserve. What will be important for the regions is to have their priorities right and in good order, through the available platform, that is, the Regional Development Coordinating Committee meetings in which all stakeholders meets. While the priorities of regional councillors are motivated by a need to develop their constituencies, the Regional Health Directorate will be able to advise procedurally and professionally on priorities and needs of health institutions in the region. All projects that have been prioritized are then put in a regional master plan kept at the Regional Council Office. Newly identified projects need first to be approved by the Ministry before being entered into the master plan. With the master plan up-to-date, the top two projects will make it to national level for consideration. As soon as the top two projects are removed from the master plan, priorities are reviewed to replace them.

This research suggests that before projects are prepared to go before the NPCS, a platform needs to be created within the Ministry to allow regions the opportunity to present and defend their projects and see if they fit within the guideline amount allocated to the Ministry. If it happens that there are still funds left, additional projects for needy regions shall be considered on merit. If it is found that some regions are better off than others, priorities may shift to those regions in great need to have more than two projects. This limitation will save much time for the national sphere who will not only be relieved from having to scrutinize a large number of projects, but also save time through not sending incomplete projects to and from the regions for corrections. This exercise will, substantially, reduce the delays that were previously experienced in the system between the regional and national levels.

6.2.2 Recommendation 2: Improve the communication system between the district, regional and national levels

Beside the appointments of architects and quantity surveyors at the national level, it is suggested that there is a need for a project planning coordinator in the regions with a minimum

requirements of having an architect. Since the process of project development is seasonal, there is no need to have project coordinators in each region; therefore one coordinator is suggested to serve a cluster of regions that are situated in close proximity. Notwithstanding training that was recommended for administrators in the Ministry, the coordinators will serve as links between regional administrators and the national level by consolidating project submissions of their clusters before they are sent to the national level. Besides coordination functions, they will also advise the regions on new developments in the Ministry regarding project management, and supervise the work of ongoing projects on site. This will improve communication between district, region and national levels and reduce the level of delays.

6.2.3 Recommendation 3: Focus on project management skill assessments and training in the Ministry

The operational system of any institution becomes effective if the staff members at the operational level know what is expected from them and that they are getting the necessary support from top management. Likewise, Warwick argues that government may have the most sound and logical policy ever but if those responsible for carrying it out are unwilling or do not have the capacity to do so, then little will happen. As in the case of a normal project with team members who are expected to possess the necessary knowledge required for project implementation, this research study suggests that training is necessary for all project team members at all levels in the Ministry that are dealing with capital projects. It should be noted that, when referring to the project team members in the Ministry, it is not only those dealing with construction, but includes also those that are responsible for project identification and initiation, for instance, district and regional staff members.

In order to know the exact training needs of the staff members, the research suggests that the Ministry conduct an individual assessment of project management knowledge in the Ministry at each level by means of the Pyramid Model that was proposed by Williams 2008. The Pyramid Management Model is designed for service delivery and performance management, and we will use it to seek answers to the three questions of how, what and why at the district, regional and national operational levels, respectively. Staff members at the district level are assessed on how

they are doing their work and whether they know their job responsibilities, and are clear on regulations and procedures governing capital projects in the Ministry. Regional level staff members are assessed on whether they know what needs to be done. Understanding at this level is very important since the level serves as a link between national and district levels. Finally, national level officials are assessed on why the work needs to be done with a view to establishing their knowledge of how to achieve Vision 2030 with regard to project management. If this is done, it will enable the Ministry to identify where the process needs improvement and will assist it to look for the project management training officer with the necessary training skills.

6.2.4 Recommendation 4: prioritize the creation of posts of Architects and Quantity Surveyors in the Ministry

The research suggests that due to the enormous delays experienced between the Ministry and the Department of Works, posts for architects and quantity surveyors need to be created in the Ministry. The architects will be the chief liaison officers between the MoHSS and the DoW on new construction. They will provide technical advisory services to the MoHSS, and oversee the work of the architect or firm hired by the DoW to develop plans for new projects. They will review all technical drawings to ensure timeliness and to ensure compliance with MoHSS's needs. Where necessary, the architects will also develop functional programmes for the buildings. The architects will be involved from the earliest stages of a building project, from site selection through to completion. They will remain actively involved throughout each project as the idea and plans are turned into reality. The architects will work closely with contractors on site, ensuring that works are carried out to specific standards and that any problems that arise are resolved in a timely manner.

The quantity surveyors (QS) will manage all costs relating to building projects, from the initial calculations to the final figures. The surveyors will seek to minimize the costs of all projects and enhance value-for-money gains, while still achieving the required standards and quality. Many of these are specified by statutory building regulations, which the surveyor needs to understand and adhere to. The quantity surveyors will be charged with the responsibility of supervision and oversight of QSs contracted by the MoHSS and the DoW on behalf of the MoHSS. This will not

only reduce the workload of the DoW, but will also accelerate the process between the two institutions because they will talk the same professional language.

6.3   AREAS FOR FUTURE RESEARCH

As was pointed out in Chapter One, hardly any serious academic research has ever been conducted regarding the assessment of the effectiveness of planning and the process of project implementation, particularly, in the Ohangwena region and the Ministry in general. This shows a lack of research information that could assist regional and national staff members of the Ministry to identify weaknesses in the system and propose solutions that will benefit the community in the region and the country as a whole. Furthermore, academic research on various regional and national governance aspects needs to be conducted. Therefore, the researcher recommends that future academic research should be undertaken in the following areas:

- The first area identified for future research is that the allocation of resources to regional capital projects that are aligned to the NDP and appear in the strategic plan should receive more attention in future. As was indicated in this research study, strategic planning refers to the process by which organizational goals and the means to achieve those goals are formulated and implemented. This means that negotiable resource allocation to capital projects in the region is one of the main factors that causes delays in the implementation of capital projects in the region. It was revealed in the interviews that approved projects are re-prioritized and costed before submitted to the NPCS for funds consideration. Research needs to be undertaken whereby funds for approved capital projects are transferred to the regions to enable timely implementation of projects.

- The second area that needs consideration for future research is that full decentralization of functions and services to regional government in Namibia is of utmost importance for service delivery. Predominantly, this is significant given the problem of scarcity of resources and many competing needs. This research indicated that decentralization has happened at a slow pace since its inception in 2000. Therefore research in this area exposes the essence of decentralization in terms of regional governance.

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- The third area is that there is a need for an appropriate legislation that limits the number of projects submitted to national level for consideration. It was revealed in this research study that projects that are submitted earlier and well motivated stand a good chance of being approved. This practice is not transparent and its design is open to manipulation due to the absence of appropriate legislation. Regions that are under good management and well staffed will be likely to benefit much more from the system even though their projects may not be of high priority than those that are understaffed and lack capacity. Therefore, research in this area will contribute to fairness in the system and ensure that consideration is given to main priorities.

In conclusion, it is worth mentioning that although this study has mainly focused on improving the effectiveness in the planning and implementation process of capital projects in the Ohangwena health region, the findings put forward could be useful and may be applied to any other region or any Ministry or anywhere in Africa, where a comparable situation to that of the Ohangwena region, exist. The research in this study showed that sound planning processes, institutional arrangements as well as the use of the Project Management Body of Knowledge are critical components of policy implementation and that a focus on these aspects in future may be regarded as key requirements for the African Renaissance and the development effort in all African countries. Since this is the first research study of its kind, the Ministry is encouraged to research more on the subject with the aim of improving the implementation of capital projects and, ultimately, quality of life for people.

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8. ANNEXURES

ANNEXURE A: **Questionnaire / interview schedule for experts in   public sector planning and project management processes**

PLANNING CONSIDERATIONS FOR IMPROVING THE IMPLEMENTATION OF CAPITAL PROJECTS

Facilitated by George Jeremia in consultation with Prof. de Coning for Masters Thesis Research towards the M.Admin Degree at the University of the Western Cape

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MARCH 2009

GENERAL

This questionnaire has been developed to obtain the views of a number of specialists regarding public sector planning with the aim of improving the process of projects implementation. The results of this study will be utilized to make recommendations that ensure the timely implementation of approved capital projects. Respondents should note that the identity of interviewees will be protected and individual names or statements will not be used in the report. Responses will be consolidated and research findings will be presented in aggregated fashion. The questionnaire consists of section A and B that covers two dimensions, namely:

- Public sector planning

- Capital project process

BIOGRAPHICAL INFORMATION

NAME OF RESPONDENT**:** …………………………………………………

ORGANISATION: …………………………………………………

POSITION: …………………………………………………

GENDER

Male	Female

AGE

Contact details for possible follow-up

Tel. No.: ……………………………………………….

Cell No.: ……………………………………………….

Fax No.: ……………………………………………

Postal Address: ……………………………………………

Email Address: ……………………………………………

DATE OF COMPLETION OF QUESTIONAIRE:

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YEAR   MONTH DATE

SECTION A: DISTRICT/ REGIONAL LEVEL

(i)   Public sector planning for capital projects

Question 1:   In your opinion, who do you think are the key role players at the District/ Regional level in planning for capital projects?

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Question 2(a): In general, what do you think are the most important principles in planning for capital projects?

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Question 2(b): Please rate the importance of the following planning principles (1 being the most important and 10 being the least important).

Principles	Rating
Planning must be participative	
Planning must be communicative	
Planning facilitates strategic management	
Planning improves programming and time management	
Planning assist in resource mobilization and allocation	
Planning serves as a basis for organizational development	
Planning facilitate project management	
Planning identifies and prioritizes projects	
Planning must be transparent	
Planning clarifies responsibilities	
Please add other planning principles	

Question 3: Which planning instruments does the District/Region use when planning for capital projects?

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Question 4: What do you think are the main problems experienced when planning for capital project at the District/Regional level?

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Question 5:   When do you regard your identified capital projects approved, and by whom?

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Question 6:   How many numbers of capital projects are required to be submitted to National level by specific regions for consideration?

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Question 7:   Do you think the time taken by the National Level to implement identified capital project is reasonable?

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Question 8: How long does it take, after submission by the Region, to implement identified capital projects?

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Question 9: What do you regard as key challenges that should be addressed to ensure improved and speedy implementation of capital projects?

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Question 10: In general, are you satisfied with the way capital projects are planned at the Regional level?

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Question 11: Feel free to comment on anything else that you feel has not been covered in this questionnaire:

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(ii) <u>**Capital project process**</u>

Question 12: In general, what do you think the project process entails and in which phases are you involved?

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Question 13: Who initiate capital projects at the District/Regional level and what value is added to the initiated projects?

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Question14: In what form do you submit your capital project requests to the National Level for consideration?

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Question 15: How do you determine the total value and priorities of capital projects?

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Question 16(a): What are the key management issues on best practices that should receive attention regarding capital projects?

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Question 16(b): Please rate the importance of the following implementation aspects (1 being the most important and 10 being the least important).

Implementation aspects	Rating
The **context** of planning and implementation of capital projects	
The social, economical, political, and legal **context**	
Capacity of staff members to implement projects	
The **content** of the policy regarding project management	
Commitment and ability of those implementing projects	
Influence of **clients and coalitions** on implementation of projects	
Top-down and bottom-up communication in the organization	
Financial resources to fund projects	
Availability of **technical personnel** in project management process	
Implementation of projects on **time**	
Please add other implementation aspects	

Question 17: Feel free to comment on anything else that you feel has not been covered in this questionnaire:

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THANK YOU FOR YOUR PARTICIPATION

SECTION B: MINISTRY OF HEALTH AND SOCIAL SERVICES; NATIONAL LEVEL

(i) <u>**Public sector planning for capital projects**</u>

Question 18: In your opinion, who do you think are the key role players at the National Level in the planning and appraisal of capital projects?

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Question 19: In general, are you satisfied with the way capital projects are planned at the Regional level?

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Question 20(a): What are the planning principles that are supported by the Ministry with regards to capital projects?

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Question 20(b): Please rate the importance of the following planning principles (1 being the most important and 10 being the least important).

Principles	Rating
Planning must be participative	
Planning must be communicative	
Planning facilitates strategic management	
Planning improves programming and time management	
Planning assist in resource mobilization and allocation	
Planning serves as a basis for organizational development	
Planning facilitate project management	
Planning identifies and prioritizes projects	
Planning must be transparent	
Planning clarifies responsibilities	
Please add other planning principles	

Question 21: Which planning instruments do the Ministry use when considering capital projects submitted by the regions?

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Question 22: What do you think are the main problems experienced when preparing for the implementation of capital project at the National Level?

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Question 23: Who approves submitted capital projects from the regions, and how are they informed the about that?

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Question 24: How many numbers of capital projects are required to be submitted to National level by specific regions for consideration?

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Question 25: How many projects are appraised and prioritized at National level for submission to the National Planning Commission Secretariat (NPCS) for each region?

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Question 26: In reflecting on best practices at the regional and national levels, what are the key issues that should receive attention in Capital Project Planning?

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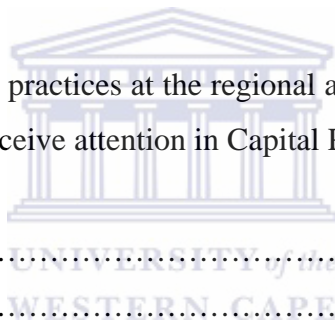
(i) <u>**Capital project process**</u>

Question 27: In general, what do you think the project management process entails and in which phases are you involved?

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Question 28: Where does the Ministry get resources to fund its capital projects?

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Question 29: How are capital projects received from the regions are prepared at the National level for submission to the National Planning Commission Secretariat (NPCS)?

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Question 30: Are the capital projects prepared by the National Level submitted to NPCS according to priorities submitted by the regions?

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Question 31: How complete and useful are the Project Identification Forms (PIFs) cost estimations and prioritizations from the regions are, to the Ministry?
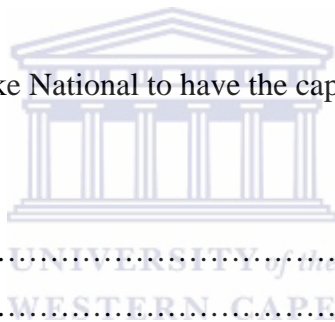
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Question 32: How long does it take National to have the capital projects approved and ready for implementation?

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Question 33(a): In reflecting on best practices at the operational level, what are the key management issues that should receive attention regarding planning for capital projects in the Ministry?

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Question 33(b): Please rate the importance of the following implementation aspects (1 being the most important and 10 being the least important).

Implementation aspects	Rating
The **context** of the planning and implementation of capital projects	
The social, economical, political, and legal **context**	
Capacities to implement projects	
The **content** of the policy regarding project management	
Commitment and abilities of those implementing projects	
Influence of **clients and coalitions** on implementation	
Top-down and bottom-up communication in the organization	
Financial resources to fund projects	
Availability of **technical personnel** in project management	
Implementation of projects on **time**	
Please add other implementation aspects	

Question 34: Feel free to comment on anything else that you feel has not been covered in this questionnaire:

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THANK YOU FOR YOUR PARTICIPATION

ANNEXURE B: Criteria for establishing a permanent health facility (clinic)

- The range of population to be served by a clinic in the northern region, in which Ohangwena region is part of it, is 2000 people per clinic.

- The maximum distance from the nearest health facility should not be more than 15 km, or the time taken by an adult to walk to a health facility should not be more than three hours.

- The community must have a felt need which must first be expressed in writing and forwarded to the nearest health authority.

- If the attendance at an outreach point which is services at two weekly intervals exceeds 50 people per session for four consecutive visits, this may indicate a need for a permanent structure.

- The presence of other community facilities, for instance, schools, shops and churches at the spot where the community would like the clinic to be erected, add value to the request of a permanent health facility.

- If a community is very isolated, and is very far from a regular used road, there may be a need for a fixed structure for that community.

- Once an area is designated as an economic growth point it is likely that the population of that area will increase, and there may be a need for a fixed health facility.

- A fixed health facility can only be viable if the place has water, or water can be made available on a regular reliable basis.

- There should be a clearly recognized cohesive leadership structure, before a PHC clinic is erected for a community.

- The relative permanence of the settlement should be established before consideration is given to erecting a permanent health facility.

- The availability of personnel and financial resources should be confirmed before any decisions made to establish a permanent health facility.

Source: Integrated Health Care Delivery: The Challenge of Implementation, a situation analysis and practical guide. January 1995. MoHSS, Namibia.

ANNEXURE C: Project process in the Namibian public sector

Project Identification

This stage deals with developing the project concept, including defining objectives and a rough idea of the various options for achieving them. For project identification to be effective there should be negotiation and agreement between:

- Those proposing the project (line ministries, Regional Councils)
- Those likely to implement the project (line ministries, Regional Councils)
- Those likely to benefit from the project (communities)
- Those likely to fund the project (line ministries, Regional Councils, Donors)

Initial screening and selection

This can only take place once the project concept exists, to see if the project fits in with development objectives and strategies. All projects identified by the various development committees at regional level should be thoroughly scrutinized by the Regional Council/RDCC. This process should answer the following questions.

- What is the likely impact of the project?
- Is the project likely to be technically and institutionally feasible?
- Can it be undertaken within the existing resource constraints?

Project design/formulation and preparation

This is undertaken if the project passes the initial screening tests. Design covers a full range of technical, institutional, economic, financial, social and environmental conditions necessary to achieve the project's objectives, together with a plan of operation. Effective project design should consider different ways of achieving the objectives.

Project appraisal

This stage involves the deciding whether resources should be allocated for the implementation of the project or not. The resources put into appraisal will reflect the size, complexity and

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importance of the project. This is the most crucial stage of the project cycle. This process should find answers to the following questions:

- Is the project feasible?
- Can it be implemented under existing conditions?
- Do perceived implementers have the requisite capacities?
- Are the goals consistent with national development priorities?
- How will the project impact on the plight of the target population?
- Is it justifiable to allocate resources to the project given the benefits that are going to be derived from the project (Cost-Benefit-Analysis)

Project Implementation

The respective institution should set up project teams consisting of all stakeholders. These project teams should start with identifying suitable contractors for the implementation of their projects. The project teams should also monitor the implementation of the project by comparing the actual progress to the plan in order to identify remedial action when necessary.

Monitoring and Evaluation

Evaluation can be viewed as an assessment of the relevance, efficiency, effectiveness, financial viability, sustainability, economic and social impact of a project in the context of its stated objectives and expected results. It allows the planners to use the experiences from one project in the preparation of future projects.

The following methods can be used in monitoring and evaluation

- Periodic reports
- Meetings (interviews)
- Field (site) visits (observations)

Source: Draft guidelines for development planning and budgeting under delegation phase. March 2003. Government of the Republic of Namibia.

ANNEXURE D: Government's criteria for appraising development projects

1. Consistency with National Development Goals, Objectives, Strategies and Targets, as stipulated in the National Development Plan.
2. Consistency with Sector Goals, Objectives, Strategies and Targets.
3. Consistency with Regional Development Goals, Objectives, Strategies and Targets, as stipulated in the Regional Development Plans.
4. Inclusion of the project/program in the PSIP
5. Consistency with Namibia's Vision 2030 Goals and Objectives.
6. Adherence of requested budgets to available ceilings
7. Regional equity in terms of resource allocation using the HDI
8. Separation of recurrent expenditure from capital expenditure
9. Recurrent cost implications and sustainability after completion of projects/programs
10. Cost-benefit analysis over the three year rolling budget
11. Employment creation
12. Proper completion of project identification forms (PIF's)
13. Provision of completed feasibility studies for all new projects
14. Provision of quarterly progress reports for on-going projects
15. Financial rate of execution including rate of attaining targets
16. Prioritisation of projects/programs
17. Timely submission of PIF's

Source: Draft guidelines for development planning and budgeting under delegation phase. March 2003. Government of the Republic of Namibia.

ANNEXURE E: Map of Namibia depicting regions
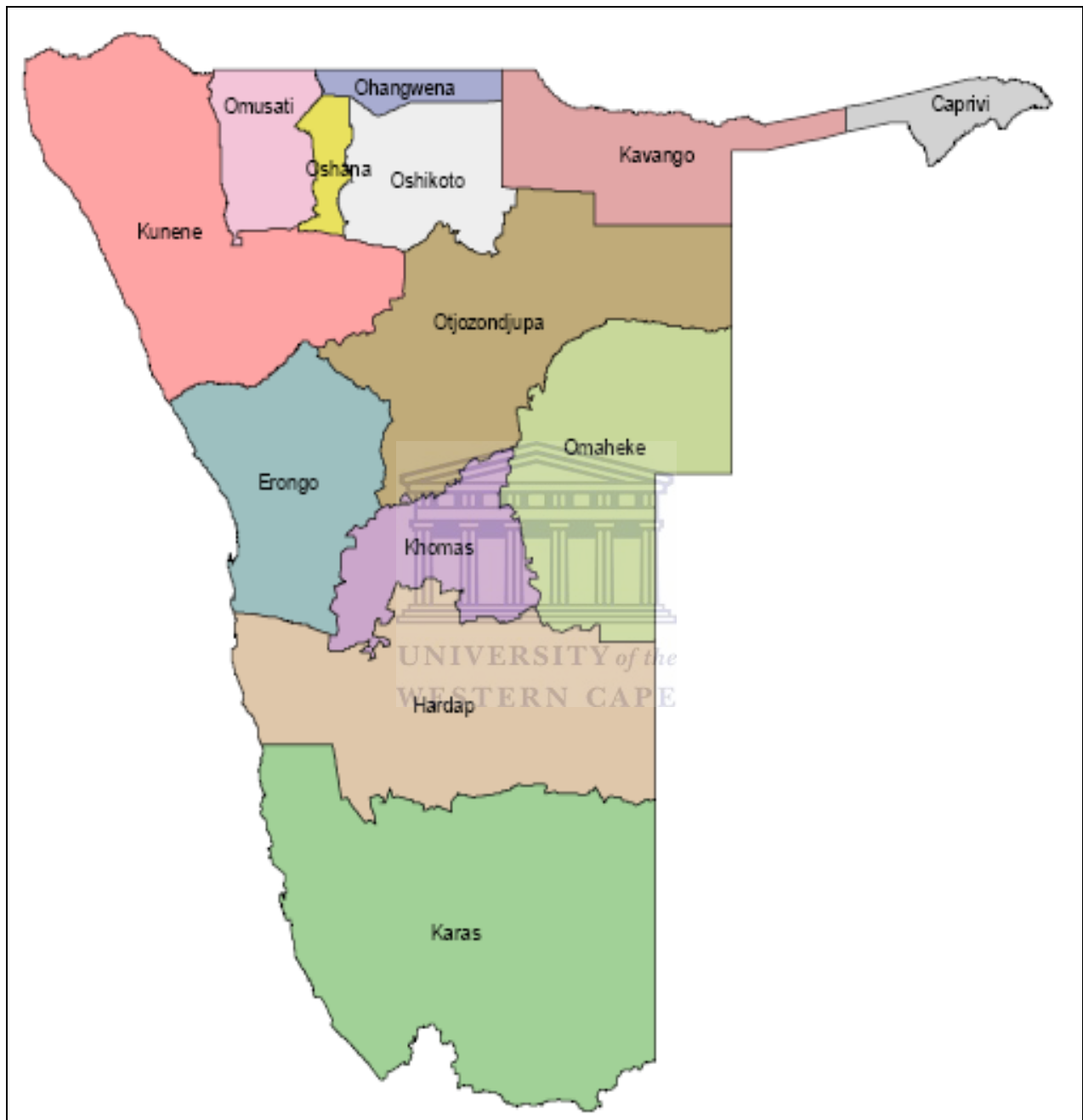
Source: Namibia Central Bureau of Statistic, National planning Commission