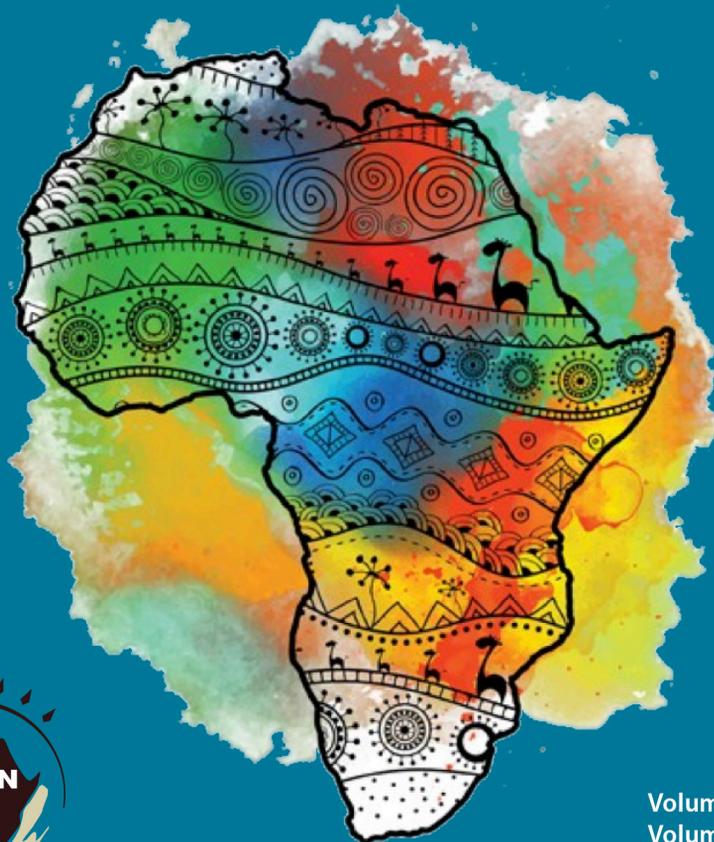


**Africa Journal of  
Public Sector Development and Governance**

**Revue Africaine  
De Développement Et De Gouvernance  
Du Secteur Public**

**Revista Africana de  
Desenvolvimento e Governação  
do Sector Público**



Volume 2 Issue 1  
Volume 2 Edição 1  
Volume 2 Numéro 1

# Africa Journal of Public Sector Development and Governance

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The Africa Journal of Public Sector Development and Governance (AJPSDG) is a peer-reviewed scholarly journal published by the African Management Development Institutes' Network (AMDIN).

The journal investigates a broad spectrum of matters and issues related to governance, development, policy research and implementation, and leadership and management in the public sector in Africa. These include discipline-based and inter-disciplinary research, with a focus on both theoretical and practical approaches and experiences relevant to development and governance in Africa.

The journal publishes peer-reviewed research articles, discussion papers, policy papers, interviews with eminent persons, and book reviews on major issues related to public sector development and governance in Africa.

The journal's target audience is students, specialists, practitioners, consultants, politicians, policy makers, members of legislatures and those interested in African affairs.

In order to ensure that articles are relevant and of a high quality, all submissions are peer-reviewed (or refereed) by at least two experts. This is done completely anonymously and with the utmost confidentiality. A standard peer-review report template is used. Based on feedback from referees, as well as structure and content aspects, the editors reserve the right to make minor adjustments to submitted articles before publication.

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### Page fees

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Subscription to the Journal is free

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The publishing of this Journal was made possible through the financial support of the European Union

La publication de cette revue a été rendue possible grâce au soutien financier de l'Union Européenne.

A publicação desta revista foi possível graças ao apoio financeiro da União Europeia

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## EDITORIAL

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# BUILDING CAPACITY FOR SUSTAINABLE DEVELOPMENT

Thean Potgieter  
Chief Editor

The Sustainable Development Goals (usually referred to as the SDGs) include 17 global goals that form part of the '2030 Agenda for Sustainable Development' adopted by all United Nations Member States in 2015. These goals are a commonly agreed-upon blueprint for peace and prosperity for all people living on our planet. It is a universal call to action and a global partnership aimed at ending poverty, protecting our planet now and in the future, and ensuring that the inhabitants of our planet enjoy a better life by 2030. It is certainly a bold and ambitious collective initiative to address sustainable development issues within various interrelated contexts, ranging from socio-economic challenges, quality education and responsive governments, to addressing comprehensive ecological and climatological issues.

As the United Nations emphasises, the '2030 Agenda for Sustainable Development' is an acknowledgement that proper health and education, reducing inequality, economic growth as well as addressing climate change and preserving forests and oceans, are inherent ingredients to putting an end to poverty and deprivation. Implementing and achieving the SDGs require substantive support and capacity building, especially as these goals are inherently integrated – implying that actions taken in the context of a specific goal is not isolated and outcomes in one area will affect others. Therefore, the need is for a balanced and holistic approach aimed at ensuring sustainable development in all spheres.

In the context of Africa, there is a collective resolve to tackle integrated developmental challenges by addressing the various focus areas inherent to the SDGs. However, cognisance must be taken of a number of crucial variables that will impact on the capacity of national governments to achieve the SDG objectives. These variables include, amongst others, the capacity to leverage appropriate sources and sustainable funding, consulting widely on the most appropriate approaches with relevant stakeholders in all sectors, ensuring that suitable plans and programmes are in place, and engaging in processes aimed at moving countries towards effective resource utilisation required for the implementation of the SDGs. Achieving the ambitious outcomes inherent to the SDGs and creating a better planet for future generations therefore call for effective partnerships between governments, the private sector, civil society and citizens.

A minimum requirement associated with successful capacity building for development is a symbiotic relationship between the state and the important role-players in the education, training and development sector. However, the state's role remains central as a well-governed, capable and developmentally orientated public service is an imperative for the effective and comprehensive socio-economic development of a country. If a public service is not responsive to the development needs of a nation, and institutions in the spheres of education, training and development (both public and private institutions) are not harnessed to contribute fully, national development efforts could be harmed. Consequently, capacity building by governments is important for improving the effectiveness of the public service and supporting national development processes.

Capable and competent public services are required in order for governments to remain responsive to the aspirations of citizens, deliver effective services and achieve national developmental objectives. Management development institutes, schools of government and public service academies were created with the unique role of building capacity amongst public servants to better support the achievement of government objectives. This must be done in collaboration with a variety of universities and other public and private education and institutions that are also contributing to public sector capacity building. Such institutions support governments through teaching and learning programmes that contribute to mainstreaming the appropriate work ethic, productivity, norms and standards, and supporting the creation of a culture of lifelong learning amongst public servants. To be able to address the changing needs of governments, such institutions should be appropriately structured, governed and funded, and remain responsive through the development and rollout of relevant programmes.

The contributions published in this edition of the *Africa Journal of Public Sector Development and Governance* (AJPSDG) focus, in essence, on capacity building and development. They address a broad spectrum of matters relevant to policy research and implementation, public sector management and development, issues relating to the institutional nature and characteristics of the public service capacity building landscape in Africa, governance, the relevance of higher education, and the development priorities of government. As a collection, the various articles indicate that a bridge exists between the ambitious international goals (such as SDGs), the development of public services in Africa, and the contribution that schools of government and universities can make towards achieving developmental objectives.

In the context of the purpose of the Journal (a scholarly publication investigating policy issues, management and development in Africa), this volume also includes a special case study on the tragic consequences of a prominent public health service project. The case study graphically illustrates the crucial role of government as well as the importance of effective policy implementation and project management (amongst others), for ensuring the achievement of the Sustainable Development Goal 3: "Ensure healthy lives and promote well-being for all at all ages".

The SDGs with specific reference to global development agendas and the context of Ghana is the focus of the first article by Patrick Tandoh-Offin. He indicates that towards the end of the twentieth century, the global community had broad consensus on the imperative to create broad frameworks guiding socio-economic development. Lessons learned from the initial effort, the development and implementation of the Millennium Development Goals (MDGs) in the first fifteen years of the millennium, resulted in the creation of the current SDG framework. The SDGs address development concerns in the ecological, social and economic areas. The focus of the article is Ghana and the author relies on social action research methodologies and development theories to assess Ghana's preparedness to implement the SDGs. He indicates that Ghana's experience with implementing the MDGs was akin to the experiences of the developing world in general. However, the lessons learnt through the implementation of the MDGs provide a useful comparative framework for assessing the relevance and effectiveness of the various planned programmes and activities, creating greater awareness amongst citizens and about the intricacies of the implementation process. Finally, the article examines the role of state agencies at all levels in ensuring that the SDGs are implemented in Ghana.

In an article on globalisation and knowledge production in higher education, Roberts Kabeba Muriisa and Asasira Simon Rwabyoma pertinently indicate how internationalisation and liberalisation impacted on the university environment and education in Rwanda and Uganda. As such, common practices in university curriculum development have followed global movements and influences of knowledge production. The increasing demand for access to higher education has opened new windows for providing university education, albeit with some challenges. These windows, include, in particular, privatising higher education since the government cannot satisfy the increased demand, and internationalisation of education through partnerships to respond to the global requirement of universal service provision. The authors examine how higher education is influenced by liberalisation and international partnerships in Rwanda and Uganda. How do these two countries respond to increased demand for higher education and the global challenges? How does university growth respond to globalisation? What is the role of the state in influencing the response? The study methodology involves secondary data analysis regarding the aforementioned themes. This study provides lessons on the way universities are responding to the needs and the pressures of globalisation through curricula.

Public institutions of higher learning play an important role in supporting capacity building in Namibia. As Davy Du Plessis and Charles Keyter in their article indicate, a significant part of Namibia's National Budget was allocated to education since the independence of the country. This emanated from the desire to eliminate the historic inequalities and disadvantages experienced by the non-white segment of the population of South West Africa/ Namibia, which existed as a legacy of the apartheid regime implemented during the apartheid period (1948-1990) when the country was under South African rule. The article provides an overview of Namibian history and

specifically focusses on the transformative contribution of the two public institutions of higher learning in Namibia – the University of Namibia (UNAM) and the Namibia University of Science and Technology (NUST) – in addressing the inequalities of the past and enhancing capacity building. In order to ensure that the Namibian Vision 2030 is realised and to fast track the achievement of results, the Government of Namibia drafted five-year plans (referred to as the National Development Plans). These five-year plans are aimed at assessing what has been achieved and establishing what must still be done to meet the Vision 2030 targets. The aim of Vision 2030 is to create a service driven economy by the year 2030 and to bring Namibians on par with populations of the developed world. The critical role that education (and more specifically higher learning) plays is recognised and is seen as a way to increase capacity so that Namibia can become a developed nation by 2030. However, a crucial question to be addressed, is whether the two Universities have met the expectations vested in them by the Namibian Government and its people in ensuring that the capacity building in the public and private sector contribute to the realisation of Vision 2030.

Organisational change certainly has an influence on employee job satisfaction, which is exactly the focus area of the article by Izimangaliso Malatjie as she explains what impact organisational change had on employees at the South African National School of Government. Research does not sufficiently examine adaptability to change as well as how it affects employee job satisfaction and organisational performance. Despite the fact that many public sector organisations transformed or implemented organisational changes, insufficient studies have been done. The purpose of this article is to determine the impact of organisational change on employee job satisfaction and to indicate whether there is an empirically provable relationship between these two variables. The author engaged in empirical research on a population of 229 employees of the South African National School of Government and had a response rate of 54.6%. Although 123 employees completed the survey, only 103 returned questionnaires were usable. In the final data analysis, a linear logistic regression model indicated a statistically significant positive association between organisational change and employee job satisfaction. Even though the article may contribute to the body of knowledge and the literature on organisational change and employee job satisfaction, further research is encouraged as studies on this specific focus area at other public sector organisations will certainly add to our understanding of this important topic. The second article from Namibia, by Yrika Maritz, is a thought-provoking application of the Adaptive Leadership Organisational (ALO) Model on the recent experience of the Namibia Institute of Public Administration and Management (NIPAM). She describes the history, evolution and role of the institution in advancing the public sector reform agenda. NIPAM is guided by its own legal framework as the Institute is a statutory body created as a Management Development Institute dedicated to training, operational research, capacity evaluation and consultancy for the public sector. The article further describes the institute's governance and reporting mechanisms, which include the Prime Minister's Office, the NIPAM Governing Council, the Training and Development Board and Executive Management. The article gives the reader a snapshot of the institute's evolution by applying a normative model, the ALO Model of Learning

Governance to the institution, focussing largely on the first NIPAM five-year strategic plan, themes, objectives, challenges and lessons learnt. Finally, the article concludes by proposing key recommendations that would optimise NIPAM's role and mandate in improving the Namibian government's drive towards better and enhanced service delivery.

The Portuguese-language contribution in this edition of the Journal is by Dias Rafael Magul. It focusses on the Higher Institute of Public Administration of Mozambique (known as the *Instituto Superior de Administração Pública* or ISAP) and the role that schools of government play in the modernisation of the public administration. Such institutions are driving forces for effective and efficient public administration and must support governments in effectively delivering services and addressing the needs of citizens. Hence, such schools were created with the priority of increasing the functional capacity of public servants. In some cases, schools of government are closely linked to administrative reform agendas aimed at modernising public administration and focused on pursuing higher levels of efficiency, effectiveness and public sector performance. Schools of government seek to develop public servants' functional capacity so as to improve the quality of services offered by the public sector. Improving the quality of public services is central to the modernisation of public administration, which in recent decades has been dominated by the New Public Management (NPM) principles. In Mozambique, initiatives to create schools of government date back to 1978, and subsequent efforts led to the creation of ISAP in 2004. The research is a result of a combination of case study and statistical methods. For data collection, questionnaires and interviews were used. The questionnaires were applied to 15 ISAP teachers and to 103 public servants who completed short-term, undergraduate and master's courses offered by ISAP. The public servants surveyed in the scope of this research belong to nine ministries. The interviews were directed at two ISAP senior managers and to 19 hierarchical seniors of public servants trained at ISAP. Thus, the survey was based on a total sample of 139 informants. The data analysis was based on content analysis and descriptive statistics techniques. Although the professional skills developed by the ISAP courses improve the functional capacity of public servants, there are some reservations as to whether they fully reflect the specificities of the various public sector activity areas. Although the results of the research indicate that ISAP courses make it possible to improve the technical and professional capacity of public servants, as well as increase the performance of public servants, they do not indicate that the ISAP courses lead to public administration modernisation. The curricular contents do not reflect the principles of the NPM, and concurrently, the results suggest that they are not in conformity with the reform and development strategies of the administration designed in Mozambique.

The last article in this edition of the Journal is a special case study by Jacobus Wessels and Thevan Naidoo on the management of a policy implementation project, with specific reference to Gauteng Mental Health Marathon Project. This widely reported and disastrous project caused the deaths of about 144 vulnerable individuals.

The purpose of this contribution is to make sense of the latter by providing a chronological reconstruction of the main series of events. This is followed by a selection of the most appropriate theoretical lenses for identifying those implausible events and for comprehensively redrafting this narrative to gain understanding. The sensemaking approach was selected for the simplicity in guiding the sense-maker with naïve questions through the messy field of discrepancies. With this disastrous policy implementation project study in mind, the following questions were asked: “Why do policy implementation projects become disastrous?” and “How can policy implementation projects be vision aligned?” As this specific case of policy implementation projects has been intensively and widely scrutinised in the public domain, the authors to a large extent relied on publicly available material. In doing so, the authors acknowledged that there are numerous other perspectives and stories, which they have not sourced or analysed. For the purpose of this sensemaking process, three interrelated lenses were used, namely the policy regime lens, the policy commitment lens and the political-administrative interface lens. Furthermore, the authors acknowledge that their selection and use of these theoretical lenses, are not entirely exhaustive and adequate. This study has found that the all-inclusive national healthcare policy regime has been attenuated by the Gauteng Department of Health (GDoH) to the exclusion of the national policy intent and the wide variety of legitimate healthcare stakeholders. It is argued that the behaviour of the GDoH in this saga can be attributed, inter alia, to the situational theory of policy commitment. Furthermore, the study found that the relationship between the political office bearer and the Head of Department (HoD) in this case, was not at all equal and complementary; the Member of the Executive Council (MEC) overstepped in the sphere of public administration, while the HoD did not sufficiently execute his legal authority as accounting officer. Lastly, the authors found that the operational project management process focused almost exclusively on removing the mental healthcare users from the Life Healthcare Esidimeni facilities before 30 June 2016, without evidence that those facilities to which they were transferred, would constitute the envisaged improved mental healthcare for them. This case study has shown that it is possible, through retrospective sensemaking, to creatively rectify the errors of the past and replace them with an envisaged future storyline.

The final contribution to this edition is a book review article by Michael Westcott assessing a new publication, *Governance and the Post Colony: Views from Africa*, edited by David Everatt (Wits University Press 2019). Governance in Africa is indeed contested terrain, not only in the act of governing, but also in how it is defined by various scholars. The introduction to this thought-provoking publication reminds us that although governance took “centre stage” in the early 1990’s (with focus on both the mechanics of governance and the practical day-by-day process of governance at various levels), there is no common understanding of what governance actually means. Of note is the editor’s warning that if too much governance is invoked, its meaning could be hollowed out; with governance not being capable of helping us diagnose, analyse, understand and remedy challenges. Governance is serious business; it needs to be credible and create partnerships aimed at achieving a better life for all.

# ÉDITORIAL

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## RENFORCEMENT DES CAPACITES POUR UN DEVELOPPEMENT DURABLE

Thean Potgieter  
Rédacteur en chef

Les Objectifs de développement durable (généralement dénommés ODD) incluent 17 objectifs mondiaux qui font partie du 'Programme de développement durable à l'horizon 2030', adopté par tous les Etats membres des Nations Unies en 2015. Ces objectifs représentent un plan de paix et de prospérité, généralement convenu par tous les Etats membres, qui vise tous les habitants de la planète. Ils représentent un appel universel à l'action et à un partenariat mondial visant à mettre fin à la pauvreté, à protéger notre planète aujourd'hui et à l'avenir, et à garantir que tous les habitants de la planète jouissent d'une meilleure vie d'ici 2030. Cette initiative collective, audacieuse et ambitieuse, permet d'aborder les questions de développement durable au sein de divers contextes étroitement liés, allant des défis socioéconomiques, de la qualité de l'éducation et du niveau de réaction des gouvernements, aux questions écologiques et climatologiques.

Les Nations Unies soulignent que le 'Programme de développement durable à l'horizon 2030' est la reconnaissance que l'accès à la santé et à l'éducation, la réduction des inégalités, la croissance économique ainsi que l'atténuation du changement climatique et la conservation des forêts et des océans, sont des ingrédients inhérents à l'éradication de la pauvreté et de la privation. La mise en œuvre et l'accomplissement des ODD nécessitent un soutien et un renforcement des capacités importantes, d'autant plus que ces objectifs sont naturellement intégrés, ce qui veut dire que les actions prises dans le contexte d'un objectif spécifique ne sont pas isolées, et leurs résultats dans un domaine affecte les autres domaines également. En conséquence, il faut une approche équilibrée et holistique visant à garantir un développement durable dans tous les domaines.

Dans le contexte de l'Afrique, il existe une résolution collective pour aborder les défis intégrés du développement, en abordant les différentes thématiques principales inhérentes aux ODD. Il faut cependant prendre connaissance d'un certain nombre de variables cruciales qui auront un impact sur la capacité des gouvernements nationaux à accomplir les ODD. Ces variables incluent, entre autres, trouver des sources appropriées ainsi que des fonds renouvelables, consulter de manière extensive sur les approches les plus appropriées avec les parties intéressées compétentes dans tous les secteurs, garantir la mise en place de plans et de programmes pertinents, et s'engager dans des processus visant à entraîner les pays vers une utilisation efficace

des ressources, comme le nécessite la mise en œuvre des ODD. L'accomplissement des résultats ambitieux propres aux ODD, et la création d'une meilleure planète pour les générations futures nécessitent des partenariats efficaces entre les gouvernements, le secteur privé, la société civile et les citoyens.

Une condition minimale associée au renforcement des capacités pour le développement, est la relation symbiotique entre l'Etat et les acteurs clés du secteur de l'éducation, la formation et le développement. Toutefois, le rôle de l'Etat y reste central : un service public bien régi, capable et orienté vers le développement est un impératif du développement socioéconomique efficace et global d'un pays. Si un service public ne répond pas aux besoins en développement d'une nation, et si les institutions (publiques aussi bien que privées) du secteur de l'éducation, de la formation et du développement ne sont pas exploitées en vue de contribuer à part entière, les efforts pour le développement national pourraient en pâtir. En conséquence, le renforcement des capacités par les gouvernements est important pour améliorer l'efficacité du service public et soutenir les processus de développement national.

Des services publics capables et compétents sont requis pour que les gouvernements puissent continuer à répondre aux aspirations des citoyens, à fournir des services efficaces et à accomplir les objectifs de croissance nationale. Les instituts de renforcement des capacités de gestion, les écoles d'administration et les écoles de service public ont été créées dans le seul but de renforcer les capacités des fonctionnaires, afin de mieux soutenir l'atteinte des objectifs des gouvernements. Cela doit être fait en collaboration avec les diverses universités et autres établissements d'éducation et institutions publics et privés qui contribuent également au renforcement des capacités du secteur public. De telles institutions soutiennent les gouvernements, grâce à leurs programmes d'enseignement et d'apprentissage qui permettent de contribuer à la rationalisation de l'éthique du travail, de la productivité, des normes et standards, et qui permettent de soutenir la création d'une culture d'apprentissage à vie chez les fonctionnaires. Afin de pouvoir aborder les besoins changeants des gouvernements, ces institutions devraient être structurées, régies et financées de manière appropriée, et devraient rester réceptives tout au long du développement et du lancement des programmes pertinents.

Les contributions publiées dans cette édition de la Revue Africaine De Développement et De Gouvernance Du Secteur Public (AJPSDG) portent essentiellement sur le renforcement des capacités et sur le développement. Elles abordent un large éventail de sujets relatifs à la recherche et à la mise en œuvre de politiques, à la gestion et aux développements du secteur public, aux questions relatives à la nature institutionnelle et aux caractéristiques du paysage du renforcement des capacités du service public en Afrique, à la gouvernance, à la pertinence de l'enseignement supérieur, et aux priorités de développement des gouvernements. Ces divers articles qui forment une collection, indiquent qu'il existe un pont entre les objectifs internationaux ambitieux (tels que les ODD), le développement des services publics en Afrique, et la contribution que

peuvent faire les écoles d'administration et les universités pour l'atteinte des objectifs de développement.

Dans le contexte de l'objectif de la revue (c'est-à-dire d'une revue scientifique qui examine les questions relatives aux politiques, à la gestion et au développement en Afrique), ce volume inclut également une étude de cas spéciale sur les conséquences tragiques d'un projet marquant du service de santé publique. L'étude de cas illustre clairement le rôle crucial du gouvernement ainsi que l'importance de la mise en œuvre efficace des politiques et de la gestion des projets (entre autres), en vue de garantir l'atteinte du troisième objectif de développement durable : « Donner les moyens de vivre une vie saine et promouvoir le bien-être de tous à tous les âges. »

Les ODD, quant aux programmes mondiaux de développement et aux contextes du Ghana, sont la priorité du premier article de Patrick Tandoh-Offin. Il indique qu'à la fin du XX<sup>ème</sup> siècle, la communauté mondiale s'est mise d'accord sur l'impératif de créer des grands cadres de travail pour guider le développement socioéconomique. Les leçons tirées de l'effort initial, le développement et la mise en œuvre des Objectifs du Millénaire pour le Développement (OMD) durant les quinze premières années du millénaire, ont entraîné la création des objectifs actuels de développement durable. Les ODD abordent les préoccupations relatives au développement dans les domaines écologique, social et économique. Dans cet article qui porte sur le Ghana, l'auteur dépend des méthodologies relatives à la recherche sur l'action sociale et des théories sur le développement, pour évaluer la disposition du Ghana à mettre en œuvre les ODD. Il indique que l'expérience de mise en œuvre des OMD du Ghana était similaire à celle des pays développés en général. Toutefois, les leçons tirées de la mise en œuvre des OMD offrent un cadre de comparaison utile pour évaluer la pertinence et l'efficacité des divers programmes et activités planifiés, permettant ainsi de créer une plus grande prise de conscience parmi les citoyens et sur la complexité du processus de mise en œuvre. Enfin, l'article examine le rôle que jouent les agences nationales à tous les niveaux pour garantir la mise en œuvre des ODD au Ghana.

Dans un article sur la mondialisation et la production des connaissances dans l'enseignement supérieur, Roberts Kabeba Muriisa et Asasira Simon Rwabyoma indiquent fort pertinemment comment l'internationalisation et la libéralisation ont impacté sur l'environnement universitaire et l'éducation au Rwanda et en Ouganda. Ainsi, les pratiques courantes du développement des programmes d'études universitaires ont suivi les mouvements internationaux et les influences sur la production des connaissances. Ils montrent comment l'augmentation de la demande pour accéder à l'enseignement supérieur a ouvert des nouvelles portes d'offre d'enseignement universitaire, non sans défis. Ces portes incluent notamment la privatisation de l'enseignement supérieur, vu que le gouvernement ne peut pas satisfaire à une demande accrue, ainsi que l'internationalisation de l'éducation à travers des partenariats pour répondre à une demande mondiale de prestation de service universelle. Les auteurs ont également examiné la manière dont l'enseignement

supérieur est influencé par la libéralisation et les partenariats internationaux au Rwanda et en Ouganda. De ce fait, ils posent les questions suivantes : Comment ces deux pays répondent-ils à la demande accrue d'accès aux études supérieures et aux défis mondiaux ? Comment la croissance universitaire permet-elle de répondre à la mondialisation ? Quel rôle joue l'Etat en influençant cette réponse ? La méthodologie de recherche des auteurs utilise l'analyse de données secondaires sur les thèmes susmentionnés. Leur étude offre des renseignements sur la manière dont les universités répondent aux besoins et aux pressions de la mondialisation à travers leurs programmes d'études.

Les institutions publiques de l'enseignement supérieur jouent un rôle important dans le soutien du renforcement des capacités en Namibie. Comme l'indiquent Davy Du Plessis et Charles Keyter dans leur article, une part importante du budget national de la Namibie a été attribuée à l'éducation depuis l'indépendance du pays. Cette attribution résultait du désir d'éliminer les inégalités et les désavantages historiques vécus par la section non blanche de la population de l'Afrique du Sud-Ouest / Namibie, qui étaient l'héritage du régime d'apartheid mis en œuvre durant la période 1948-1990, lorsque le pays était sous domination sud-africaine. L'article offre une vue d'ensemble de l'histoire de la Namibie, et fait référence spécifiquement aux mouvements de transformation initiés par les deux institutions d'enseignement supérieur publiques de la Namibie, soit l'Université de Namibie (UNAM) et l'Université des Sciences et Technologies de Namibie (NUST), afin d'aborder les inégalités du passé et d'améliorer le renforcement des capacités. En vue de garantir la réalisation de la Vision 2030 de la Namibie et l'accélération de ses résultats, le Gouvernement namibien a dressé des plans de cinq ans (dénommés les Plans nationaux de développement). L'objectif de ces plans est d'évaluer ce qui a été réalisé et ce qui reste à faire pour atteindre les objectifs de la Vision 2030 du pays. Ces derniers sont de parvenir à une économie de services d'ici 2030, pour s'assurer que le niveau de vie des Namibiens soit comparable à celui des citoyens des pays développés. Le rôle crucial joué par l'éducation (et l'enseignement supérieur en particulier), est reconnu et est vu comme une manière d'accroître les capacités qui permettront à la Namibie de devenir un pays développé d'ici 2030. Cependant, une question cruciale est de savoir si les deux universités ont répondu à l'attente du Gouvernement namibien et de la population dans son ensemble, en vue de garantir le renforcement des capacités au sein des secteurs public et privé, et qui contribueront à la réalisation de la Vision 2030.

Le changement organisationnel a une influence sur la satisfaction des employés dans leur travail ; c'est le sujet de l'article de Izimangaliso Malatjie qui explique l'impact qu'a eu le changement organisationnel sur les employés de l'Ecole nationale d'administration sud-africaine. Elle explique également que la recherche actuelle ne permet pas d'examiner suffisamment l'adaptabilité au changement et la manière dont ce dernier affecte la satisfaction des employés dans leur travail, ni le rendement de l'organisation. Aussi, bien que de nombreux organismes du secteur public aient subi des transformations ou aient mis en œuvre des changements organisationnels, les

études relatives à un tel changement continuent de faire défaut. Le but de l'article est de déterminer l'impact du changement organisationnel sur la satisfaction des employés dans leur travail, et de savoir s'il existe une relation entre ces deux variables qui peut être prouvée de manière empirique. L'auteure s'est engagée dans une recherche empirique sur une population de 229 employés de l'École nationale d'administration sud-africaine, et a obtenu un taux de réponse de 54.6%. Bien que 123 employés aient participé à l'étude, seuls 103 des questionnaires rendus étaient utilisables. Dans l'analyse finale des données, le modèle de régression linéaire a permis d'indiquer une association positive et significative d'un point de vue statistique, entre le changement organisationnel et la satisfaction des employés dans leur travail. Bien que cet article puisse contribuer aux connaissances et à la littérature sur le changement organisationnel et la satisfaction des employés dans leur travail, de plus amples recherches sont encouragées, en ce sens que des études sur le sujet dans d'autres organismes du secteur public permettront certainement d'élargir notre compréhension de cet important sujet.

Le deuxième article portant sur la Namibie, rédigé par Yrika Maritz, est une application stimulante du Modèle organisationnel de direction adaptative (ALO) sur l'expérience récente de l'Institut namibien d'administration et de gestion publiques (NIPAM). L'auteure décrit l'histoire, l'évolution et le rôle qu'a joué l'institution dans l'avancement du programme de réforme du secteur public. Organisme de droit public, le NIPAM est guidé par son propre cadre légal, et est établi comme un Institut de renforcement des capacités de gestion dédié à la formation, la recherche opérationnelle, l'évaluation des capacités et les services d'expertise pour le secteur public. L'article décrit également les mécanismes de gouvernance et de création de rapport de l'Institut, dont ceux du cabinet du Premier Ministre, du Conseil d'administration du NIPAM, ainsi que de la Commission de la formation et du développement et du Conseil de direction. L'article offre une brève description de l'évolution de l'Institut vue à travers le modèle normatif ALO de Gouvernance de l'apprentissage, en portant l'attention principalement sur le premier plan stratégique de cinq ans du NIPAM, ainsi que sur les thèmes, les objectifs, les défis et les leçons tirées de ce plan. Enfin, l'article se conclut en faisant des recommandations clés qui permettraient d'optimiser le rôle et le mandat du NIPAM, en améliorant l'action du Gouvernement namibien pour une meilleure prestation de service.

Notre contribution lusophone qui est de Dias Rafael Magul, porte sur l'Institut supérieur d'administration publique du Mozambique (*Instituto Superior de Administração Pública* ou ISAP), et sur le rôle que jouent les écoles d'administration dans la modernisation de l'administration publique. Ces institutions sont les moteurs de l'efficacité de l'administration publique et doivent soutenir les gouvernements pour que ces derniers fournissent des services efficaces et répondent aux besoins des citoyens. Ces écoles ont donc été créées avec pour priorité d'accroître la capacité fonctionnelle des fonctionnaires. Dans certains cas, les écoles d'administration sont étroitement liées aux programmes de réforme administrative visant à moderniser l'administration publique

et portant sur la poursuite de niveaux plus élevés d'efficacité et de rendement du secteur public. Les Ecoles d'administration cherchent à développer les capacités fonctionnelles des fonctionnaires, de manière à améliorer la qualité des services offerts par le secteur public. L'amélioration de la qualité des services publics joue un rôle essentiel dans la modernisation de l'administration public laquelle, durant ces dernières décennies, a été dominée par les principes de la Nouvelle gestion publique (NPM). Au Mozambique, les initiatives pour créer des Ecoles d'administration remontent à 1978, et des efforts ultérieurs ont conduit à la création en 2004 de l'ISAP. La recherche dirigée résulte d'une combinaison d'études de cas et de méthodes statistiques. Des questionnaires et des entretiens ont été utilisés pour la collecte des données. Les questionnaires ont été remplis par 15 enseignants de l'ISAP et 103 fonctionnaires qui ont suivi des études de premier et deuxième cycles à court terme offerts par l'ISAP. Les fonctionnaires qui ont fait l'objet d'une enquête dans la cadre de cette recherche viennent de neuf ministères différents. Deux cadres supérieurs de l'ISAP et 19 fonctionnaires de grade supérieur formés à l'ISAP ont participé aux entretiens. L'enquête a ainsi été basée sur un échantillon total de 139 informateurs. L'analyse des données est basée sur l'analyse des contenus et les techniques de statistiques descriptives. Bien que les compétences professionnelles développées à travers les cours de l'ISAP permettent d'améliorer la capacité fonctionnelle des fonctionnaires, nous émettons des réserves sur le fait qu'elles reflètent entièrement les spécificités des divers domaines d'activités du secteur public. Bien que les résultats de la recherche indiquent que les cours de l'ISAP permettent d'améliorer la capacité technique et professionnelle des fonctionnaires, ainsi que d'accroître le rendement des fonctionnaires, ils ne permettent pas d'indiquer que les cours de l'ISAP entraînent la modernisation de l'administration publique. Les contenus du programme d'études ne reflètent pas les principes de la nouvelle gestion publique et, simultanément, les résultats suggèrent qu'ils ne sont pas en conformité avec les stratégies de réforme et de développement de l'administration conçue au Mozambique.

Le dernier article de cette édition est de Jacobus Wessels et Thevan Naidoo, une étude de cas spéciale qui concerne la gestion d'un projet de mise en œuvre de politique, et qui concerne spécifiquement le projet du Marathon pour la santé mentale dans le Gauteng (Gauteng Mental Health Marathon Project). Ce projet désastreux, largement rapporté, a entraîné la mort d'environ 144 personnes vulnérables. L'objectif de cette contribution est d'arriver à comprendre ce projet en faisant une reconstruction chronologique des principaux événements, qui sera suivie par une sélection des cadres théoriques les plus appropriés permettant d'identifier ces événements peu vraisemblables, et permettant de rédiger à nouveau cette narrative de manière détaillée pour mieux comprendre ce qui s'est passé. L'approche utilisée pour arriver à comprendre la situation a été choisie pour sa simplicité, en vue de guider le narrateur par des questions naïves à travers le champs compliqué des différents exposés. En tenant compte de l'étude sur le projet désastreux de mise en œuvre d'une politique, les auteurs ont posé les questions suivantes : « Pourquoi les projets de mise en œuvre de politiques deviennent-ils désastreux ? » et « Comment les projets de mise en œuvre de politiques peuvent-ils

être alignés sur la même vision ? » Etant donné que ce cas particulier de projet de mise en œuvre de politique a déjà été intensivement et largement examiné en détail dans le domaine public, les auteurs ont invoqué presque exclusivement le matériel disponible publiquement. Ce faisant, les chercheurs reconnaissent qu'il existe nombre d'autres points de vue et d'histoires qu'ils n'ont pas recherchés ni analysés. Aux fins de ce processus de compréhension, trois cadres théoriques étroitement liés ont été utilisés, soit le cadre théorique du système de politique, le cadre théorique relatif à l'engagement d'un organisme à une politique et le cadre théorique de l'interface politico-administrative. Toutefois, les auteurs reconnaissent que leur sélection et l'utilisation de ces cadres théoriques ne sont pas entièrement exhaustives, ni adéquates. Cette étude a permis de constater que le système de politique de santé publique tous compris a été modéré par le ministère de la Santé du Gauteng (GDoH), qui excluait l'intention de la politique nationale et la grande variété des parties prenantes légitimes des services de santé. Les auteurs soutiennent que le comportement du GDoH par rapport à cette saga peut être attribué, entre autres, à la théorie situationnelle de l'engagement à une politique. En outre, l'étude a constaté que la relation entre le membre du bureau politique et le responsable du ministère (HoD), dans notre cas, n'était en rien égale ou complémentaire ; le Membre du Conseil exécutif (MEC) a abusé de son autorité dans le domaine d'administration publique, alors que le HoD n'a pas usé suffisamment de son autorité en qualité de comptable. Enfin, l'étude a pu constater que le processus opérationnel de gestion du projet a porté presque exclusivement sur le retrait des utilisateurs des soins de santé mentale de l'établissement de santé Life Healthcare Esidimeni avant le 30 juin 2016, sans aucune preuve que l'établissement dans lequel ces utilisateurs allaient être transférés constituerait un lieu offrant des meilleurs soins de santé mentale, tel qu'il avait été envisagé. Cette étude de cas a permis de montrer qu'il est possible, en cherchant à comprendre une situation rétrospectivement, de rectifier de manière créative les erreurs du passé et de les remplacer avec un scénario envisagé.

La dernière contribution de cette édition est le compte rendu de Michael Westcott, qui évalue une nouvelle publication intitulée *Gouvernance et post-colonie : Vues d'Afrique*, édité par David Everatt (Wits University Press 2019). La gouvernance en Afrique est en effet un domaine contesté, non seulement par rapport à l'action de gouverner, mais également par rapport à la manière dont divers spécialistes la définissent. L'introduction de cette publication stimulante nous rappelle que, bien que la gouvernance occupe le « devant de la scène » depuis le début des années 90 (faisant ressortir les mécanismes de la gouvernance aussi bien que le processus pratique de gouvernance jour après jour à différents niveaux), il n'y a pas d'accord commun sur ce que gouvernance signifie vraiment. Il faut prendre note de l'avertissement de l'éditeur selon lequel, si la gouvernance est trop invoquée, sa signification pourrait en être évidée ; faisant que la gouvernance ne sera plus capable de nous aider à diagnostiquer, analyser, comprendre et résoudre les défis. La gouvernance est une question sérieuse ; il faut qu'elle soit crédible et qu'elle permette de créer des partenariats visant à parvenir à une meilleure vie pour tous.

## EDITORIAL

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# CAPACITAÇÃO PARA O DESENVOLVIMENTO SUSTENTÁVEL

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Os Objectivos de Desenvolvimento Sustentável (geralmente referidas como ODS) incluem 17 objectivos globais que fazem parte da “Agenda 2030 para o Desenvolvimento Sustentável” adoptada por todos os Estados Membros das Nações Unidas, em 2015. Esses objectivos são um plano comumente acordado para a paz e a prosperidade de todas as pessoas que vivem no nosso planeta. Trata-se de um apelo universal à acção e a uma parceria global destinada a acabar com a pobreza, proteger o nosso planeta agora e no futuro e garantir que os habitantes do nosso planeta tenham uma vida melhor até 2030. É certamente uma iniciativa colectiva ousada e ambiciosa para abordar questões de desenvolvimento sustentável em vários contextos inter-relacionados, que vão desde desafios socioeconómicos, educação de qualidade e governos preceptivos, até questões ecológicas e climatológicas abrangentes.

A “Agenda 2030 para o Desenvolvimento Sustentável”, como sublinhado pelas Nações Unidas, é um reconhecimento de que a boa saúde e educação, a redução das desigualdades, o crescimento económico, a luta contra as alterações climáticas e a preservação das florestas e dos oceanos são ingredientes inerentes para pôr termo à pobreza e à privação. A consecução e o cumprimento dos ODS exigem um apoio substancial e um reforço das capacidades, especialmente porque esses objetivos estão intrinsecamente integrados - o que implica que as medidas tomadas no contexto de um objetivo específico não são isoladas, e os resultados num determinado domínio irão influenciar outros. Por conseguinte, é necessário adotar uma abordagem equilibrada e global destinada a garantir o desenvolvimento sustentável em todas as esferas.

No contexto africano, existe uma vontade colectiva de enfrentar os desafios do desenvolvimento integrado, através da abordagem das várias áreas de foco inerentes aos ODS. No entanto, importa tomar em consideração uma série de variáveis cruciais que terão impacto na capacidade dos governos nacionais para poderem concretizar os objetivos dos ODS. Essas variáveis incluem, entre outras, a capacidade de alavancar fontes adequadas de financiamento sustentável, uma ampla consulta sobre as abordagens mais adequadas com os intervenientes relevantes em todos os sectores, para garantir a existência de planos e programas adequados, e o envolvimento em processos destinados a orientar os países rumo ao uso eficaz dos recursos necessários para a implementação dos ODS. Por conseguinte, a consecução dos ambiciosos resultados inerentes aos ODS e a criação de um planeta melhor para as gerações

futuras exigem parcerias eficazes entre os governos, o sector privado, a sociedade civil e os cidadãos.

Uma relação simbiótica entre o Estado e actores importantes no sector da educação, formação e desenvolvimento é um requisito mínimo associado à capacitação bem-sucedida no domínio do desenvolvimento. No entanto, o papel do Estado continua a ser fundamental, uma vez que um serviço público bem governado, capaz e orientado constitui um imperativo para o desenvolvimento socioeconómico eficaz e abrangente de um país. Se um serviço público não responder às necessidades de desenvolvimento de uma nação e se as instituições nas esferas da educação, formação e desenvolvimento (instituições públicas e privadas) não forem aproveitadas para contribuir plenamente, os esforços de desenvolvimento nacional poderão ser prejudicados. Consequentemente, a capacitação dos governos é importante para melhorar a eficácia do serviço público e apoiar os processos de desenvolvimento nacional.

Serviços públicos capazes e competentes são necessários para que os governos permaneçam receptivos às aspirações dos cidadãos, prestem serviços eficazes e alcancem os objetivos de desenvolvimento nacional. Foram criados institutos de desenvolvimento de gestão, escolas do governo e academias de serviço público com o objectivo específico de criar capacidade entre os funcionários públicos para melhor apoiar a concretização dos objectivos do governo. Isto deve ser feito em colaboração com uma variedade de universidades e outras instituições de ensino e instituições públicas e privadas que igualmente contribuem para a capacitação do sector público. Tais instituições apoiam os governos através de programas de ensino e aprendizagem que visam integrar a ética, produtividade, normas e padrões de trabalho adequados e apoiar a criação de uma cultura de aprendizagem vitalícia entre os funcionários públicos. Essas instituições devem ser adequadamente estruturadas, governadas e financiadas, e permanecer reactivas através do desenvolvimento e implantação de programas relevantes, a fim de poderem dar resposta às necessidades evolutivas dos governos.

As contribuições publicadas nesta edição do *Jornal Africano de Desenvolvimento e Governação do Sector Público (AJPSDG)* centram-se, essencialmente, na capacitação e desenvolvimento. Elas abordam um amplo espectro de assuntos relevantes à investigação e implementação de políticas, gestão e desenvolvimento do sector público, questões relacionadas com a natureza institucional e características do panorama da capacitação dos serviços públicos em África, governação, relevância do ensino superior, e as prioridades de desenvolvimento do governo. Como uma colecção, os vários artigos indicam que existe uma ponte entre os ambiciosos objectivos internacionais (tais como os ODS), o desenvolvimento dos serviços públicos em África, e a contribuição que as escolas DO governo e universidades podem dar para alcançar os objectivos de desenvolvimento.

No contexto do objectivo do Jornal (uma publicação académica que investiga questões políticas, gestão e desenvolvimento em África), este volume inclui também um estudo de caso especial sobre as consequências trágicas de um projecto proeminente dos serviços de saúde pública. O estudo de caso ilustra graficamente o papel crucial do governo, bem como a importância da implementação de políticas eficazes e de gestão de projectos (entre outros), para assegurar o cumprimento do Objectivo de Desenvolvimento Sustentável 3: “Garantir vidas saudáveis e promover o bem-estar de todos em todas as idades”.

Os ODS com referência específica às agendas de desenvolvimento global e ao contexto de Gana é o foco do primeiro artigo de Patrick Tandoh-Offin. Ele indica que, na parte final do século XX, a comunidade global tinha um amplo consenso sobre a importância de criar quadros gerais que orientem o desenvolvimento socioeconómico. As lições aprendidas a partir do esforço inicial, do desenvolvimento e da implementação dos Objectivos de Desenvolvimento do Milénio (ODM) nos primeiros quinze anos do milénio, resultaram na criação do actual quadro dos ODS. Estes objectivos abordam as preocupações de desenvolvimento nos domínios ecológico, social e económico. O foco do artigo é Gana, e o autor baseia-se em metodologias de pesquisa de ação social e teorias de desenvolvimento para avaliar a preparação do Gana para implementar os ODS.

Num artigo sobre globalização e produção de conhecimento no ensino superior, Roberts Kabeba Muriisa e Asasira Simon Rwabyoma indicam pertinentemente como a internacionalização e a liberalização afectaram o ambiente universitário e a educação no Ruanda e no Uganda. Como tal, as práticas comuns no desenvolvimento do currículo universitário têm seguido os movimentos e influências globais de produção de conhecimento. A crescente procura de acesso ao ensino superior abriu novas janelas para a oferta de educação universitária, embora com alguns desafios. Essas janelas incluem, em particular, a privatização do ensino superior, uma vez que o governo não pode satisfazer o aumento da procura, e a internacionalização da educação através de parcerias para responder à exigência global de prestação de serviço universal. Examinamos como o ensino superior é influenciado pela liberalização e pelas parcerias internacionais no Ruanda e no Uganda. Como esses dois países respondem ao aumento da demanda de ensino superior e aos desafios globais? Como é que o crescimento universitário responde à globalização? Qual é o papel do Estado em influenciar a resposta? A metodologia de estudo envolve a análise de dados secundários sobre os temas acima mencionados. Este estudo fornece lições sobre como as universidades estão respondendo às necessidades e pressões da globalização através dos currículos.

As instituições públicas de ensino superior desempenham um papel importante no apoio à criação de capacidades na Namíbia. Como Davy Du Plessis e Charles Keyter indicam no seu artigo, uma parte significativa do Orçamento Nacional da Namíbia foi atribuída à educação desde a independência do país. Isto emanou do desejo de eliminar as desigualdades e desvantagens históricas experienciadas pelo segmento não branco

da população da África do Sul/ Namíbia, que existia como um legado do regime de apartheid, implementado durante o período do apartheid (1948-1990), quando o país se encontrava sob o domínio sul-africano. O artigo fornece uma visão geral da história da Namíbia e concentra-se especificamente na contribuição transformadora das duas instituições públicas de ensino superior na Namíbia - a Universidade da Namíbia (UNAM) e a Universidade de Ciência e Tecnologia da Namíbia (NUST) - para abordar as desigualdades do passado e reforçar a capacitação. A fim de garantir a realização da Visão Namibiana 2030 e acelerar a obtenção de resultados, o Governo da Namíbia elaborou planos quinquenais (conhecidos como Os Planos de Desenvolvimento Nacional). Esses planos de cinco anos visam avaliar o que foi alcançado e estabelecer o que ainda deve ser feito para cumprir as metas da Visão 2030. O objetivo da Visão 2030 é criar uma economia impulsionada por serviços até 2030 e colocar os namibianos ao nível das populações do mundo desenvolvido. O papel fundamental que a educação (e mais especificamente o ensino superior) desempenha é reconhecido e é visto como uma forma de aumentar a capacidade para que a Namíbia se possa tornar uma nação desenvolvida até 2030. No entanto, uma questão crucial a ser abordada é se as duas Universidades corresponderam às expectativas que lhes foram atribuídas pelo Governo da Namíbia e pelo seu povo em assegurar que a capacitação no sector público e privado contribui para a realização da Visão 2030.

A mudança organizacional certamente tem uma influência na satisfação profissional dos funcionários, algo que constitui exatamente a área de foco do artigo de Izimangaliso Malatjie ao explicar o impacto que a mudança organizacional teve sobre os funcionários da Escola Nacional de Governo da África do Sul. A investigação não examina de forma suficiente a adaptabilidade da mudança e a forma como esta afecta a satisfação profissional e o desempenho organizacional dos trabalhadores, e apesar do facto de muitas organizações do sector público terem transformado ou implementado mudanças organizacionais, não foram realizados estudos suficientes. O objetivo deste artigo é determinar o impacto da mudança organizacional na satisfação profissional dos trabalhadores e indicar se existe uma relação empiricamente comprovável entre estas duas variáveis. O autor realizou uma pesquisa empírica sobre uma população de 229 funcionários da Escola Nacional de Governo da África do Sul e teve uma taxa de resposta de 54,6%. Embora 123 funcionários tenham completado a pesquisa, apenas 103 dos questionários retornados puderam ser usados. Na análise final dos dados, um modelo de regressão logística linear indicou uma associação positiva estatisticamente significativa entre mudança organizacional e satisfação profissional dos trabalhadores. Ainda que o artigo possa contribuir para o corpo de conhecimento e para a literatura sobre mudança organizacional e satisfação profissional dos empregados, incentiva-se a realização de novas pesquisas, uma vez que os estudos sobre esta área específica de foco em outras organizações do sector público irá certamente contribuir para a nossa compreensão deste importante tópico.

O segundo artigo da Namíbia, de Yrika Maritz, é uma aplicação estimulante do Modelo Organizacional de Liderança Adaptativa (ALO) sobre a experiência recente

do Instituto de Administração e Gestão Pública da Namíbia (NIPAM). Ela descreve a história, a evolução e o papel da instituição no avanço da agenda de reforma do sector público. O NIPAM é guiado pelo seu próprio quadro legal, uma vez que o Instituto é um órgão estatutário criado como um Instituto de Desenvolvimento de Gestão dedicado à formação, investigação operacional, avaliação de capacidades e consultoria para o sector público. O artigo descreve ainda os mecanismos de governação e de apresentação de relatórios do instituto, que incluem o Gabinete do Primeiro-Ministro, o Conselho de Administração do NIPAM, o Conselho de Formação e Desenvolvimento e de Gestão Executiva. O artigo dá ao leitor uma visão geral da evolução do instituto pela aplicação de um modelo normativo, ou seja, o Modelo ALO de Governação da Aprendizagem à instituição, centrando-se em grande medida no primeiro plano estratégico quinquenal do NIPAM, temas, objectivos, desafios e lições aprendidas. Finalmente, o artigo conclui com uma proposta de recomendações fundamentais que optimizariam o papel e o mandato do NIPAM para melhorar os esforços do governo namibiano rumo a uma maior e melhor prestação de serviços.

A nossa contribuição em língua portuguesa de Dias Rafael Magul concentra-se no Instituto Superior de Administração Pública de Moçambique (conhecido como Instituto Superior de Administração Pública ou ISAP) e no papel que as escolas do governo desempenham na modernização da administração pública. Essas instituições são forças motrizes para uma administração pública eficaz e eficiente e devem apoiar os governos na prestação efectiva de serviços e na abordagem das necessidades dos cidadãos. Assim, essas escolas foram criadas com a prioridade de aumentar a capacidade funcional dos funcionários públicos. Em alguns casos, as escolas do governo estão estreitamente ligadas a agendas de reforma administrativa que visam a modernização da administração pública e concentram-se na prossecução de níveis mais elevados de eficiência, eficácia e desempenho do sector público. As escolas do governo procuram desenvolver a capacidade funcional dos funcionários públicos de forma a melhorar a qualidade dos serviços oferecidos pelo sector público. As escolas do governo procuram desenvolver a capacidade funcional dos funcionários públicos de modo a melhorar a qualidade dos serviços oferecidos pelo sector público. A melhoria da qualidade dos serviços públicos é fundamental para a modernização da administração pública, que nas últimas décadas tem sido dominada pelos princípios da Nova Gestão Pública (MPN). Em Moçambique, as iniciativas para a criação de escolas do governo datam de 1978, e os esforços subsequentes levaram à criação do ISAP em 2004. A pesquisa é resultado de uma combinação de estudos de casos e métodos estatísticos. Questionários e entrevistas foram usados para a recolha de dados. Os questionários foram aplicados a 15 professores do ISAP e a 103 funcionários públicos que concluíram cursos de curta duração, de graduação e mestrado oferecidos pelo ISAP. Os servidores públicos pesquisados no âmbito do presente estudo pertencem a nove ministérios. As entrevistas foram dirigidas a dois gestores séniores do ISAP e a 19 funcionários públicos hierarquicamente séniores formados no ISAP. Assim, a pesquisa foi baseada numa amostra total de 139 inquiridos. A análise dos dados foi efectuada com base na avaliação do conteúdo e em técnicas de estatística descritiva.

Embora as competências profissionais desenvolvidas pelos cursos ISAP melhorem a capacidade funcional dos funcionários públicos, existem algumas reservas quanto a se elas reflectem plenamente as especificidades das várias áreas de actividade do sector público. Embora os resultados da pesquisa indiquem que os cursos ISAP permitem melhorar a capacidade técnica e profissional dos funcionários públicos, bem como aumentar o desempenho desses quadros, não indicam que os cursos ISAP conduzem à modernização da administração pública. Os conteúdos curriculares não reflectem os princípios do MNP e, simultaneamente, os resultados sugerem que não estão em conformidade com as estratégias de reforma e desenvolvimento da administração pública desenhadas para Moçambique.

O último artigo desta edição do Jornal é um estudo de um caso especial realizado por Jacobus Wessels e Thevan Naidoo sobre a gestão de um projeto de implementação de política, com referência específica ao Projeto da Maratona de Saúde Mental de Gauteng. Este projeto amplamente divulgado foi desastroso e causou a morte de cerca de 144 indivíduos vulneráveis. O objetivo desta contribuição é atribuir sentido ao que aconteceu através da reconstrução cronológica das principais séries de eventos. Isto é seguido por uma selecção de lentes teóricas mais adequadas para identificar esses eventos implausíveis e para reformular esta narrativa de forma abrangente a fim de obter entendimento. A abordagem de “atribuir sentido” a algo, foi escolhida pela sua simplicidade em guiar o gerador do sentido com perguntas ingénuas através do campo confuso de discrepâncias. Com este estudo desastroso acima referido, perguntámos “Porque é que os projectos de implementação de políticas se tornam desastrosos?” e “Como podem os projectos de implementação de políticas ser alinhados a uma visão?” Visto que este caso específico relativo a um projecto de implementação de políticas tem sido alvo de uma análise intensa e alargada no domínio público, tivemos de confiar quase exclusivamente em material publicamente disponível. Ao fazê-lo, os pesquisadores reconhecem que existem muitas outras perspectivas e histórias que não foram obtidas e analisadas. Para efeitos deste processo de “atribuir sentido”, foram usadas três lentes inter-relacionadas, nomeadamente a lente do regime político, a lente do compromisso político e a lente da interface político-administrativa. No entanto, reconhecemos que nossa selecção e uso dessas lentes teóricas não são inteiramente exaustivas e adequadas. Este estudo constatou que o regime de política nacional de saúde com tudo incluído foi atenuado pelo Departamento de Saúde de Gauteng (GDoH), com a exclusão da intenção da política nacional e da ampla variedade de intervenientes legítimos na área da saúde. Temos argumentado que o comportamento do GDoH nesta saga pode ser atribuído, entre outros, à teoria situacional do compromisso político. Além disso, o estudo concluiu que a relação entre o detentor do cargo político e o Chefe de Departamento, no nosso caso, não era de todo igual e complementar; o membro do Conselho Executivo (MEC) ultrapassou os limites da esfera da administração pública, enquanto o Chefe de Departamento não executou suficientemente a sua autoridade jurídica no exercício das suas funções de gestor. Por último, verificou-se que o processo de gestão operacional do projecto centrava-se quase exclusivamente na retirada dos utentes de cuidados de saúde

mental das instalações do Centro de Saúde de Esidimeni antes de 30 de Junho de 2016, sem provas de que as instalações para as quais foram transferidas iriam constituir a melhoria desejada esperada, em termos de cuidados de saúde mental. Este estudo de caso mostrou que é possível, através de uma reflexão retrospectiva de 'atribuir sentido', rectificar criativamente os erros do passado e substituí-los por cenários futuros.

A contribuição final para esta edição é um artigo de resenha do livro por Michael Westcott que avalia uma nova publicação, *Governança e Pós-Colónia: Pontos de Vista da África*, editado por David Everatt (Wits University Press 2019). A governança na África é de facto um terreno contestado, não só no acto de governar, mas também na forma como é definida por vários académicos. A introdução a esta publicação evocativa faz-nos lembrar que embora a governança tenha ocupado um lugar central no início dos anos 90 (com enfoque tanto na mecânica da governança como no processo prático de governança do dia-a-dia a vários níveis), não há um entendimento comum sobre o que a governança realmente significa. É de notar o aviso do editor sobre o facto do significado da governança poder esvaziar, se a governança for invocada em demasia, na medida em que ela não será capaz de nos ajudar a diagnosticar, analisar, compreender e remediar os desafios. A governança é um negócio sério; precisa de ser credível e criar parcerias que visem alcançar uma vida melhor para todos.

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# GLOBALISATION AND KNOWLEDGE PRODUCTION IN HIGHER EDUCATION: THE IMPACT OF INTERNATIONALISATION AND LIBERALISATION ON UNIVERSITY EDUCATION IN RWANDA AND UGANDA

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Roberts Kabeba Muriisa<sup>1</sup> and Asasira Simon Rwabyoma<sup>2</sup>

## INTRODUCTION

The role of higher education, as the broad sector of education that includes all post-secondary education including university and tertiary institutions, in development cannot be overlooked. In this paper, the discussion will specifically centre on universities and other degree-awarding institutions. Universities are of specific importance, since as a sub-sector they are mandated to produce knowledge through research and are the only institutions specialised in producing, reproducing and disseminating the new knowledge necessary for development (Cloete and Bunting 2016; Muriisa and Bacwayo 2014). Universities engage in research and searching for the knowledge required to move countries forward. In addition, they engage in research, community service, teaching and producing new generation scholars who can produce knowledge and disseminate knowledge through service to the community. As Kofi Annan indicated, universities have an important role to play in the transformation of African economies:

The university must become a primary tool for Africa's development in the new century. Universities can help develop African expertise; they can enhance the analysis of African problems; strengthen domestic institutions; serve as a model environment for the practice of good governance, conflict resolution and respect for human rights, and enable African academics to play an active part in the global community of scholars (Annan quoted in Bloom et al. 2014:26).

This important role of universities, however, is challenged by globalisation. In many ways, globalisation challenges knowledge production, or the cluster of related activities in the university that has to do with the production of new knowledge. It is these aspects that will be highlighted in this paper.

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Higher education, and more especially universities and other degree-awarding institutions, have been increasing in many countries. In Africa, many countries were characterised by one university at the time of independence and this situation continued until the 1990s. In Uganda, the Makerere University was the only university until 1998. But little more than a decade later, by 2010, Uganda had 29 universities, 72% of which were owned by the private sector and 28% by the public sector (NCHE 2010). By 2015, this number had grown to 40 universities. In Rwanda, from one university after the 1994 genocide, the number of universities grew to 29 in 2016. As Rwanda has one public university with several centres and constituent colleges distributed across the country, the rest are private universities. This is different from Uganda, which had nine public universities spread across the country at the end of 2018.

Not only have universities in both countries been reforming their curricula; they have also been restructuring themselves to contribute to this noble cause. There are a few studies that have looked at the relationship between universities and development by examining the impact of globalisation and its influence on university education and the manner in which programmes are developed, managed and offered to students. While there is increased demand for universities to have a clear relationship with industry and agriculture, such relationship may not be fostered without looking at what is shaping higher education in general and university education in particular. Recently, there has been increased criticism of the way in which universities relate to industry, the job market and the agricultural sector, which are the key employers of university graduates (Teichler 2003; MINEDUC 2010). As such, most studies on universities have concentrated on the way in which university academic study programmes are developed, and investigate whether these universities address countries' needs; such as how university curricula relate to industry and the development of the country in question. But there is no strong investigation into what shapes curriculum development in the manner it has emerged. Apparently, evidence shows that much of the emphasis on inquiries into the role of public HEIs in regional and national innovation systems has concentrated on developed countries, with a few exceptions for developing countries (Bloom, Canning and Chan 2006).

Findings from sub-Saharan African countries indicate that the connection between universities and national development agendas is quite weak, and in some cases non-existent (Cloete et al. 2011); this despite the long-time existence of international collaboration between the north and African universities, and international donor support. International collaboration and donor funding of African research institutions is not a new phenomenon, but it has evolved from the pre-independence period. As Ssebuwufu (2017) indicated, the Rockefeller Foundation provided funding amounting to 50 000 British Pounds to Makerere College in 1961. The funding was for Bilharzia research in collaboration with the London School of Tropical Medicine. Other long term partnerships were developed with East African schools and colleges and, except for the turbulent times of the 1970s, support from the Foundation has continued up to the present. Of particular importance to note is that funding was directed to building

the body of knowledge through research, and “to strengthen its (Makerere University college’s) capacity for data collection and analysis for policy choices relevant to national development” (Ssebuwufu 2017:629). It should be noted, however, that to date, major funding initiatives are still directed to these major areas: research and capacity development. One is therefore encouraged to ask what is wrong and why these African institutions continue to be weak? What creates the weakness is not well explored to understand the quality of education with regard to university and industry relations.

In this paper, the position taken is that globalisation will be viewed as the key weakening element in Uganda and Rwanda. In both countries, broadening university education, especially through increased enrolment of students, has been a priority. As such, university education has been widening, but in different ways. On the one hand, in Rwanda, like in other countries, there is widening private university education, but a consolidation of public university education by formerly publicly owned tertiary institutions merging to form one university – University of Rwanda (UR), with centres and colleges spread across the country. In comparison, Uganda has responded by transforming the formerly public tertiary education institutions, which were distributed across the country and regions, into public universities. Private universities have equally been allowed to form and register with the National Council for Higher Education. Private universities are spread across the country. Apart from the formation of universities, there is an increased call for universities to align themselves with international universities. We focus on the manner in which higher education has transformed in two countries in the era of globalisation. We argue that the response has been largely influenced by global agendas; with a particular focus on liberalisation and internationalisation, and examine how the two have influenced university education transformation, and consequently knowledge production.

## **METHODOLOGICAL APPROACH**

In compiling this paper, we conducted a thorough review of documents relating to key government ministries and departments, available on a variety of websites. These documents were an invaluable source of primary data on themes of interest and were supplemented by the work of various researchers. This approach was preferred, as going back to collect data when good data already exists would be almost like going back to ask the same questions (Skocpol 1984). A comprehensive analysis of the available literature is considered as a means of collecting relevant and important information on the topic. The process of reviewing the literature involved activities such as identifying, recording, understanding, meaning-making, and transmitting of information – which underpins the methodology used. Besides the official documents, internet sources and documents relating to various institutions and universities, the study also drew data from a rigorous analysis of available scholarly works.

Of note for the compilation of the paper and the comparative analysis is concern for the differences between Rwanda and Uganda: Rwanda was colonised by the Belgians and the country collectively went through a very traumatising event during the genocide. This resulted in a response to recovery which to some extent included providing space for university education and involvement in such processes by other countries. Uganda, on the other hand, was colonised by the British and remained stable, even amidst many political challenges brought about by different political regimes. In terms of similarities, both countries have a university sector which was dominated by one university following independence, with a number of public tertiary institutions taking care of the required technical skills. In terms of its scope, the paper provides a theoretical framework focussing on the globalisation of education; a brief history of the development of higher education in Rwanda and Uganda; the internationalisation and liberalisation of education; the implications of globalisation (with particular emphasis on the liberalisation and internationalisation of education in Rwanda and Uganda); as well as some brief concluding remarks.

## **THE THEORETICAL FRAMEWORK**

The theoretical framework for this paper is the theory of globalisation. Globalisation connotes a situation in which social, political and economic actions reach a world-wide scale. There is homogenisation of patterns of production and consumption. In terms of education, it is seen across the world that investing in higher education is the way forward if countries need to develop. It is argued that through higher education, countries become competitive, attract foreign investment, and have a highly productive workforce. Globalisation is understood as a process and project of neoliberalism and the internationalisation of education. In recent years, the far reaching effect of globalisation is the marketisation of academic programmes and the liberalisation of higher education to allow private investment and selling of knowledge as a commodity (Halvorsen 2010). This has led to corporatisation of university management (Steck 2003), commercialisation of learning, and the commodification of knowledge. Indeed, Halvorsen argues that

Knowledge shopping, that is anything that makes up for lack of public funding or students loans/support: like fee paying students, professor doing consultancies and chasing for commissioned research, or universities securing their finances through patents and parking fees, is first all driving the way the research university work... (Halvorsen 2010: 211).

The biggest influence on the globalisation of higher education has been the World Bank, which in the 1990s recommended investing in primary and secondary education rather than in higher education, with the view that investment in higher education has a low return on capital. Through the 1990s and 2000s we saw higher education in many countries being increasingly funded by the private sector, with more student enrolments taking place in the private sector than in the public sector.

In the 21<sup>st</sup> century there is thus a triumph of capitalistic globalisation in education (Olukosh and Tiyambe 2004). In countries such as Rwanda where there is only one national university spread across the country through constituent colleges, private universities continue to dominate. In Uganda, the situation is not improved by creating more public universities which are distributed regionally. University student enrolment is higher than enrolment in other tertiary institutions: as the example of the 2015/2016 academic year indicates, enrolment in universities constituted 70% of total student enrolment in the entire higher education sector (universities and other tertiary institutions) (NCHE 2016:13). In terms of internationalisation, there has been more of a rush to form partnerships and align academic programmes in developing countries with those in the north. We will discuss the effect of globalisation in terms of neoliberalism and the internationalisation of education on knowledge production.

### **HISTORICAL NOTES: THE DEVELOPMENT OF UNIVERSITY EDUCATION IN UGANDA AND RWANDA**

University education in Rwanda and Uganda, like in other countries in Africa, is young, as these institutions were usually established after independence, in the postcolonial era. Colonial education was set up to aid the colonial administration and help Christian converts read the gospel. Secondary education began as a result of African pressure. Higher education in colonial Africa was largely regulated and controlled. Only a few colleges were built to counter African pressure and demand for higher education. The British preferred to train students in their colonies for fear of them being sent abroad and exposed to foreign influence. Those who managed to go abroad were discouraged from studying law and political science; courses that would destabilise the colonial government. They were also discouraged from going to the Americas by withholding passports. The few schools, such as Makerere High School, were established out of fear of local rich chiefs sending their children to study abroad (Sicherman 2005). Makerere Technical School was started in 1921, and in 1922 changed its name to “technical college” to train administrative staff for the colonial government. In 1939, the college was upgraded to an inter-territorial college to cater for East Africa (Uganda, Kenya and Tanzania (Tanganyika)) and later elevated to a University College for East Africa in 1949, affiliated with the University of London. This status was maintained until 1963; one year after Uganda gained independence, when, together with other colleges which had been established in Kenya and Tanzania, merged to form the Multi-campus of East Africa (Mugerwa 2002, Muriisa and Bachwayo 2010). Makerere University was created in 1970 after dissolving the University of East Africa, and remained the only University in Uganda until 1988 when the Islamic University in Uganda (IUIU) was created as a private university (Muriisa 2010).

In Rwanda, the Belgians forbade education in their colonies, and the French preferred to send a small number of students to study in France (Altbatch and Teferra 2004). Gahama (2010) indicates that formal education in Rwanda was started by the Belgians, but for the small minority, as the Belgians were convinced that they had to reduce

to the best in Africans as much as possible. This is similar to what was happening in Uganda, where according to Sichertman (2005), establishing Makerere as a university college was intended to bring pupils to the minimum level required for university entry and creating it for the whole region was in consideration that a small college was adequate. The only difference was that for Belgian Rwanda, higher education was completely discouraged on Rwandan soil. The consequence of this was that in Rwanda, higher education was delayed such that by independence there was no institution at university level, apart from the grand seminary at Nyakibanda founded in 1936 to train the clergy (Gahama 2010: 145). In the absence of any institution where graduates of rare secondary schools could train, those who finished secondary education were sent abroad to Belgium. It was not until 1963 that the National University of Rwanda was established by the Rwandan Government, in close collaboration with the Congregation of Dominican Fathers from Quebec Province (in Canada). The university remained the only university before the 1994 genocide.

From the brief history presented above, it is clear that higher education was kept small and ultimately the graduates were few as well. By independence, throughout Africa, the academic system was not only small but there were few graduates. Zambia had only 100 university graduates from the university of East Africa; serving a combined population of about 23 million from Kenya, Uganda and Tanzania had 99 graduates by 1961. In some countries there were no professionals in certain fields – for example, at the time of independence the Democratic Republic of the Congo had nationals who were engineers, doctors or lawyers.

In general, between 1952 and 1963, French-speaking Africa had four graduates in agriculture, while English-speaking Africa turned out 150 graduates in this field (Eisemon 1982, as cited in Teferra and Altbatch 2004). For the colonialists therefore, education was only necessary as long as it would aid administration and not contribute to undermining colonial administration and expansion. It is therefore evident that colonial education never focussed on the development of the continent.

After independence, the post-colonial government struggled to fill the gaps by linking education and development. In the 1960s, post-independence African states viewed education as being significant in their commitment to economic and social progress (Yates 1964). The investment in universities was intended to transform society. As Teferra and Altbatch (2004) argue, if Africa is to succeed socially, economically and politically, there is a need to invest in the post-secondary education sector. Moreover, it is argued elsewhere that investing in higher education has been proven to be essential for the improvement of gross domestic product (GDP); thus, many countries are putting investment in higher education at the core of their development strategies (Mulinge, Arasa and Wawire 2017). In this regard, universities are supposed to play a key role in development: they are supposed to equip human resources with relevant knowledge, skills and value systems through diversified programmes, and they should enable individuals to develop their capabilities and potential, shape a democratic and

inclusive society, and produce graduates who can compete in the global knowledge economy (World Bank 2002; 2009).

The goal of higher education was social transformation and economic development. Realising this goal, however, was curtailed by the constant power struggle and political turmoil in most African countries. In Uganda, a political crisis ensued immediately after independence as Obote took over the government from Mutesa (the first president). Amin later took control of government after a military coup d'état in 1972, and was toppled by a combined force of rebels and Tanzanian soldiers in 1979. During the Amin era, higher education faced its biggest crises as university faculty members were exiled and others faced political persecution. In Rwanda the same political crisis was reigning; culminating in the 1994 genocide which saw many academics either fleeing the country to save their lives or being killed. Indeed, it is against this backdrop that it is asserted that governments did little to promote the developmental role of universities immediately after independence (Mulinge, Arasa and Wawire 2017).

## **UNIVERSITY ESTABLISHMENT: COMPETITION WITHIN AND BETWEEN UNIVERSITIES**

The twentieth century saw the growth in the number of people demanding higher education. The growth in the attachment given to university education to contribute to development led to increased demand for it. Attaining a university degree was seen as one way of accessing the job market and a means through which nations and regions could develop. To understand the role of universities in development, universities have been categorised as 'active' or 'passive' actors in the development of their regions (Gunasekara 2006). On the one hand, universities are active actors when they become sensitive to their regional environments and deliberately engage in the social, cultural and economic development of these regions. On the other hand, universities are passive actors in their regions when national governments determine their establishment exclusively on the basis of balanced regional distribution of higher education institutions (HEIs).

In Uganda, the establishment of public universities has more or less concentrated on the regional balance rather than the development of these regions. There has been an increase in the establishment of public universities in the regions of Uganda, to create a balance in the distribution of education centres rather than a balance in development (Muriisa and Kukunda 2010). Recently, the creation of new universities has followed political appeasements in a several areas of Uganda, but is not necessarily a response to the disciplines that address the needs of society (Kasozi 2019). Moreover, the announcement of new public universities often takes place in the middle of political campaigns and their establishment is a response to political sentiment (Kasozi 2019).

An examination of the programmes run in public universities indicates that there is no new value addition to the old programmes run in other universities. Most of the programmes are duplicated, which is indicative of internal competition within universities. Moreover, the government is grappling with the problem of funding these universities and programmes. Reliance on fee-paying students to fund these universities continues to dominate. In the face of competition for students between public universities and private universities, universities (both public and private) are struggling to sell what can be bought and thus there is more focus on the programmes that can generate money than on programmes that can contribute to development. In what we considered academic capitalism, higher education institutions are privatised and educational academic programmes are marketed in a manner similar to selling hotdogs and burgers. The one that is bought is one which is more sugar-coated, thus there is heavy investment in the rebranding and branding of programmes with names that can sell; thus programs such as “Bachelor of Science in Media Computing” may come to the market because of the increasing reliance on the various media as a tool for development. In others, the distinction between programmes and target programmes may not be visible. For example, one may not see a difference between Bachelor of Science in Computer Engineering” and a “Bachelor of Computer Science”. And with oil and gas having been discovered in the country, it is visibly seen that oil and gas degree programmes such as a Bachelor of Science in Oil and Gas and a Bachelor of Science in Petroleum Engineering are slowly finding their way onto the agenda of many universities (see for example, NCHE 2011; 2013; 2015).

In Rwanda, higher education has been viewed as a priority for its transformation. The 1994 genocide left the country with limited or no human resources, with many having either been killed during the genocide or having fled the country as a result of the genocide. Investing in higher education therefore became Rwanda's priority immediately after the genocide. The expansion of higher education is seen as central to the development and transformation of a country; as higher education is “a priority for Rwanda to meet the required competences to transform the economy into a knowledge-based economy” (Mbabazi 2013: 9).

Education is not only seen as a development tool in Rwanda, but is also important for creating responsible citizens committed to the unity of the country and to avoiding the previous ills created by the colonial education policy, which contributed to the genocide of 1994. This is in line with the argument that the relevance of higher education is also politically responsive, as education is watchful; it awakens minds and assists with analysing and understanding social issues (UNESCO 2005). As a result, an investment in education that addresses the challenges that led to genocide must be a primary goal of Rwandan higher education.

In an effort to address the acute shortage of high- and mid-level manpower as a result of the 1994 genocide, three new institutes were created by restructuring the National University of Rwanda (Gahama 2010): the Kigali Institute of Science,

Technology and Management (KIST) was created in 1998 to try to meet the Rwandan need for qualifications in sciences and technology; the Kigali Institute of Education (KIE), created in 1999 to solve the problem of lack of qualified secondary schools teachers in the sciences, languages, human and social sciences; and third, the Kigali Health Institute (KHI) was also created in 1999 to train health professionals to take care of human resource needs in the area of health; a gap that was created by the genocide since many professionals had died or fled the country during the genocide. In addition, the National University and the Higher Institute of Agriculture and Animal Husbandry (ISAE), which was already in existence before the 1994 genocide but which, like other institutions, had suffered a loss of human resources, was transformed to also focus on the human resource needs of agriculture. The School of Finance and Banking (SFB), created in 1987, was also transformed to take care of human resource needs in the finance and banking industries. It is evident from the above that knowledge production centres have increased recently with the realisation that higher education is key to development in any country.

## **LIBERALISATION OF EDUCATION**

Since the 1990s and 2000s, the issue of the globalisation of knowledge has been seen in the neoliberal agenda as a response to increased demand for education. Increased demand for higher education has come about as a result of many factors; including the broadening of secondary education and increased enrolment of students at secondary school level (Kasozi 2003). In Uganda, the increased demand for higher education could not be met by existing public universities, thus calling for the opening up of the private sector to close this gap (Thaver 2004). Private universities thus emerged as a result of the widening market and the increased demand for higher education. The first universities emerged to serve specific categories of the population. In both Uganda and Rwanda, universities emerged to serve the interests of the religious groups. Several of the universities have a Christian or Islamic focus. In Uganda, the first private university was the IUIU in Uganda, followed by the Uganda Martyrs University, and others such as the Uganda Christian University and Bugema Adventist University emerged later.

In Rwanda, most private universities which started immediately after the genocide belong to the Catholic and Protestant churches; the Adventist University of Central Africa (UAAC), University of Lay Adventists of Kigali (UNILAK), High Seminary of Nyakibanda, University of Agronomy, Catholic University of Kabgayi (UCK), and the Faculty of Protestant Theology of Butare (FTPB). It can be noted that this response is similar to what was happening elsewhere in the world, where religious groups were extending their influence through education. The need to have their ideologies and dogmas was well entrenched among the people and their denomination. For this, most of these institutions have foundational courses in theology, religion and bible studies for Christians and Islamic studies for Muslims. These courses are taught across the board to all students (for example, at Mbarara University of Science and Technology

a service course is taught to all first year and second year students in the university and at Bishop Stuart University, *Understanding the Bible*, is taught to all students in the first year).

The second category of private universities emerged largely as for-profit organisations and enterprises. The biggest influence of liberalisation on higher education was from this category. Universities in this category emerged as a result of the influence of the market ideology on higher education (Altbach 1999). The influence of this is that education is seen as a saleable product that can be traded on the market like any other product. This view is related to the global higher education phenomenon, which emphasises education as a private good needed for economic growth (Thaver as cited in Altbach 1998). The institutions were initially created for in-service training of personnel and according to UNESCO (2005: 89), these institutions aimed at making a profit, which distinguishes them from traditional universities motivated above all by academic prestige. From the first private University in Uganda, the Islamic University in Uganda (IUIU) registered in 1988, Uganda now boasts over 40 private universities and eight public universities. It should be noted, however, that there is no clear distinction that can be made between for profit universities and religious universities. Like in Uganda, the number of institutions offering degrees has increased. From one university after the genocide, the degree-awarding institutions had grown to 18 in 2013. Ten of these institutions were public and eight private (MINEDUC 2013). However, it has to be noted that private sector participation in Rwanda remains small compared to Uganda, and unlike Uganda, the government of Rwanda continues to fund a bigger part of the budget for public universities, with more than 90% of university students registered in public universities being funded by government.

The last category of the private education resulting from globalisation is the opening up of public universities for private fee-paying students. Mamdani (2007) details the transformations that took place at Makerere University as a result of this initiative. Other public universities in Uganda also recruit privately sponsored students and depend on them for income. As there is a high demand for universities to engage in income-generating activities, tuition fees from students is one of the most lucrative income-generating activities. Many guest houses and catering facilities at public universities were recorded losses and were closed down (for example, as the Mbarara University Inn ran into losses it was privatised and its catering function was closed down).

The development of private education in public universities was in response to fiscal challenges posed by government declining funding for higher education. Since the 1990s, higher education was not seen as a priority of government (Muriisa 2010). More emphasis was placed on funding primary education. In addition to the independent private universities in Uganda, public universities also recruit students who pay fees and some public universities such as Kabale University and Mountains of the Moon University began as private universities and have since been taken over by government as public universities. For the most part, universities in Uganda; including

public ones, depend on funds generated from recruiting private sponsored students. In 2006, a bigger part (57%) of the budget of Makerere University came from private fees (Mayanja 2007 as cited in Muriisa 2010: 6).

In Rwanda, the emergence of private sector participation in higher education largely grew, not out of increased secondary student enrolment and output of students at secondary level, but out of the demand for higher education by a large number of people who were working, having abandoned their studies during the genocide and who wanted to go back to school, yet the only public university (National University of Rwanda) could not offer room for this category of people. It should be noted, therefore, that while higher education is regarded as a gateway to employment, private education first emerged to respond to the demand by people who were already employed and were not seeking employment. One can therefore say that private education in both Uganda and Uganda emerged as a result of increased demand for education for the sake of education and as a response to declining funding from government (Halvarsen 2010; Mamdani 2007).

## **IMPLICATIONS FOR HIGHER EDUCATION**

The immediate consequence of globalisation has been increased access to education. We have already argued that one of the global responses to education was the widening of avenues for access to higher education. Restructuring and reorganising the higher education sector from a purely publicly owned higher education to one where participation of the private sector in providing higher education took place in both Uganda and Rwanda. This restructuring brought increased access to education. In Rwanda, in 2015, there was merging merger of colleges and institutes of the University of Rwanda with constituent colleges across the country (MINEDUC 2015). The number of students registered at the University of Rwanda has been steadily increasing, as seen from figures over the years; 28 800 students in 2014, 30 445 in 2015 and 31 760 in 2016 (see 2014 to 2016 facts and figures of the University of Rwanda, UR 2018). In general, the number of students enrolling at universities and degree-awarding institutions increased from 53 798 students in 2009 to 86 315 in 2015 (almost 60% or annual increase of about 10%), despite a slight decline in overall tertiary institution enrolment in 2015 (MINEDUC 2013; 2015).

In Uganda, university enrolment has increased since 2000 and between 2006 and 2011, enrolment increased from 137 190 to 198 066 (NCHE 2011). The increase is a response to the liberalisation of education. In both Rwanda and Uganda, we can rightly say that the enrolment rates in higher education have been increasing and that enrolment in private tertiary institutions has been increasing more than in the public sector. For example, in the 2013/2014 academic year, enrolment of students in tertiary institutions was 49% for public and 51% in private institutions (NCHE 2014).

It should be noted that the commodification of higher education had consequences; first, dependence on the market meant that students are now customers and customers must buy what they want. In response, many private and public universities began investing in programmes that could easily be bought by students. The development of these courses and programmes was a result of the failure of the government to cover the funding gap which existed in most public universities. For the private sector, they emerged as a result of the demand for higher education and the need for different institutions to be “competitive” in terms of selling what can be bought. It is no wonder that many private institutions have invested more in social sciences and humanities. Even for those institutions having the name Science and Technology, such as Valley University of Science and Technology, accredited as a private university in 2015, there is no single programme that evidently merits “Science and Technology” in the name of this new institution, since most of the programmes are management programmes – such as the Bachelor of Agribusiness Management (NCHE 2016).

Most of these programmes lack training of students in cognitive skills and content that would benefit the country in general; instead, they focus on making a profit. In addition, applied knowledge is more important than production of new knowledge. It is no wonder that such programmes have in their names words such as management and community engagement because of the perception and critique of universities as failing to train students in business skills and make them community-relevant. There is no question that education that transforms society is one that focusses on appropriate content. Content supported by research and innovations brings about development. Recently, however, universities are concentrating on teaching more than on innovation and research. Research in universities is at the bare minimum, with most of it being done in public universities, with few private universities conducting research (NCHE 2010). Yet, UNESCO (2005) warns that if universities are not conducting research, discovery and innovation, they become tertiary education institutions; mere extensions of primary and secondary levels and glorified high schools (Kasozi 2003; 2019).

The relevance of HEIs is today increasingly measured in terms of how they transform their traditional roles of teaching, research and community service into improving the needs of their environments. A central issue that universities are confronting globally is the increasing emphasis on their role in socio-economic development. However, universities are challenged by the need to fit in the market model of education to play this role. The liberalisation of higher education brought about changes in the education curricula, geared towards satisfying the needs of individual students rather than the needs of society in general. The expectation that education will lead to employment has made universities balkanise programmes. The biggest initiative towards balkanising programmes is seen in the social sciences and humanities (see for example Mamdani 2007), where curriculum change and design has followed pressure from students and parents. Unfortunately, this change in curricula has not addressed the many challenges existing in many countries: the situation of poverty

and unemployment remains high. For some, education which was once considered a gateway to the employment sector is no longer in a position to do so in its current form. A lot of criticism has been levied on the current higher education curriculum with a view that the education is tailored ore towards job seeking than job creation. Thus, there has been a constant demand for education curricula to be transformed to suit the existing conditions and new demands.

It is important to note that while there has been an upsurge of numbers of private higher education institutions in Africa, there is no difference and diversity in respect of what these institutions offer in terms of curricula and programme content. Instead, duplication of content and programmes is the order of the day, thus producing a massive number of students yet the absorption capacity of the industry is low. Moreover, many of the private universities have invested heavily in training in social sciences and humanities, with a greater orientation towards doing the job than creating the job: "The courses taught in most private higher education institutions are generally similar across the continent and narrow in their programme coverage. The most common ones are computer science and technology, accounting and management, banking, finance, marketing, and secretarial science" (Teferra and Altbatch 2004: 34). It should be noted, however, that this is not only limited to the private sector but can also be observed in public higher education institutions. Mamdani (2007) and Kasozi (2017) point out that the courses at Makerere University were largely duplicated with different faculties and some departments offering almost similar content.

Apart from Makerere University, Uganda boasts another 8 universities which are regionally distributed. But there is increased dependence on private students, who form the majority in the public universities. This is different from Rwanda where the government sponsors most students enrolled at the University of Rwanda (UR 2018). The challenge, however, is that the public universities in Uganda are more or less running similar programmes which are duplicated. According to Teferra and Altebatch the courses target the needs of the local market. There is no indication that these courses actually address local development needs. The role of universities has been traditionally considered to be teaching, research and community service. These roles were rarely seen in terms of what impact they have on their environment.

The situation is different in Rwanda. Whereas, like Uganda, Rwanda has invested in widening the higher education sector, Rwanda has however created specialised higher education institutions in addition to the NUR. Several institutions of higher learning were created to meet specific needs by focussing on specialised courses. KIST organised courses in mechanical engineering, environment, electronics, information and new communication technologies; KHI provided courses in the medical field such as in anaesthesia, dentistry, physiotherapy and nursing sciences; the UAAC and High Seminary of Nyakibanda whose teachings focus on theology and religion; and ISAE only provides courses directly related to agriculture and animal husbandry. Within the current context the NUR consolidated its structure by taking on these institutions as

constituent colleges, leading to the formation of the current University of Rwanda. Therefore, rather than leaving these institutions as stand-alone institutions as has happened in Uganda, where former technical colleges and institutes were turned into public universities, they were consolidated and became part of the university of Rwanda as constituent colleges.

The important point to note is that these colleges continue to address Rwanda's developmental needs as it has always been, with only a change in structure and management. Before the starting up other public universities in Uganda, the country almost ran a similar system as that in Rwanda, with specialised colleges taking care of the human resource needs in different fields. Busitema agricultural college was specialised in agriculture-related programmes in the field of animal husbandry, crop and agricultural engineering and mechanisation, Mbarara School of Nursing was training nurses needed in the country, the twin institutions at Kyambogo (Kyambogo polytechnic and Kyambogo Teacher Training College) took care of human resource needs in engineering and education. In response to increased demand for education, unlike Rwanda which consolidated these, Uganda created these colleges into independent public universities (Mbarara University of Science and Technology, Gulu University, Kyambogo University, Busitema University in addition to the existing Makerere University); creating room for competition, not only for meagre resources, but also among themselves in terms of the programmes they offer.

### **SHORTAGE OF QUALIFIED STAFF MEMBERS**

The liberalisation of education brought about increased access to education. However, access to education is limited in terms of quality education. It has to be noted that the increasing and widening higher education sector is not matched by the training and recruitment of academic staff. There is a lack of qualified staff to run academic programmes in the countries. In both private and public sectors, there is an inadequate number of trained academics. In Rwanda, by 2015, the majority of academic staff were represented as follows: 54.2% represent Master's degree holders, 24.5% for Bachelor's degree holders and the lowest percentage of 16.0% is for PhDs (MINEDUC 2015).

In Uganda in 2011, those with PhDs constituted only 11%, with Master's 42% and with Bachelors were 34% (NCHE 2011) and the situation worsened in 2015/2016, where those with PhDs increased to 12.4%, but the number with Master's also increased to 43.2%, and those with Bachelors also increased to 44.2%. Kasozi (2019) asserts that by 2016, on average universities had only 11% of academic staff in Uganda had PhDs. Knowledge production is by senior academics (those occupying professorial positions - Associate Professors and Professors) and these are drawn from those with PhDs. But with an increasing number of those holding undergraduate degrees as staff in universities, knowledge production is challenged. Moreover, there is a challenge in producing new generation scholars to produce knowledge since the supervision of PhDs is supposed to be done by senior academics (Kasozi 2019).

The lack of qualified staff has other consequences for knowledge production. With the increasing number of students and academic programmes, there is an increased realisation that the staff are concentrating on teaching rather than on doing research because of the low staff-student ratio. In addition, most of the academic staff are concentrated in the public sector and therefore the private sector relies on these trained personnel by offering them part-time employment.

## **INTERNATIONALISATION OF EDUCATION**

Recently there has been growth in the reliance of the international system for the development of the knowledge economy. Most institutions in developing countries heavily rely on donor funding for their research and academic programmes. According to Halvorsen (2017), internationalisation became a key requirement for institutions wishing to secure funding for higher education and research. In the 19<sup>th</sup> and the 20<sup>th</sup> centuries, international higher education was seen as a form of export of higher education systems, dissemination of research and mobility of individual students and scholars, usually moving from the south to the north. Many of the scholars who moved north rarely returned to their home countries. To counter this, there was a change in the arrangements in the way the international education system is run. One of the changes made was a focus on developing partnerships between northern and southern universities: international cooperation and exchange in higher education.

In this section, our focus is on the role of partnerships between north and south on the development of Uganda and Rwanda. We have already argued that the university has a role to play in the sustainable development of Africa. Universities are seen as emerging engines of economic growth and development, but this cannot take place if there is no research, teaching and knowledge dissemination. The level of research, including postgraduate training and research supervision, however, is relatively low in Africa, and in Uganda and Rwanda in particular. Evidence shows that universities in Africa contribute less in terms of academic scholarship with less than 1% publications bearing the names of Africans in international referred journals. Over time, research and publications coming from Africa have declined (Olukosh and Tiyambe 2004). The main cause of this is anchored on lack of funding and research capacity and research cultures in some institutions (Harle 2009). The challenges which Africa faces call for stronger partnerships if research has to be promoted. Partnerships, especially through research, enhance knowledge creation. The African universities can benefit from northern universities through enhanced capacity and also revitalise their knowledge creation. According to Teferra (2009), research collaborations are paramount to revitalising African knowledge systems. Such partnerships bring in vital financial resources and much needed academic and research competence, as well as enhancing intellectual capital and confidence.

Universities in Africa cannot play the vital role of sustainable development without partnering with northern universities and research initiatives. Without partnership, universities in Africa may not contribute to social integration and the creation of human capital required for sustainable development. Thus, by collaborating with northern universities researchers from African universities will be published in high-impact journals, making them and the institutions visible (Teferra 2009:23). While north-south cooperation is perceived as the way forward for development, there are challenges associated with the partnership drive. We discuss the different partnerships and challenges faced by universities partnering with international universities in the north.

## **PARTNERSHIPS FOR CAPACITY DEVELOPMENT**

As we have already indicated above, African (Rwanda and Uganda inclusive) universities, lack capacity to carry out research and training. The development of capacity in African universities is stated as one of the core focuses of many partnerships. The ten year partnership programme of association of commonwealth universities, the South African Association of Vice Chancellors and the Association of African Universities has as one of its objectives “to rebuild the infrastructure of higher education institutions, specifically through a major program of investment in the library base and in the development and implementation of ICT strategies”, the Irish-African partnership for research capacity building (IAPRCB) brings together nine universities in Ireland and four universities (in Uganda, Tanzania, Mozambique and Malawi) in sub-Saharan Africa to develop a coordinated approach to research capacity-building in partnership institutions.

The goal of Development Partnerships in Higher Education (DePHE) is to enable HEIs to act as catalysts for poverty reduction and sustainable development. DePHE aims to achieve this by building and strengthening the capacity of HEIs through partnerships. The Partnership for Higher Education in Africa (founded in May 2000 by Carnegie Corporation of New York, Ford Foundation, The John D. and Catherine T. MacArthur Foundation, and The Rockefeller Foundation) was aimed at coordinating the foundations’ support for higher education in Africa. The Partnership was created to strengthen Africa’s institutions of higher education so that they can better contribute to poverty reduction, economic growth and social development in their respective countries. This particular focus was a result of the realisation of the importance of universities in social, political and economic development. The foundations’ objective therefore was to sustain the emerging roles of the African universities. This was to be achieved by building partnerships between northern universities and southern universities. In 2006, in a report prepared for the US, the consortium foundation partnership for higher education in Africa (CHET 2006) highlighted thus:

What is needed is a focused effort to develop African cooperation structures on higher education studies that would allow for relevant graduate programs, research, activities

and capacity building through effective national and international networking. Further, such structures should stimulate the link between higher education studies and the practice of higher education in Africa and Europe, the USA and other developing countries. Such structures could become the catalyst for development of an African expertise network in higher education (CHET 2006: 2).

Funding made under partnership programs have included grants supporting institution building of individual universities, specific departmental activities, and strengthening national and regional higher education institutions and networks. From 2000 through to 2005, the partnership foundations contributed more than \$150 million to build core capacity and support special initiatives at universities in six African countries: Ghana, Mozambique, Nigeria, South Africa, Tanzania, and Uganda. The main focus of the partnership during the first five years was the development of the universities' physical infrastructure and human and organisational capacity. In 2006, new foundations were added to the partnership and the benefiting countries grew from the original six to nine.

Like in Uganda, the University of Rwanda is implementing different partnerships focussed on developing the capacity of academics and institutions. For instance, the African Centre of Excellence in Internet of Things (ACEIoT), a regional initiative to enhance higher education and innovative research capacity of the East and South African Region, is one of them. ACEIoT is a collaborative project with regional and international partners from academia, industry and research institutions. ACEIoT will build on UR-CST's existing collaborations with local and international partners, including Carnegie Mellon University in Rwanda, and the International Centre for Theoretical Physics, Italy. The aim of the project is to develop efficient service delivery solutions for Africa's most pressing challenges in agriculture, healthcare, energy, infrastructure, and education; thus addressing the developmental challenges of the ESA region focussing on innovative, low-cost, open and sustainable solutions, and excel as a focal point for regional and international research collaborations, by providing a forum for researchers to share ideas and results on IoT applications (University of Rwanda 2017). UR-Sweden Program for research, higher education and institutional advancement supported by the Swedish International Development Cooperation Agency (SIDA) is aiming at building the capacity of staff working in universities in Rwanda. The projects target academic staff who want to further their academic training at Master and PhD levels.

Other partnerships are seen from bilateral agreements between Rwanda and international organisations such as the World Bank. In June 2016, the Ministry of Finance and Economic Planning in Rwanda signed a credit agreement of \$20 million (approximately 15.3 billion Rwandan Francs) with the International Development Association (IDA) to support centres of excellence in Rwanda's institutions of higher education and strengthen their capacity to deliver quality post-graduate education and build collaborative research capacity regionally and internationally. According to

the Minister, "This project will promote regional specialization among participating universities within areas that address particular common development challenges, and strengthen the capacities of these universities to deliver high quality training and applied research" (MINECOFIN 2017). It is hoped that these collaborations will promote the development of Rwanda in particular and the region in general.

### **Challenges of North-South Partnerships**

Partnership means that parties involved have agreed to work together in implementing a programme and that each party has a clear role and voice in how that implementation takes place. The underlying principles of partnership are equality, sharing of responsibilities and capacity building. In spite of these principles, there remain structural inequalities between the north and southern partnering institutions. The southern universities lack capacity to act as equal players in the partnership. The southern universities lack capacity in the following areas: they lack equal negotiating grounds, they lack a financial base of their own and therefore financial control is usually from the north, the lack of funds of their own means that certain obligations are not met. For example, most collaborations require that it takes place as a kind of joint venture, that institutions in the south should meet certain costs in terms of space and grant holidays for participants but this is met with lots of structural constraints such as bureaucracy, inefficient use of funds and difficulty in renewing the funding. It is no wonder that Muchunguzi (2017) asserts that:

Essentially, the current donor–recipient framework is based on, and perpetuates, imbalanced relationships between collaborators, and it limits the potential for such relationships to enhance research capacities at Southern universities and research institutions. Too often, North–South research collaborations apply to projects or programmes of limited duration (Muchunguzi 2017:150).

### **Northern Partner-defined Research Agenda**

With much funding coming from the north, research actions and priorities as well as methodological standards come from the north and require conformity with the traditions of the northern institutions. As a result, priorities, methods and ideas coming from the southern universities do not receive the same attention. In some cases, such as the social sciences and humanities research, there is indirect control of the research agenda. Much of the funding for example focussed on curriculum reform, supporting a view that there is a mismatch between curriculum and the labour market.

Issues of poverty as defined from the north emerge. In the 1980s, the main focus was civil society organisations, which saw the birth of nongovernmental organisations (which to some is a third sector), while the current trend is the emergence of the microfinance movement, global peace and environmental concerns. These are receiving more attention than local needs, social needs and poverty at household and

micro level. Indeed, “many donor partners set and shift research and humanitarian agendas without seriously considering local needs. And many programmes are too short-lived to build meaningful research capability” (Teferra 2009a). This implies that institutions will need to set their targets according to local needs and what they could likely achieve (Harle 2009). How do Ugandan and Rwandan universities fit into the new partnership arrangements? To what extent do they define their research agenda? We answer these questions by looking at two emerging partnership programmes’ -cross, multi- and interdisciplinary research agenda, and loose partnerships.

### **Cross-, Multi-, and Inter-Disciplinary Research**

During the 19<sup>th</sup> and 20<sup>th</sup> centuries, single discipline research was seen as the way forward to promote development by way of addressing specific development challenges related to the environment, agriculture and industry. In the 21<sup>st</sup> century, however, there is a realisation that addressing challenges in health, environment and industry cannot be done by focusing on one discipline. Emerging health challenges such as HIV/AIDS and malaria cannot be seen as simply biological/medical which call for biological/medical solutions alone. Rather, they are social and cultural and their mitigation calls for a focus on social as well as cultural environments. Thus there is a constant call for integration of learning and of knowledge systems and interdisciplinary approach to the mitigation of challenges facing countries. There is thus an increasing call for partnerships which are more multi- and, more importantly, interdisciplinary in nature.

The inclusion of interdisciplinary mobility programs such as the New Partnerships for African Development, the African Union Education mobility program funded by the European Union on the existing partnerships is one recent initiative to promote African development. The previous and existing European Union partnerships, especially such as Edu-link, demand for multidisciplinary research proposals. Such a requirement faces challenges of integration, especially with regard to the education set-ups in the south. Since their inception, African universities were organised for students in each faculty to be taught independently. Apart from teaching, there appears to be a disciplinary divide in terms of theory and method between the disciplines in the natural/physical, biological sciences and the disciplines in the social sciences and humanities. Such a disciplinary divide creates disharmony when it comes to carrying out research along multidisciplinary requirements. Developing multidisciplinary research approaches requires research to be approached from different angles, using different perspectives with a common perspective and goal. Integration however, is not accomplished since researchers work separately and lack training in inter- or multi-disciplinary approaches. The EU universities and donors need to ensure that their interests are clearly defined and explained to the African partners so as to appreciate the basis on which support may be available and when it is unlikely to be offered.

## **Loose (informal) Partnerships and Problem of Continuity and Enforcement of Agreements**

The formal partnerships are enforced by the MOUs, which clearly stipulate the roles of each party in the partnership. In the case of loose partnerships where partnerships are not clearly defined, enforcement and continuity is a problem. The problem however is not that such partnerships are bad in nature but because it is by its very nature short term and does not allow for continued and sustained study in a particular area. Areas for research keep shifting within specific short periods, undermining disciplinary base-building and constraining the range of areas or issues studied by researchers. A good example of such arrangements is the Nile Basin Research Program (NBRP). The NBRP program ran for 5 years (from 2006 to 2010) to strengthen the research capacity of scholars in universities in the Nile Basin region and attracted various cohorts of researchers from Rwanda, Uganda, Burundi, Congo DRC, Eritrea, Ethiopia, Sudan, Egypt, Tanzania, and Kenya.

Researchers received support for travel to work on a specific study theme at the University of Bergen for about five months. While the researchers were drawn from universities and research institutes of the Nile basin countries, there was no formal relationship and understanding between NBRP and the universities/research institutes where researchers came from. The challenge associated with this form of partnership is that there is limited continuity and enforcement to facilitate completion of research. To shed more light on this, NBRP would invite a new set of researchers not from the same institutes and universities, which would indirectly formalise collaboration; but from other institutions; this limits sustainability unless the researchers and their leaders develop individual/group interests on other topics outside the NBRP arrangement. It has to be mentioned that major research programmes are funded by respective governments where these programs are located (NBRP, NORAD, SIDA-SAREC) and this creates a vicious circle of dependence for both researchers and universities as they try to consolidate donor-recipient frameworks which dominate research collaborations. Also, when funds run out as already mentioned, the sustainability of collaborations and capacity-building programs becomes problematic (Muchunguzi 2014).

On a positive note, however, drawing different researchers from different disciplines and research environments to work together for five months has a positive contribution to the development of capacity of these individuals who form a team. Each researcher comes with different abilities which when combined facilitates the intellectual and research abilities of the individuals to grow. Apart from research capacities developed, the researchers are exposed to a whole set of literature which they carry home with them at the end of the five-month period. The University of Bergen subscribes to over 6 000 journals and databases, which are inaccessible to those working in an African environment. If African universities could be linked to such a large variety of databases, it would be the best research capacity-building programme for a resource-poor continent.

## **Different Training Programmes**

At a time when Europe is standardising with a view that education offered in universities is the same, university education in Uganda and Rwanda is still offered in way that sees university education as different across universities. Universities work in isolation, departments work independently of each other and often compete with each other in terms of the programmes that they offer (Mamdani 2007) and as such, degrees and transfer of credits is not possible between departments and much less between universities. The lack of a standardised system of education limits student exchange between northern Universities and southern universities. In addition, the unequal length of training limits student exchange between universities.

## **CONCLUSIONS**

As the only institutions whose core business is knowledge production, universities have been transforming to fulfil this key role. In the era of globalisation, however, they are faced with increasing demand for internationalisation and to be market-oriented. We have discussed in this paper the impact of globalising phenomena of liberalism and internationalisation on higher education in Rwanda and Uganda. As was discussed, liberalising higher education had the impact of commercialising education; making it a private good rather than a public good. Knowledge production in this system become pegged to the market, knowledge is no longer produced for the sake of knowledge; rather, it is produced because it can be bought. At the same time, the demand for internationalisation means that knowledge production must follow what is "standard" as prescribed by international donors, and knowledge production must also be pegged to international institutions who not only define the research agenda but the way in which research must be conducted and the expected results.

Therefore, if universities focus on the local environment, they are able to be relevant and contribute to development, but this is dependent on government support to universities. Universities need financial support to become centres of knowledge production. In addition, the effects of globalisation are far reaching and if governments fail to support universities, they must look for new mechanisms in order to survive – privatisation and internationalisation are key options in the 21<sup>st</sup> century.

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# GHANA AND GLOBAL DEVELOPMENT AGENDAS: THE CASE OF THE SUSTAINABLE DEVELOPMENT GOALS

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Patrick Tandoh-Offin<sup>1</sup>

## INTRODUCTION AND BACKGROUND

The United Nations General Assembly (UNGA) in 2012 set forth the processes to commission the new global development agenda, the Sustainable Development Goals (SDGs) as a replacement for the Millennium Development Goals (MDGs) that had been in place since 2000. The request for the new initiative was made as a result of the expectations, achievements and challenges of the MDGs (UNDP 2015). Development practitioners have considered the SDGs as an ambitious and boldest initiative by the international community to collectively address sustainable development issues from ecological, social and economic dimensions (Beisheim and Nils 2016; Lucci and Lally 2016). The intergovernmental engagements as well as the participation of different stakeholders in the SDGs' review and agenda development processes that was adopted by 193 world leaders in September 2015, can only mean one thing (UN 2015). That is, the 17 goals and their 169 targets in the SDGs can only be considered as the international community's collective resolve to holistically shape global development efforts by addressing well-documented development challenges of poverty, hunger, inclusion and environmental sustainability (Lucci and Lally 2016; UNDP 2015).

The international community collectively and inclusively agreed on the SDGs. Implications are that Ghana and many other developing countries partnered with their more advanced counterparts from developed economies at global level to agree on and own the SDGs as a common development agenda for all countries of the world. The collaborations between the developed and developing nations were intended to overcome the major development challenges associated with the MDGs. These include the perception that the eight goals were only standards for ensuring that all developing nations had common metrics for evaluating or measuring their progress towards development (UNDP 2016). However, the expectation for the SDGs is that the 17 goals have been carefully agreed upon by all countries (developed and developing) and designed to include all population groups and not leave anyone behind (Beisheim and Nils 2016; Lucci and Lally 2016; Nicolai, Hoy, Berliner and Aedy 2015). Additionally, the coming together of all countries further builds consensus to ensure that the financial commitments needed for the successful implementation of the SDGs by relevant stakeholders in both developed and developing nations is given due consideration during the agenda formulation and implementation stages.

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So, in the case of many developing economies (as well as Ghana), key factors for implementing SDGs seem to depend on the ability and success of leveraging diverse sources and securing sufficient and sustainable funds (Addo 2016).

In addition to the global adoption of the SDGs, Ghana's role and expressed commitments at the national launch, raised citizens' expectations for the implementation of the SDGs. These expectations should be carefully and sustainably scrutinised to ensure the country's preparedness, and to guarantee citizens' awareness of, and participation in, the implementation process. Such scrutiny also has the potential to ensure that plans and programs at national level are appropriate; the necessary consultations and engagements with the relevant stakeholders are secured as part of the processes for moving the country towards effective resource utilisation for the implementation of the SDGs in line with the global expectations (Reddy 2016). Some effort is needed to assess whether Ghana's prior experiences with development agenda implementation would serve in guiding the preparatory activities to effectively implement the new development agenda to improve the wellbeing of citizens. This paper sought to assess the Ghana government's commitment and efforts towards the successful implementation of the SDGs. More specifically, the paper highlights national level structures and initiatives that are useful for sustaining national momentum, while strategizing for ambitious progress on Ghana's implementation of programs and projects for the SDGs agenda. It also explores the opportunities, gaps and projections in terms of Ghana's efforts towards effective implementation of the SDGs, and finally assesses the level of consultation and involvement of relevant stakeholders, including civil society and the corporate sector, for successful implementation. Two questions that guide this study are whether there is an enabling environment for the realisation of the SDGs in Ghana, and whether Ghana will be able to implement the SDGs.

## **DATA GATHERING AND METHODOLOGY**

This study employed social action research techniques and the interpretations of personal experiences and real-life accounts of individuals involved in the implementation of intervention and programs to achieve the SDG objectives in Ghana. This section therefore presents the results of the discussions and interviews with key informants and officials from the following institutions: National Development Planning Commission (NDPC), United Nations Development Programme (UNDP) Ghana, Media Foundation for West Africa (MFWA), Integrated Social Development Centre (ISODEC), and the Association of Ghana Industries (AGI). The interviews were conducted between July and September 2016. Interview responses and discussions were combined with reviewed programs and project documents and reports. The respondents were representatives from government agencies, international development organisations, NGOs, and Community Security Organisations (CSOs), whose work and interest relates to the global development agendas of both the MDGs and now the newly ratified SDGs. Each respondents were asked to provide an overview of Ghana's preparedness to implement the SDGs by looking at the national level structures, environmental factors

(political, socio-economic, institutional and environmental), government and citizens' priorities, and accountability mechanisms. They were also asked about the levels of consultation and involvement of stakeholders, potential challenges that could affect implementation, knowledge gaps, and whether Ghana will be able to implement the goals.

The rest of the paper proceeds in the subsequent sections firstly with an overview and context of the SDGs in the sustainable development literature as a way to situate Ghana's approaches to development planning. A review of documents, baseline reports, backgrounds and project objectives also occurred in order to reconcile national and international systems and structures for effective implementation of planned and ongoing programs and projects to address the SDGs in Ghana.

## **REVIEW: GHANA'S FOURTH REPUBLIC, DEVELOPMENT PLANNING, AND THE SUSTAINABLE DEVELOPMENT GOALS**

Since returning to democratic governance in 1993 under the Fourth Republican Constitution, Ghana has prepared five medium-term (mostly three- and four-year) national development policy frameworks (Tandoh-Offin 2013). Each of the successive frameworks have paid due attention to the successes and opportunities gained from their predecessors, while highlighting challenges and gaps in preparing plans to guide the overall development of the national economy. Overall, it can be argued that the five medium-term development frameworks have enabled Ghana to refine the strategies employed to guide socio-economic, political and institutional development, as well as the environmental management needed to assure human development collectively and collaboratively in all its purposes and intents. In spite of the opportunities offered through the various medium-term development frameworks, the lack of a long-term national development agenda has meant that political parties' manifestoes and agenda have guided national development in Ghana under the Fourth Republic. In light of the above trend, the NDPC tends to suffer from politicisation with the potential to inhibit the long-term vision for national development that will be complied with by successive governments (see the NDPC and other official documents, Ghana 1995; 1998 and 2010).

Any attempt to contextualise the SDGs requires a theoretical justification of the Goals from the perspectives of development planning as practiced in Ghana, since the advent of the Fourth Republican Constitution in 1993. Thus, the meaning of planning as offered by Danso (2014), serves as a useful outline for demarcating all the actions and means for making conscious choices about how to attain a future goal and objectives. This meaning of planning also captures all the necessary events for deciding on the goal and objectives, as well as the appropriate courses of action to attain those objectives. This definition of planning further expands the scope of the concept, and identifies it as a multi-dimensional process calling for a reorganisation and reorientation of the entire economic and social system (Ikeanyibe 2009). It thereby places emphasis on

the improvement of income and output, radical changes in institutional, social and administrative structures, as well as in popular attitudes, customs and beliefs (Todaro 1989).

The definition of planning above further calls for conceptualising 'development' as it applies to countries, where it goes beyond just economic development and its fixation on income or its inherent factors like Gross National Product (GNP) or Gross Domestic Product (GDP), and broadly adopts a human focus in terms of quality of life and wellbeing. In this vein, development should be understood as a process and not a product, since societies are in a constant change process (Barbanti 2005) and transcend economic and social divisions. Development planning, on the other hand, presupposes a formally predetermined rather than a sporadic action towards achieving specific developmental results (Killick 2010; Tandoh-Offin 2013). More importantly, it entails direction and control towards achieving planned targets (Moti 2010).

In line with the arguments above, one can safely conclude that the MDGs are the results of a collective desire and search for a more "peaceful, prosperous and just world" (UNDP 2015). Therefore, the MDGs are a global partnership for addressing the myriad of human development challenges that bedevilled the planet towards the end of the twentieth century. The MDGs ratified by the community of nations were a package of specific strategic targets with indicators to measure progress by 2015. Thus, the MDGs were intended to guarantee that communities improve or become more advanced, more mature, more complete, more organised, and more transformed (Danso 2014). The goals that highlighted the stark reality of widespread human deprivation and environmental degradation are credited for halving extreme poverty, improved youth literacy and declines in child mortality across much of the world. Sachs (2012) argues that the MDGs have contributed to a remarkable enhancement of people's wellbeing in developing countries (Vandemoortele 2011).

Correspondingly, various observers suggested that whatever the specific components of wellbeing, development in all societies should at least have similarity in objectives (see Kendie and Martens 2008; Potts and others 2003). These include an increased availability and widened distribution of basic life-sustaining goods like food, shelter, health and protection; as well as raise level of living, including, in addition to higher incomes, the provision of more jobs, better education, and greater attention to cultural and human values. All of these will serve, not only to enhance material wellbeing, but also to generate greater individual and national self-esteem. It will also expand the range of economic and social choices available to individuals and nations by freeing them from servitude and dependence, not only in relation to other people and nation-states, but also to the forces of ignorance and human misery (Todaro and Smith 2009: 22).

The MDGs offered many opportunities in terms of mobilising global efforts to address development challenges. Yet, after close to 15 years of implementation it is evident

that much more support and effort is required to eradicate poverty in all its forms, and to deliver on the unfinished business of the MDGs. In essence, countries were unable to meet most of the goals for a number of reasons. These include the existence of structural errors such as inequality, insecurity, bad governance, wars, lack of decent work; and on the meaning of the relationship between sustainable consumption and production patterns (Lucci and Lally 2016). There is also the perception that the process for selecting the eight goals were devoid of consultations (UNDP 2015a). Furthermore, in most cases, the failure of development partners to follow through on their promise to assist with the funding of proposed programs and projects for achieving the goals also affected successful implementation of the MDGs (Lucci and Lally 2016; Melamed 2015).

The calls for a new development paradigm based on a review and a refocusing of development, according to the World Bank's *Voices of the Poor* (2000) survey, is predicated on the principle that priorities of the poor still consist of jobs, better connections to the rest of the world, reduced threats of violence and ending humiliation and disrespect. To this end, the global community adopted an elaborate consultative and widespread engagement process with all relevant stakeholders, including NGOs, to address the challenges associated with the MDGs and its implementation. The post-2015 development agenda consists of 17 carefully selected and reviewed goals (the SDGs), to guide the social, economic and environmental development by both developed and developing countries (see Table 1). Unlike the MDGs, the SDGs adopt a human rights approach to include all population groups and "leave no one behind" in the planning and implementation of programs and projects and in the monitoring and review of progress towards the attainment of the goals.

**Table 1: The 17 Sustainable Development Goals (SDGs)**

GOAL 1	End poverty in all its forms everywhere
GOAL 2	End hunger, achieve food security and improved nutrition and promote sustainable agriculture
GOAL 3	Ensure healthy lives and promote wellbeing for all at all ages
GOAL 4	Ensure inclusive and equitable quality education and promote lifelong learning opportunities for all
GOAL 5	Achieve gender equality and empower all women and girls
GOAL 6	Ensure availability and sustainable management of water and sanitation for all
GOAL 7	Ensure access to affordable, reliable, sustainable and modern energy for all
GOAL 8	Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all

GOAL 9	Build resilient infrastructure, promote inclusive and sustainable industrialisation and foster innovation
GOAL 10	Reduce inequality within and among countries
GOAL 11	Make cities and human settlements inclusive, safe, resilient and sustainable
GOAL 12	Ensure sustainable consumption and production patterns
GOAL 13	Take urgent action to combat climate change and its impacts
GOAL 14	Conserve and sustainably use the oceans, seas and marine resources for sustainable development
GOAL 15	Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, and halt and reverse land degradation and halt biodiversity loss
GOAL 16	Promote peaceful and inclusive societies for sustainable development, provide access to justice for all and build elective, accountable and inclusive institutions at all levels
GOAL 17	Strengthen the means of implementation and revitalise the global partnership for sustainable development.

Locally, processes and events were set in motion to prepare and engage citizens in the post-2015 development process through the *My World Survey* (ISODEC 2015) which sought, among other things, to gather voices of Ghanaian citizens on the Post-2015 development process. This was a collaborative initiative between the United Nations (UN) and civil society organisations. It was coordinated by the UNDP, the UN Millennium Campaign as well as the Web Foundation, while it was carried out by the Ghana Statistical Service (GSS) and ISODEC, a local NGO. The proposal for addressing the development challenges in society, as emerged from the survey, included the need for targeted advocacy and public engagement between citizens and government to deal with the low prioritisation accorded to social protection for the vulnerable.

In agreeing on the new goals, serious considerations were given to the need of not only providing for basic human needs, but also ensuring essential human rights and creating enabling conditions to help individuals realise their potentials (Beisheim 2016). The legacies of the worst economic and financial crises in recent history must be addressed (Addo 2016), while the implications of migration and the management of the current refugee crises remain an important consideration. The SDGs also call for sustained focus beyond parochial economic measures of progress to consider all aspects of wellbeing and sustainable development. Furthermore, it is crucial to achieve drastic reductions in global greenhouse gas emissions in order to safeguard the planet for future generations.

There is no doubt that the SDGs and its framework offer a useful strategy for addressing key systemic barriers to sustainable development in terms of inequality, unsustainable consumption patterns, weak institutional capacity, and environmental degradation that were not covered by the MDGs. With its three-pronged focus on social inclusion, economic development and environmental sustainability in development over the next 15 years, the 17 goals of the SDGs with its 169 targets ensure that the global community collectively approaches development of all forms from a holistic and sustainable perspective (Caritas – Ghana 2016).

The SDGs prove their relevance as global development indices by calling for a renewed emphasis on the need to create programs to generate better standards of living through inclusive growth, tackling extreme poverty and hunger through the acceleration of income growth and increased employment especially for the world's poorest 20% (Bhatkal, et al. 2015; Lucci and Lally 2016). It also calls for a focus on achieving goals for education beyond primary schooling towards universal literacy and numeracy and job skills, and similarly for improved or productive life expectancy in terms of health goals for all countries (Shepard, *et al.* 2014). For essential human rights, the new goals are expected to promote civil and political rights, and security in addition to gender equality. Furthermore, the civil and political rights goal should promote public participation, accountability and transparency (Fukuyama 2014; Sivhuoch and Sreang 2015).

The new goals call for the appropriate enabling conditions by promoting universal access to information and communication technology (ICT), transportation and energy infrastructure, environmental sustainability and good global governance. The availability of appropriate indicators to underpin targets for each of the goals is critical. It is important to note that the behaviour of organisations and individuals is influenced by how success will be assessed. Without practical indicators, goals remain purely aspirational and progress cannot be measured. Nevertheless, there are daunting challenges to devising suitable indicators that are both measurable and motivational in order to galvanise public support for development. Serious data limitations exist, especially for the purposes of cross-country comparisons. Metrics must be sophisticated - not too crude, but not too technocratic. Indicators should allow for disaggregation by sex, urban/rural, and identity groups and income bands to unmask the inequalities that hide behind generalised statistics.

Additionally, even the UN accepts the fact that the goals and targets are a highly ambitious effort to address development challenges especially for developing countries where the co-existence of peace and stability with rule of law is a difficult or even an impossible dream. The tensions between high growth that can reduce poverty and the feasibility of sustaining the environment call for a re-look at the goals and targets set by the SDGs. However, it is a worthwhile endeavour to explore how Ghana is preparing to attempt the implementation of the goals and targets as a means to bringing about development that the people so badly need by looking at where the

country has come from with regards to development planning, especially under the current democratic political dispensation.

## **REVIEW: SUSTAINABLE DEVELOPMENT GOALS AND IMPLEMENTATION CHALLENGES**

Since the inception of the MDGs in 2000, Ghana has prepared four medium-term development frameworks and their associated monitoring and evaluation (M&E) plans, which have all reflected on the goals, targets, and the indicators to monitor achievements. The first challenge from Ghana's experience of implementing the SDGs is that, at national level, Ghana saw the MDGs and their targets as very relevant, and swiftly adopted and mainstreamed the goals into national planning frameworks through the various medium-term development plans over the period since 2002, and regularly reported on progress. However, the lack of inter-ministerial coordination and reporting made it difficult for the MDGs to reflect on the national context and the prevailing conditions at national level. Thus, for the SDGs, major challenges for successful implementation may include the following:

- How an inter-ministerial coordination can be developed to create the space for integrating the goals into national development frameworks and minimise distractions from the implementation process;
- Ongoing demographic transitions that will not abate any time soon and that have serious implications for planning in terms of the labour force and access to decent jobs, especially for the youth;
- The issue of urbanisation with its attendant challenges in terms of distribution of basic amenities, utility services, sanitation, urban planning and implications for structural transformations in the economy.
- Peculiar conditions of new, lower middle-income countries like Ghana and their struggles with structural transformations and the investments they need to address issues of inequality and access of all forms, particularly, access to energy;
- Additional financial resources beyond current government allocations that will be needed for implementation to be effective if the goals are to be achieved;
- Effects of internal and external migration patterns such as sub-national disparities, spatial inequity and inequality, especially gender-based inequality at sub-national levels and urbanisation, which are rarely included in global and national development planning;
- The need to seek a balance between good governance and sustainable environmental management amidst the increased demand for energy and access to basic amenities resulting from rapid urbanisation and industrialisation in most of the developing world, including Ghana;
- The need for a functional and up-to-date administrative statistics and information management system is of utmost importance for successful implementation, monitoring and reporting on any national and sub-national development and even globally coordinated development endeavours; and

Finally, other challenges with the potential to militate against successful implementation of the SDGs by Ghana include availability of the appropriate capacities in terms of human and technology skills to build the expertise to facilitate implementation. The monitoring of implementation efforts to achieve the targets of the SDGs also call for a sophisticated and elaborate data collection and management system, and the availability of professionals with the requisite expertise to support these efforts. The NDPC acknowledges that the country faces various challenges in this is an area. As a result, it is calling for a realignment of training and education programs at tertiary levels to ensure that there are professionals with the needed skills to support Ghana's implementation of the goals. There is also the issue of international environment and international influence through production commodity and exchange challenges resulting from the unfavourable terms of trade that can affect Ghana's exports and the political will to manage these relationships.

## **FINDINGS AND INTERPRETATIONS**

### **Opportunities for Implementation of the Sustainable Development Goals**

Meanwhile, significant opportunities also exist from Ghana's experiences in implementing the MDG could be useful to the successful implementation of the SDGs. The first opportunity offered by the implementation of the MDGs is the need to integrate the goals and targets into national development plans. According to the MFWA and the NDPC, the existing development frameworks are already addressing many of the targets and goals. All that is needed going forward will be to incorporate the goals that are not yet sufficiently covered into national development frameworks (Interview responses 2016).

The second opportunity is that Ghana used the Annual Progress Reports (APRs) and the specific biennial reports as an M&E tool for tracking progress towards the attainment of the targets and for planning at national and subnational levels (UNDP 2015). The case has been made that processes involved in the drafting of both the APRs and the specific biennial reports, should at least equip the national development planning system with the requisite experience needed to be effective and efficient in compiling relevant information for the reports. These experiences are deemed useful for the processes and activities that were evoked to develop the SDGs, such as creating spaces for consultation with relevant national institutions and other relevant stakeholders, identifying government's and citizen's development priorities, and setting the prerequisites for successful implementation of the SDGs in Ghana.

The third opportunity is that the MDGs did not go far enough to address certain pertinent areas of socio-economic and environmental issues for development (UNDP 2015). These issues include gender-based inequalities and its attendant implications for access to assets, employment opportunities, political participation and representation of women. Other areas include food security, urbanisation, and environmental and

climate change concerns. After reviewing all the sources, the argument is that the SDGs therefore provide renewed energies and spaces for these issues to be critically looked at so that appropriate and specific programs and interventions can be developed to address their impacts on society.

The final opportunity is in terms of the support that civil society, CSOs and NGOs have put in place to ensure that there is widespread public awareness, and that national and sub-national structures are adequately prepared to engage in activities and processes that are necessary for successful implementation of the SDGs. These include the different levels of consultations to ensure that the priorities of government and citizens are in synchronisation through the My World Surveys to identify development issues for Ghana (ISODEC 2015). There are also the government-initiated consultations that have resulted in the creation of three committees to oversee coordination and support for smooth implementation. These committees are the High-Level Inter-ministerial Committee (HLIC), the National Technical Steering Committee (NTSC), and the Committee on Financing for Development (CFfD). The CFfD, for instance, began processes to explore funding opportunities and sources for the various goals and targets of the SDGs. Beyond the government-initiated consultations there is also the civil society-initiated platform and the Civil Society SDGs Platform. All these consultations create and expand the spaces for engagement and awareness about processes and programs developed to address the targets and goals in the SDGs, according to the ISODEC (2015)

On the major issue of national level, structures for a successful implementation, all the key informants and respondents pointed to the NDPC as the national body with the appropriate locus and structure to coordinate plans and programs for implementing the SDGs on behalf of the government. Additionally, a key lesson was that preparatory activities for the implementation of SDGs involved the creation of appropriate national level consultations to support the coordination of activities and efforts for a successful implementation of the new goals and the NDPC. In support of this view, a senior official of the NDPC stated as follows during July 2016:

*With respect to the structure that will enhance what we are doing, we are setting up a High-Level Steering Committee (HLSC) to be chaired by the President, who has been appointed as one of the Co-Chairs of the Eminent Group of Advocates for the SDGs. We have also identified key Ministries to be part of the HLSC to enhance the implementation of the goals. We also have the Technical Implementation Team (TIT) comprising of the following MDAs: NDPC, MoF, MFA, MESTI (EPA), MLGRD, and TCPD. The TIT will ensure that all issues concerning the SDGs and for that matter the AU Agenda 2063 are taken into consideration. They are to ensure that all our policies and programs reflect on the SDGs and the AU Agenda 2063. The third committee is the Committee on Financing for Development (CFfD) and it is led by the Ministry of Finance and supported by the MFA, MoE, and the NDPC. It is charged with ensuring that critical priority financing issues are factored into the Goals and its implementation (Interview responses 2016).*

Beyond the national level structures, there is also the Civil Society Platform for the implementation of the SDGs. Members of this platform, such as Social Enterprise Development (SEND)-Ghana and the MFWA, have engaged officials of government, other national level institutions and relevant stakeholders in consultations on the post-2015 development agenda and how to ensure successful implementation by Ghana. Additionally, there is consensus among NGOs and CSOs that there has been much broader and wider consultation on the SDGs this time, than was the case with the MDGs (Interview responses 2016). For instance, according to a respondent from the NDPC, Ghana, the government has SDG champions from specific state agencies like the EPA who spearhead government's activities especially from that sector's perspectives with the NDPC as they relate to program planning and implementation towards the attainment of the goals. Still on the national structures to implement the SDGs, the NDPC by its mandate (through the NDPC Act, Act 479, and the NDP Systems Act, Act 480), is well-placed to coordinate government and national efforts with respect to national development planning. To implement the SDGs, the Commission has identified 3 main areas, namely Alignment, Adaptation and Adoption.

#### *Alignment of the Sustainable Development Goals*

In terms of the alignment, the NDPC argues that the Ghana Shared Growth and Development Agenda (GSGDA) II which was implemented from 2014 to 2017, District Medium-Term Development Plans (DMTDPs) and the Sector Medium-Term Development Plans (SMTDPs) implemented by District Assemblies and Ministries, Departments and Agencies (MDAs) respectively all generate yearly plans which inform the national budget. In fact, at the NDPC, some of the effort focussed on conducting a kind of mapping to establish whether national development policies and strategies actually reflect the SDGs and Agenda 2063. Apparently, the NDPC reports that about 70% of the policies and strategies contained in the GSGDA II reflected in the global development agenda (Interview responses 2016).

In order to ensure consistency with aligning requirements at various levels, namely the national, sub-national (MDA) levels such as Metropolitan, Municipal and District Assemblies (MMDA). The requirement is therefore to ensure that the plans and programs at the sub-national level reflect, or are similar to, those in the national level development plans. This should be done through creating awareness and training for officials at the lower levels about the SDGs and also on the AU Agenda 2063. Thus, the NDPC has developed a revised M&E formats for MMDAs and MDAs to their DMTDPs and SMTDPs program that reflect on the reporting needs of the M&E component of the SDGs to serve the alignment considerations.

#### *Adaptation of plans*

The Adaptation of the plans looks at the number of SDG indicators and targets that need to be reorganised or customised to suit Ghana's country needs. This is because the nature and form of some of the targets and indicators as they are crafted in the Goals may make their relevance to Ghana's present conditions too far-fetched and difficult to perceive. A senior official of the NDPC stated as follows during July 2016:

*So, we will look at the indicators and targets that need work and see if we can actually track and report on them because the NDPC reported on the MDGs on a yearly basis and have been preparing full reports every 2 years. I am sure that the pattern will not change. We will be reporting on the SDGs and the Agenda 2063 every year; preparing a full report on these global development agenda (Interview responses 2016).*

#### *Adoption by the National Development Planning Commission*

The adoption as used by the NDPC is the process of picking and choosing the targets and indicators of the SDGs that Ghana should directly focus on. In fact, many of the indicators were already identified, and incorporated, into a number development plans and programs at different levels of government in Ghana. According to a NDPC senior official:

*With the Adoption, some of the indicators and targets will be adopted as is and we have done some work with the Ghana Statistical Service (GSS) and have seen that there are over 250 indicators and targets already in our system that we can conveniently track. When I say we have identified them it means they are already there. What we are missing is the administrative data – the routine stuff that we do every day that we don't even capture - something that we need to be doing. How many visitors have come to NDPC today? If you ask, I may not be able to tell you because even though the records say that there is a visitor's logbook, but who actually reported for what? These are some of the things that we need to start taking note of and reporting on so that in our own annual reports, we can say that we had so many visitors who came to NDPC and what they came here for (Interview responses 2016).*

Thus, the NDPC is working with the Ghana Statistical Service (GSS) to identify how administrative data, for instance, can be reorganised to help track daily happenings at institutions; how employees utilise their time; and generate better information on some of the issues that take place for long-term planning by individual public agencies. It is envisaged that effective management of administrative data has implications also for reporting on some of the indicators and targets as mentioned in the SDGs.

#### **Government and Citizen's Priorities**

The need for the SDGs to reflect on the priorities of both the national government and those of the citizens is useful for several reasons. These reasons were widely captured in the interviews with the various stakeholders for this report presented and analysed below. For Ghana, who was a member of the Open Working Group (OWG) on the SDGs, and has participated in several UN-led national level consultations that helped

to define the post-2015 development agenda, having its own priorities is essentially critical so that it will reflect on the aspirations of the citizens. Additionally, the SDGs with their 169 targets and over 250 indicators tend to cover a vast number of development issues thereby making it necessary for countries to be circumspect and prioritise the targets and issues that affect their people. For instance, Ghana as a developing country is still experiencing significant demographic transitions and structural transformations with its attendant challenges of planning, growth and development, so, prioritising its development issues is critical.

The ISODEC and the UN Millennium Campaign (UNMC), with the support of the GSS, have collaborated to create Ghana's priority development issues for the post-2015 development agenda through the *My World Surveys*. This survey provided the development needs, problems and solutions that Ghanaians considered to be priorities. In all, 16 development priority categories were generated from the *My World Surveys* (ISODEC 2015).

Similarly, the MFWA also captures the development priorities for Ghana under the following nine headings that were put forward by Ghana during the consultative period in the post-2015 development agenda discussions: employment, youth development, education, poverty, health, food security, social protection of women and children, urbanisation and environment and climate change. These priorities and possible targets or solutions are important because of the potential they hold for stemming key development challenges that confront emerging or transition economies, such as Ghana, in terms of decent job opportunities for the teeming youth through enhanced skills development and labour market information, and potential for enterprise and entrepreneurship development, among others.

The need to prioritise development issues and solutions is premised on the argument by Rathod (2010) that a major responsibility of planning authorities involves arranging priorities in order to distribute the needed resources among the objectives based on an order of priority. In light of the above, the assessment by both the NDPC and the ISODEC on whether the government and citizens' priorities are aligned in the SDGs provides some support for Ghana's preparedness to implement the goals. Having initiated the processes for identifying citizen's priorities and the commitment to adopt and integrate these priorities into government's development agenda is a first step and an important signal to demonstrate commitment towards the implementation of appropriate programs to ensure successful attainment of such goals. Perhaps, what may be needed is oversight by civil society organisations to ensure compliance on the part of government and all other key players involved in the implementation of various actions for the attainment of the SDGs in Ghana.

Regarding the environmental (political, socio-economic and institutional) factors that may affect the successful implementation of the SDGs, the case has been made that prevailing socio-economic conditions, such as continuously increasing

inequality levels, have the potential to derail any gains made in the fight for poverty reduction by Ghana under the MDGs. It is critically important to consider the issue of gender-based inequalities that manifest in terms of access to assets, employment opportunities, political participation and representation. Addressing these socio-economic factors is fundamental to creating the enabling environment for successful implementation of the SDGs. Political factors, on the other hand, focus on the political will and political leadership to initiate the needed actions to address identified socio-economic and environmental challenges. Discussions with other stakeholders on political factors that are critical for achieving successful implementation of the SDGs focused on political will. The NGOs' and CSOs' position is that political will in the SDGs adoption and implementation in Ghana is a necessary condition because it can affect development planning in Ghana. According to Rathod (2010), development planning involves setting objectives by policymakers who are political actors, thereby making this whole endeavour a political activity (Ikeanyibe 2009).

Meanwhile, the feeling amongst CSOs and NGOs, like ISODEC, is that not much is being done about planned programs yet. They argue that they are not seeing much activity and that it seems as if after the national launch, the national structure has gone to sleep over the SDGs. In their estimation, there should be specific programs to address specific or particular targets and goals. However, the UNDP office in Ghana holds a contrary view, and as a senior official explained during an interview, the SDGs may not need their own structures for their implementation: The Goals are only going to augment national plans. So, the institutions for implementing the SDGs are going to bring about alignment and a sharp focus on the goals (Interview responses 2016).

Apparently, the NDPC contends that the GSGDA II (2014 – 2017), the framework currently guiding national development, describes in detail the strategies and policy objectives for the key issues that are captured under the seven thematic areas of the framework. These strategies are accompanied by relevant implementing and collaborative agencies to coordinate specific programs developed to address specific key issues. In the estimation of the NDPC, to the extent that the thematic areas and their key issues in the GSGDA II were generated based on the development aspirations of the citizens and the government, the specific programs and interventions that are planned are also more likely to be relevant to addressing the expectations of the SDGs and its targets. What is key, according to both the NDPC and UNDP, is that these documents and their key issues ought to have indicators similar to those prescribed in or for the SDGs.

Another relevant issue related to the discussions on the availability of specific programs and interventions to move Ghana towards achieving the SDGs and their targets by the set date is the issue of accountability. Respondents intimated the paramount need for accountability mechanisms to ensure compliance with the implementation of programs and interventions, and also to track progress towards achieving the targets of the SDGs. From the perspective of the NDPC, the newly created legislative instrument, the National Development Planning Systems Legislation (LI 2232) of 2016, has the

potential to improve the approach to development planning by national and sub-national agencies over the years. Among other things, the LI 2232 affirms provisions in the Local Government Act 1993 (Act 462) that mandates MMDAs to prepare and submit development plans for approval and certification by the NDPC (Ghana 1993).

With the new LI, opportunities for MMDAs and MDAs to get budget approval from the Ministry of Finance and to source for funding becomes contingent on the certificates of approval from the NDPC for compliance with the provisions and satisfaction of the requirements for developing the plans. Similarly, the LI stipulates sanctions should be initiated against agencies that fail to comply as well. Additionally, the LI clearly provides mechanisms through the NDPC's M&E system for tracking progress, identifying gaps and for generating progress information on on-going development arrangements that feed into the mid-year review report that is presented to Parliament by the Minister of Finance (Interview responses 2016). Meanwhile, there is a huge responsibility on civil society and other relevant stakeholders in terms of their interest in ensuring compliance by making sure that appropriate programs and interventions are developed and implemented to make the needed impacts on beneficiaries. In this light, other stakeholders who participated in the study also agree that having appropriate indicators should be of prime importance to guarantee compliance and proper accountability for the implementation of SDGs in Ghana. To this end, the NDPC therefore suggests that more awareness be created among citizens to ensure accountability in terms of knowing what to do when something goes wrong, so they can take action.

On the need of creating awareness among citizens to, among other things, ensure accountability and also be part of the process, stakeholders in the study, such as ISODEC, could not agree more, because in their view, significant knowledge gaps still persist among the majority of citizens on what the SDGs are all about. That also has the potential of preventing citizens from satisfying the accountability requirement. The view is that one needs to be familiar with a program and the processes involved to be able to monitor and assess its effectiveness. Significant effort should be directed towards rallying citizens around the goals and targets of the SDGs especially for the purposes of building their capacity and the attitude to ensure compliance with implementation and attainment of targets and goals. ISODEC's perspective was that specific interventions and programs are yet to be made visible to key stakeholders. In this light, activities and programs by the MFWA and other partners like SEND-Ghana on building the capacity of journalists and media houses to affect citizens and civil society as described below are apt.

### **Consultations and Engagements for Implementation**

The awareness and the space for participation in the processes associated with planning and implementing activities, programs and interventions targeted at achieving the SDGs are critical considerations from the perspective of Civil Society, NGOs and all relevant stakeholders. There seems to be a lot of effort that the various stakeholder

groups are organising to support Ghana's successful and efficient implementation of targets and goals to achieve the SDGs. From the perspective of the UN agencies in Ghana, particularly the UNDP, preparatory activities put in place address four major areas of importance for successful implementation, namely advocacy, domestication or mainstreaming, data and resource mobilisation (Interview responses 2016).

The advocacy leg of their effort is targeted at building the capacity of journalists, media houses and practitioners, civil society, and students to become aware of the goals and targets of the SDGs (according to an interview respondent from the UNDP in 2016). For the journalists and media houses, the UNDP is collaborating with other partners like MFWA to train them on how they can report on the SDGs and development in general, and instituting special awards and prizes for journalists and media houses. The program for students mainly concerns an awareness and capacity development initiative through the UN4U program by the UNDP. Mainstreaming or domesticating the SDGs implies the manner of integrating the goals into national plans, policies and programs. To that end, the UNDP collaborates with the NDPC to mainstream or domesticate the SDGs through training and capacity building for public and non-profit actors, and by employing all necessary media to engage in the massive dissemination of the goals.

The case for the UNDP's data support is that Ghana should be able to monitor progress with implementation, and by extension, be able to have clear indicators that guide the country in terms of determining achievement of specific SDG target or even a Goal. The UNDP in particular is working with the GSS on the data-related issues to ensure that appropriate statistics and data is available on targets. The effort is also geared to strengthening the mechanisms for monitoring or reporting. At the end of the day, the government of Ghana would have to report on achievements annually, and that report will form part of a global report that will be submitted by the UN Secretary General as achievements of the Goals so far.

The resource mobilisation in support of government's implementation of the SDGs is to complement government's own efforts in mobilising resources both internally and externally, representing the most important action currently undertaken by the UNDP. It should be pointed out that the UN Resident Coordinator is actually leading on that effort. The UN agencies in Ghana have all identified specific areas where they can help the government of Ghana as far as implementation is concerned, depending on the mandate of the UN agencies. The UNDP, for instance, identifies with about three areas: namely Poverty, Gender as well as Climate Change. As a UNDP official stated in an interview, different agencies within the UN system, such as UNICEF, have all identified different goals of the SDGs and their work will cut across many. The idea is for the agencies to be strategically positioned so that as and when resources come in, they will be able to offer the requisite support to government and other institutions involved with the implementation of specific programs and interventions towards meeting the goals spheres (Interview responses 2016).

## RECOMMENDATIONS AND CONCLUSIONS

In light of the discussions presented above, a number of concluding remarks and recommendations could be discussed as a key response to the questions and objectives relating to Ghana's preparedness. The study revealed that the NDPC as the lead agency coordinating national development planning has initiated various national and subnational level consultations with state institutions, civil society, non-profit and nongovernmental organisations and all relevant stakeholders. These engagements have been useful in assuring confidence among the stakeholders in government and for that matter, in Ghana's readiness to implement the targets and goals in the SDGs.

Furthermore, regarding the ongoing favourable development on Ghana's readiness, it is recommended that the structures be fully and continually utilised in information dissemination, public education, advocacy for support and reporting on progress made in the implementation of the SDG targets and goals. Additionally, there is a need to strengthen and improve the capacity of state agencies like the Parliament and accountability institutions (Audit Service, Accountant General's Department, etc.) and other stakeholder institutions including citizens, civil society groups and media practitioners to be effective in their watchdog roles. In terms of the state institutions (national and subnational), capacity building could be directed towards enhancing the potential to raise the needed financial and material resources to support implementation of planned programs and targets; and also, for their data gathering, management and communication needs for the overall benefit of development planning in Ghana.

The space for participation and levels of consultation are important guideposts for the SDGs implementation processes. The survey concluded that the NDPC, as the lead agency for coordinating activities around the implementation of the SDGs for Ghana, has demonstrated awareness and the benefits of these principles. These benefits are well documented in terms of identifying and sourcing finances for the development process, direct involvement of international NGOs, donors and development partners in rolling out programs and interventions for specific targets; data and information organisation, communication and advocacy support, and technical assistance for capacity development in a critical skill set for the overall success of the implementation.

Similarly, the UN country offices in Ghana (UNDP, UNFPA, as well as UNICEF), CSOs, NGOs, corporate institutions, bilateral and multilateral relations serve as useful targets for the kinds of support enumerated above. What is needed now is to find ways of institutionalising and expanding on these processes so that vulnerable social segments are identified, and conscious efforts are made to seek their opinion. The NDPC can devise ways of including the criteria of participation and consultation in their monitoring and evaluation mechanisms to ensure that all sectors and especially MMDAs are also compliant. Vayrynen (2005) contends that the implementation as well as the monitoring and evaluation of development goals require an effective and

impartial public administration system that faithfully implements the relevant policy decisions. Thus, the new LI for the NDPC (LI 2232) and relevant provisions of both the Local Government Act (Act 462) of 1993 and the NDPC Act (Act 479) of 1994 could be fully employed to ensure compliance from the MMDAs on core issues in development planning and by extension for the implementation of targets for the SDGs (Ghana 1994).

As a final recommendation, accountability and the mechanisms for ensuring that Ghana complies with key deadlines and expectation prescribed in the post-2015 development agenda will be useful in the entire implementation phase in Ghana. It needs to be stressed that despite the voluntary nature of the goals, they offer a useful template to guide national development planning. As a result, national and relevant stakeholders interested in good and effective governance can bring enough pressure to bear on government and the state to ensure compliance with national level structures and frameworks for addressing the development needs of citizens.

In conclusion, it should be mentioned that the activities undertaken to prepare this paper were not without challenges. Significant among the challenges is the issue of access to institutions and their willingness to share information even on the most useful public interest programs that they are undertaking. Thus, delays in getting scheduled interviews with key informants and accessing needed information contributed to the challenges. This has bigger implications for the coordination and collaborative role that is expected from these institutions to ensure successful and effective implementation of the SDGs in Ghana.

The experience of this research in terms of access to information epitomises the culture of institutional silos. Unless policy integration is backed by practical effort, including participatory and learning processes, the likely threat of Ghana missing the opportunity to deliver the SDGs could become real. Given the lessons learnt from Ghana's experience with the implementation of the MDGs and the processes that have informed the development of the 40-year national development framework, political will and leadership can be considered as necessary ingredients to Ghana's success with its development agenda and hence those of the SDGs.

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# CAPACITY BUILDING THROUGH PUBLIC INSTITUTIONS OF HIGHER LEARNING: A CASE STUDY OF NAMIBIA

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## INTRODUCTION

Namibia is situated in the south-western part on the African continent and borders Angola to the north, South Africa to the south, Botswana to the east and the Atlantic Ocean to the west. The Republic of Namibia was the last country in Africa at that time (1990) to gain its independence (Worldometers 2019; UNICEF undated). With a current population of about 2 646 376 million people, Namibia is one of the least densely populated countries in the world; averaging about 2.5 persons per square kilometre (World Population Review 2019). Although the population density is very low, the majority of the population is found in the north-central area along the border shared with Angola. The country has 14 different cultural groups and 22 indigenous languages, with English as the official language (Ethnologue 2018). Agriculture, mining, fishing and tourism are the most important sectors of the economy (Humavindu and Stage 2013). According to the World Bank, Namibia's Gross National Income per capita is US\$ 10 550 (Namibian Dollar / R 150 000), expressed in purchasing power parity (World Bank 2018). The World Bank, therefore, has placed Namibia in the upper-middle income group of countries. However, this fails to take into account the huge disparity in wealth and the ethnic divide which accounts for many of the developmental challenges that some sections of the population face (World Bank 2018).

Since gaining independence in 1990, the Namibian government has achieved visible progress in reducing poverty (The World Bank in Namibia 2019). However, according to the World Bank (2019) more than 50 percent (%) of the Namibian population still lives below the national poverty line. Measured against the international poverty lines of 2011, purchasing power parity (PPP) was U\$1.90 (N\$/R14.00) per person per day and 14.6% of the population was poor in 2018, following a fall from 22.6% in 2009. Namibia is one of the most unequal countries in the world and this slows the pace of poverty reduction. The consumption Gini index declined from 64.6 in 1993/94 to 60.1 in 2004; to 59.5 in 2010, and further to 57.6 in 2015 (World Bank 2019a).

According to the World Bank (2019), Namibia's steady economic growth is limited, which limits its ability effectively deal with the high poverty levels, inequality, and unemployment. Unemployment has remained stubbornly high, at 34.0% of the working population in 2016, from 27.9% in 2014 (World Bank 2019b). Unemployment

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is even higher among women (38.3%) and youth (43.4%). A small part of Namibians benefits from employment income, while the majority rely on subsistence farming or social grants and other transfers (World Bank 2019b). The World Bank (2019a) further forecast that slow economic growth, owing partly to the ongoing fiscal consolidation and the slow recovery of regional trading partners, is expected to impact job creation. In order to deal with the lack of skilled labour within Namibia, following independence the Namibian government embarked on a programme of major investment in higher education in Namibia to build capacity. In this regard, the two public institutions of higher learning embarked on a transformational process to enhance capacity.

The next section briefly describes the development of higher education in Namibia, before and after independence in 1990. The two public universities in Namibia, namely the University of Namibia (UNAM) and the Namibia University of Science and Technology (NUST), originated from the Academy for Tertiary Education, which was in place before independence (Republic of Namibia 1980). In addition to the two public universities currently operating in the country, private higher education institutions also operated in Namibia. However, this article only focusses on the role of the two public institutions of higher education, UNAM and NUST, in capacity building.

## **BRIEF HISTORY OF HIGHER EDUCATION IN NAMIBIA**

In the 1980s, the Academy was established in Windhoek, and was the first higher learning institution in Namibia (Republic of Namibia 1980). The courses offered by the Academy were limited to teacher training and secretarial courses. In 1985, another Act of Parliament (Academy for Tertiary Education Act 9 of 1985) was passed, authorising the Academy to establish a university, a technikon and a college for out-of-school training (COST). The university component offered degrees and diplomas in education, science, nursing, social science and commerce. The Technikon component offered 17 diplomas and various certificate courses. The diplomas and certificates offered included the following disciplines: Agriculture and Nature Conservation, Personnel Management, Public Administration, Cost Accounting, Secretarial Training, and Communication and Legal Training. COST offered 13 certificates in commercial, technical, educational and general qualifications (Keyter 2002).

After gaining independence in March 1990, Namibia's Presidential Commission on Higher Education (known as the Turner Report) recommended that the three institutions established under the umbrella of the Academy for Tertiary Education be abolished, and that two independent institutions of higher learning be created (Keyter 2002). The two institutions of higher learning were the University of Namibia (UNAM) and the Polytechnic of Namibia (PoN). UNAM came into existence in 1992 by virtue of the University of Namibia Act 33 of 1992 (Republic of Namibia 1992). The other two components of the Academy for Tertiary Education; namely the Technikon and COST, remained, and were placed under the oversight of UNAM (Keyter 2002). In 1994, the Polytechnic of Namibia Act 33 of 1994 was passed, by virtue of which the Technikon of

Namibia and COST became the PoN. This Act provided for the gradual phasing out of vocational training courses and gave PoN the mandate to offer degree programmes.

In August 1992, UNAM was established as an independent public institution of higher learning in Namibia (University of Namibia Act of 1992). The first Chancellor of the University of Namibia was the Founding President of Namibia, Dr Sam Nujoma. The position is a nominal one, which means that the Chancellor is not involved in the day-to-day functioning of the institution.

UNAM's vision is "to be a beacon of excellence and innovation in teaching, research and extension service", and its Mission is "To provide quality higher education through teaching, research and advisory services to our customers with the view to produce productive and competitive human resources capable of driving public and private institutions towards a knowledge-based economy, economic growth and improved quality of life" (University of Namibia 2018). To ensure that the university upholds its vision and mission, it guarantees that its operations are guided by the following qualities: professionalism, mutual respect, integrity, transparency, equity and accountability (University of Namibia 2018). Since its establishment in 1992, UNAM has shown exponential growth in student enrolment numbers and its staff complement. Table 1 shows the increase in student enrolment numbers and the staff complement for the period 2011 to 2018 (University of Namibia Annual Reports 2011 to 2018).

**Table 1: Student enrolment, staff complement and graduate output 2011-2018**

UNAM Enrolment	2011	2012	2013	2014	2015	2016	2017	2018
<b>Student Enrolment</b>	16370	16846	17518	19506	21012	25267	25684	28217
<b>Staff: Academic</b>	670	721	758	798	1284	1284	1514	1540
<b>Staff: Administration and Support</b>	587	650	635	680	846	978	923	952

UNAM has expanded the number of faculties to eight; namely, the Faculties of Agriculture and Natural Resources, Economic and Management Sciences, Education, Engineering and Information Technology, Humanities and Social Sciences, Science, Law, and Health Sciences. UNAM offers 44 doctoral degrees, 59 master's degrees, 58 undergraduate degrees, 27 diplomas, six post-graduate degrees and three certificates across the eight faculties (University of Namibia 2018). Five of the faculties are hosted on the main campus in Windhoek (University of Namibia 2019). The Faculty of Agriculture and Natural Resources is located at Neudamm, outside Windhoek, while Engineering and Information Technology is located in Ongwediva in the north of Namibia. The School of Medicine and the School of Pharmacy in the Faculty of Health Sciences are located on the grounds of the Windhoek Central Hospital in Windhoek. UNAM has twelve campuses and seven regional centres across Namibia (University of Namibia 2018). UNAM has expanded by adding schools to its faculties.

In 1999, UNAM joined with the First National Bank (FNB) Foundation and entered into a partnership agreement with the Maastricht School of Management in the Netherlands to offer an Executive Master's in Business Administration (MBA) at the Namibian Business School (NBS) at UNAM. The NBS was established as an independent unit at UNAM in 1999 in response to the needs of the Namibian market (Namibian Business School 2016). NBS's vision is to distinguish the school as a world-class institution and as an African institution at the cutting edge of management education, research, consulting and related services. Its mission is to deliver excellent management education in an African context, to carry out excellent research from an African perspective, and to provide excellent consulting services in Namibia, Africa and beyond (Namibia Business School 2018). To uphold its vision and mission, NBS strives to explicitly maintain the following values: integrity, creativity and excellence (Namibian Business School 2018). Its academic operations fall under the jurisdiction of the Faculty of Economic and Management Sciences, and it offers the following programmes: a Post Graduate Diploma in Business Administration, an MBA in Finance, an MBA in Management Strategy, and a Doctorate in Business Administration (DBA) (Namibian Business School 2018).

In June 2008, after five years of intensive dialogue, groundwork and the establishment of partnerships with various stakeholders, the School of Medicine was established. The curriculum was finalised and approved in 2009 and 2010, and the first 55 students were registered. In 1992, the Department of Nursing was set up and became the School of Nursing in 2010. In 2011, the School of Pharmacy was established. The Schools of Medicine, Nursing and Pharmacy fall under the Faculty of Health Sciences. In 2016, the first medical doctors graduated from UNAM's School of Medicine. The School of Medicine's projection is to establish degree programmes for Dentistry, Medical Laboratory and Rehabilitation Science as from 2011, and postgraduate training from 2015 onwards. UNAM's Senate approved the School of Veterinary Medicine at UNAM in September 2015. The School offers two different degree courses, as well as diploma course in Animal Health. The School of Veterinary Medicine falls under the Faculty of Agriculture and Natural Resources (University of Namibia 2018).

In 2007, the first military academic programme, a Master of Arts in Security and Strategic Studies, was launched at UNAM, and is hosted by the Faculty of Science. In 2011, the Ministry of Defence in Namibia approached UNAM to establish a Bachelor of Science in Military Science (Honours). The Faculty of Science was asked to develop the curriculum for the programme, which led to the establishment of the Department of Military Science. The Senate approved the curriculum for the following programmes: Army, Aeronautical, and Nautical, in August 2013, and the Department of Military Science was established in January 2014. In 2014, the Senate approved the transformation of the Department of Military Science into a School of Military Science under the Faculty of Science.

UNAM's Centre for External Studies (CES) was established to ensure greater access to higher education and equity for students from various educational backgrounds (University of Namibia 2018). Today, distance learning is offered through the Centre for Open, Distance and e-Learning (CODEL). CODEL was established in 2016 through an amalgamation of CES and the Centre for eLearning and interactive Multimedia (CeLIM). The programmes for distance higher learning are offered through its regional/satellite centres in seven towns throughout Namibia (University of Namibia 2019).

In 2010, the four Namibian Teacher Training Colleges merged with the Faculty of Education at UNAM. These colleges are in Windhoek, Ongwediva, Caprivi and Rundu. They offered a three-year Basic Education Teaching Diploma (BETD) as well as specialised training in arts and human movement education. In 2010, the merger was welcomed, and reported as being long overdue (Magadza 2010). The alliance, however, led to a shortage of teachers, because the three-year BETD programme was phased out in 2012 and a new four-year compulsory Bachelor of Education (B.Ed.) degree was introduced at UNAM (Magadza 2010).

The former campus of the Academy of Tertiary Education, in the suburb of Windhoek West, became the Main Campus of the PoN in 1992, and the first rector was appointed on 4 August 1995 (Namibia University of Science and Technology 2018), and still holds office as Vice Chancellor at the NUST until 31 March 2019 (Oliveira 2019). The first meeting of PoN's Council was held on 10 August 1995. This event accelerated and completed the delinking of the two institutions of higher education in December 1995 (Namibia University of Science and Technology 2018). PoN became an independent and autonomous institution in January 1996. PoN held its first graduation ceremony, where the founding President of the Government of Namibia delivered the keynote address on 18 April 1996 (Namibia University of Science and Technology 2018).

At the end of 2012, the Government of Namibia issued many directives to reform the higher education sector in Namibia. The purpose of these directives was to address the goal of human resource development and to uphold Vision 2030 (Office of the President of Namibia 2004). The purpose of Vision 2030 is to transform Namibia to a service-driven economy by 2030. These directives identified the need for PoN to be converted to a university of science and technology, to offer career-focussed and general academic programmes. In early 2015, the then Minister of Education motivated, after national consultation, the transforming of PoN into the NUST (Namwandi 2015).

Some concerns were raised in opposition to the transformation of PoN to NUST during the national consultation meetings as discussed in the Namibian Parliament (Namwandi 2015). These six issues were: firstly, whether NUST would only be a university that offers higher education in science and technology; secondly, whether NUST would be a replica of UNAM. The third concern was whether the establishment of NUST would be in the interests of higher education in Namibia, and the fourth was whether there were realistic plans in place to achieve the aims and objectives and

whether NUST was likely to achieve and maintain the set standards. The fifth concern was whether resources were available to support the transformation of PoN to NUST. The last concern was whether NUST would have the capacity, skills and infrastructure to specialise in science (Namwandi 2015).

The arguments for the transformation of PoN to NUST were that it would strengthen applied research and improve human resources, skills and knowledge in Namibia. According to the motivational speech delivered by the Minister of Higher Education in the National Assembly of Namibia, in support of this transformation, these concerns can be addressed over time as the process of conversion was set for five years (Namwandi 2015).

The governing body of NUST is vested in its Council, which is the supreme policy-making body. NUST became operational in January 2015 and offers the following qualifications: 23 certificates, 21 undergraduate and 2 postgraduate degrees, 22 diplomas, 43 bachelor degrees, 11 professional bachelor degrees, 27 Bachelor Honours degrees, 15 master's degrees and 3 doctoral degrees in ninety programmes, in fields of study ranging from Computer Science and Informatics, Engineering (Civil, Electrical Power, Electronics and Telecom, Mining and Metallurgy, Industrial) and Architecture to Biomedical Sciences, Environmental Health Sciences, Mathematics and Statistics, Communication, English, Criminal Justice, Economics, Accounting, Agriculture, Geomatics, Spatial Science, Land Administration and Property Studies. Since the establishment of PoN, now transformed to NUST, the institution has seen considerable growth in the number of students and staff. Table 2 (below) reflects the number of enrolled students and academic and administrative staff from 2011 to 2018 (Polytechnic of Namibia and Namibia University of Science and Technology, Annual Reports 2011 to 2018).

**Table 2 : Student enrolment and staff complement, NUST: 2011-2018**

<b>PoN / NUST ENROLMENT</b>	<b>2011</b>	<b>2012</b>	<b>2013</b>	<b>2014</b>	<b>2015</b>	<b>2016</b>	<b>2017</b>	<b>2018</b>
<b>Student Enrolment</b>	12965	12965	13130	12946	12 749	12753	11 226	11235
<b>Full-time Academic Staff</b>	345	370	219	3 71	403	437	427	461
<b>Administrative and Support staff</b>	378	375	354	457	415	411	461	464

NUST has expanded to faculties to six since 2015; namely, Computing and Information; Engineering; Health and Applied Sciences; Human Sciences; Management Sciences;

and Natural Resource and Spatial Sciences. The institution offers distance higher learning through the Centre of Open and Life Long Learning (COLL). This distance higher education is provided through ten regional centres situated throughout Namibia (Namibia University of Science and Technology 2018).

In summary, the University of Namibia Act of 1992 states that the aim of UNAM is to offer higher learning and to conduct research, while the Act of NUST states that its objective is to generate and develop knowledge through teaching, and in particular through applied research (Republic of Namibia 2015b). Teaching and research at tertiary level are embedded in the Acts of both Universities. The objectives of both institutions are to achieve and support economic and social advancement through national and international agreements. Furthermore, the two public institutions made a major contribution towards capacity-building within Namibian society by offering courses locally taught by local experts.

### **EVALUATING THE PERFORMANCE OF THE TWO UNIVERSITIES IN BUILDING NAMIBIAN CAPACITY**

Since the independence of Namibia in 1990, a significant percentage of Namibia's national government has been spent on education (Republic of Namibia 2015a). The aim is to eliminate the inequalities caused by a double layer of colonialism; first under the Germans (1885-1915), and then under the apartheid regime of South Africa. Since independence, the Namibian Government has developed National Development Plans (NDPs) to guide and direct Namibia towards growth and economic independence. NDP 1 dated from 1995/1996 to 1999/2000, gave an overview of Namibia and reviewed the progress made during the transitional period after independence, the medium-term goals and targets, national development, labour and employment, and human resource development (National Planning Commission, 1995). In 2001, NDP 2 was implemented for the period from 2001/2002 to 2005/2006. NDP 2 revealed that only 6% of the employees employed had tertiary education and that there was disequilibrium between supply and demand of skilled labour (National Planning Commission 1999).

In 2004, the Government of the Republic of Namibia crafted Vision 2030 (Office of the President 2004) as a policy framework for long-term national development, to reduce imbalances and address the task of restoration and development (Keyter 2002). The aim of Vision 2030 is to improve the quality of life of all Namibians and to be on par with their counterparts in the developed world. The seventh objective of Vision 2030 (Office of the President 2004: 41) is "to accomplish the transformation of Namibia into a knowledge-based highly competitive, industrialised and eco-friendly nation, with sustainable economic growth and a high quality of life". Ensuring that Namibia becomes a knowledge-based economy places considerable responsibility on the education system, and in particular, on public institutions of higher learning. The provision of appropriate education at all levels was established as a strategy, and both NDP 3 and NDP 4 were developed based on the objectives of Vision 2030 (National Planning Commission 2007 and National Planning Commission 2012).

Thus, promotion of education should be a central priority to ensure the success of all government efforts to drive Namibia to achieve developed country status.

According to NDP 3, which covered the period from 2007/2008 to 2011/2012 (National Planning Commission 2007: 175), the following constraints regarding higher learning in Namibia were identified: “minimal co-operation is taking place between institutions of higher learning and industry; lack of a central platform to coordinate research; undersupply of adequate level of scientists, and a shortage of innovation capacity in Namibia”. According to the Ministry of Trade and Industry, 95 % of patents were registered by South Africans and only 5% by Namibians.

The fact that the Namibian education system performs below international standards was highlighted in NDP 4, which covered the period from 2012/2013 to 2016/2017 (National Planning Commission Namibia 2012: 45). These concerns were shared by the President, the Prime Minister and the Minister of Education in Namibia. The three areas that contribute to the underperformance of the education system can be attributed to the quality of education, the lack of infrastructure and the lack of Information Technology at primary, secondary and higher education. The lack of quality graduates produced by higher learning institutions and public institutions of higher learning, in particular, hampers Namibia from achieving the aims set out in Vision 2030 (National Planning Commission 2012).

The lack of skilled labour from institutions of higher learning and public institutions into the Namibian labour market has been a challenge that needs to be addressed, owing to the imbalance of supply and demand of skilled labour since 2001 (National Planning Commission 2012). Another concern is that Research and Development (R&D) that has not yet been sufficient to drive the country to economic independence. The Government of Namibia spent only 0.3% of its Gross Domestic Product (GDP) on R&D by the end of 2017 (National Planning Commission 2017).

In order to supplement Vision 2030 and the NDPs, the Government of Namibia crafted the Harambee Prosperity Plan (HPP) and launched the HPP in 2016, for the 2016/17 to 2019/20 period (Office of the President 2016). The primary purpose of this Plan is to set action and plans to fast-track development in priority areas, taking into consideration the dynamic environment in which government and industry operate. The HPP is based on five supporting principles; namely, effective governance, economic advancement, social progression, infrastructure development, and international relations and cooperation. Effective governance, as one pillar of the HPP, addresses two explicit areas of governance, namely accountability and transparency and improved performance and service delivery (Office of the President 2016). As indicated in the Harambee Prosperity Plan (HPP) for 2016, Transparency International ranked Namibia fourth out of 54 countries in Africa in terms of transparency (Office of the President 2016). The Mo Ibrahim Sub-indexes access to the delivery of goods and services and policy outcomes across 54 African countries. The Mo Ibrahim Foundation describes governance as the provision of the political, social and economic public goods and services that

every nation is entitled to from their government, and notes that a government has the responsibility to deliver it to its nationals. The Foundation measures a country's performance in regard to governance through four key components, namely, safety and the rule of law; participation and human rights; sustainable economic opportunity and human development. Each of these components has sub-components with various indicators that are measurable measures of governance. In total, the Mo Ibrahim Index consists of one hundred (100) indicators. Namibia scored 65 points for accountability according to the Mo-Ibrahim Sub Index (Mo Ibrahim Foundation 2015). However, this rating is not endorsed by the HPP, since the government has been criticised for poor service delivery and a lack of transparency (Office of the President 2016).

The development of higher education in Namibia is a central priority to ensure the success of all the efforts of the Government of Namibia to steer the country towards the achievement of developed country status. One of the sectors that plays a crucial role in ensuring Vision 2030 is realised is higher education (Office of the President 2004). The move towards globalisation, improvements in technology, the changing workforce and the changing expectations and values of employees and customers create more challenges for the two universities. The lack of skilled and quality labour entering the Namibian labour market from institutions of higher learning and public institutions has been a challenge that needs to be addressed owing to the disequilibrium of supply and demand of skilled labour since 2001 (National Planning Commission 2012). Another concern is that R&D that has not yet been sufficient to drive the country to achieve economic independence.

In 2017, NDP 5 was launched for the 2017/18 to 2021/22 period (National Planning Commission 2017). The NDP 5 highlights the lack of quality and applicability of higher learning to employers in the private sector and to the Government of Namibia as the largest employer of Namibians. When combined with the scarcity of postgraduate studies and the failure to promote research and development since NDP 5, the entire Namibian labour market may fail to contribute to the realisation of Vision 2030 to benefit all Namibians. NDP 5 further identifies the many inequalities of access to higher learning, which are based on social class, geographic location, marginalised groups and those with special needs and disabilities. Higher learning institutions enrol around 19% of Grade 12 candidates. A student from a rural area has a much lower rate of enrolment in higher learning institutions. The higher learning completion rate is at 50%, according to NDP 5. High drop-out rates and low graduation rates lead to wasted investment. Access and drop-out rates are often linked to the limited funding available to students and the lack of student support systems (NDP 5).

Furthermore, there is limited infrastructure for quality teaching, research and innovation; including limited access to broadband. There are weak linkages with the Namibian labour market, including industry, impacting negatively on the relevance of training programmes and employability. NDP 5 also highlights that the completion rate for qualifications is low (50%), and student drop-out rates at tertiary education are

high. NDP 5 attributed the situation to limited funding, lack of student support, and inadequate infrastructure to promote research on quality teaching and innovation. Moreover, there are low levels of collaboration and interaction between the two universities and industry. These low levels of collaboration reveal the gap between the employment opportunities available in Namibia and the programmes offered at these public higher learning institutions. This is of major concern; particularly since the Namibia Student Financial Assistance Fund (NSFAF) provides funding for students to embark on tertiary education (Namibia Student Financial Assistance Fund 2017). In addition, the Government of Namibia provides free primary and secondary education at all Namibian government schools (Education Act 14 of 2017). All of this costs Namibia a large share of its national education budget. From the launch of NDP 2 until the launch of NDP 5, it seems that research, teaching, innovation and collaboration between industry and institutions of higher learning are not yet satisfactorily addressed in a way that promotes capacity building in all sectors of the Namibian economy. It is evident that the concerns raised since the launched of NDP 2 still remain. Taking into consideration that Namibia is only 11 years away from the end date for Vision 2030, it is worrisome that these challenges have not yet been appropriately addressed.

The development of education, and in particular higher education in Namibia is a central priority to ensure the success of all the efforts of the Government to steer Namibia towards developed country status. Vision 2030 can only be achieved successfully if education (and specifically higher education) is steered in such a manner that it leads to efficacy and the building of relevant and needed human capacity for both the public and private sectors (Office of the President 2004). This article has focussed on the two public institutions of higher learning in Namibia, namely UNAM and NUST, in order to assess why some of the objectives set for higher learning, as set out in NDPs 2, 3, 4 and 5, have not been achieved.

## **SUMMATIVE REMARKS**

In 1980, the Academy for Tertiary Education—the first higher learning institution in Namibia—was established. Five years later the Academy for Tertiary Education was divided into a technikon, a college for out-of-school training (COST) and a university. At independence in 1990, the Report on Higher Education (Turner Report) recommended that two independent institutions of higher learning be established. However, only the University of Namibia was established in 1992 by an Act of parliament, while the other two components were placed under the oversight of UNAM. In 1994, PON was established, and the technikon and COST components were placed under the umbrella of PoN. In 2015, PoN was transformed to NUST.

These two relatively young institutions of higher learning have made significant progress in expansion and development, but NDPs 2 through 5 still highlight the same concerns regarding higher education in Namibia. These two public institutions of higher learning have shown exponential growth regarding increased numbers of

students and staff and other developments such as the introduction of new degree programmes and the establishment of additional faculties. However, considering that UNAM and NUST receive a significant share of the national budget, they do not live up to the expectations and aims of the government as set out in the National Documents of Namibia (NDP 2 to NDP 5, Vision 2030 and the HPP).

The mandates of both UNAM and NUST are to support economic and social development through relevant professional and career-focussed higher education, with an emphasis on industry involvement. The question remains as to why these two public institutions have not yet been able to meet the mandates and expectations vested in them to drive Namibia to be a service-driven economy with Vision 2030, which is only eleven years from supposed realisation.

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# THE IMPACT OF ORGANISATIONAL CHANGE ON EMPLOYEE JOB SATISFACTION AT THE NATIONAL SCHOOL OF GOVERNMENT

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## INTRODUCTION

Organisations are increasingly having to manage and deal with rapid changes in technology, challenges to strategic capability and emerging trends regarding the way in which employees, stakeholders and customers communicate and wish to engage with each other. This, coupled with increasing market and competitor demands, suggests that the need for organisational change is indeed an ongoing, unavoidable and necessary process (Shah, Irani and Sharif 2017: 366). The workplace today is therefore characterised by the frequent organisational change that accompanies business growth, innovation, globalisation, complex regulations, competition and evolving consumer tastes (Pasmore 2011: 260).

Organisational change has become a significant part of work life, with changes being required not only on an organisational level but also on a personal employee level. Organisational changes such as restructuring and mergers can result in higher levels of demand and job stressors such as uncertainty about how the change will affect employees' positions, role ambiguity and increased workload, which have the potential to affect employee performance (Rafferty and Griffin 2006; Puleo 2011; Smollan 2015).

The dominant focus of change and how it is managed within organisations remains at the level of employee engagement; that is, who, in terms of adopting change, may develop positive or negative attitudes, beliefs and intentions towards the organisation as change is implemented (Shah et al. 2017: 366). Even though organisational change may be unavoidable, negative employee outcomes from change are preventable. Positive work environments that are supportive and provide autonomy may be associated with more positive employee outcomes and buffer negative outcomes resulting from change (Day, Crown and Ivany 2017: 4).

There is insufficient research examining the adaptability of change and how this variable affects employee job satisfaction and organisational performance. Despite the implementation of a number of transformation or change plans by public sector organisations, studies on organisational change are still lacking (Balogun and Johnson 2004; Elias 2009; Walker, Armenakis and Bernerth 2007). It is therefore apparent that the impact of organisational change on employee job satisfaction in the public sector is an under-researched area. As a result, this important gap is the focus area of the study reported on in this article. The purpose of this article is to determine the impact that organisational change had on employee job satisfaction at the National

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School of Government (NSG), and to determine whether there is an empirically provable relationship between these two variables. Although this study comes to certain conclusions in the case of the NSG and may contribute to our understanding of organisational change and employee job satisfaction, further research in other public sector organisations is encouraged, as this would certainly add to the body of knowledge on this important topic.

## **BACKGROUND**

The NSG is established in terms of the Public Service Act, 1994 (as amended), with a legal mandate to provide or facilitate the provision of training in the public service. The school was officially launched by the Minister of Public Service and Administration on 21 October 2013. The launch date was in line with the Presidential Proclamation (No. 46 of 2013) signed by the President of the Republic of South Africa to amend the Public Service Act by renaming the Public Administration Leadership and Management Academy (PALAMA) to NSG (NSG 2018: 2).

According to the information contained in the strategic report (NSG 2018: 7), the mandate of the NSG, in line with the National Development Plan (NDP) and the attributes of a developmental state, gives impetus to building a common service ethos and a competent public service, link training and development to national development goals, and focus training on improving work performance and service delivery. The NSG is legislatively mandated to provide training or facilitate the provision of training in the public service (NSG 2018: 7). The NSG was informed by the idea to increase the relevance of training to government needs, increase the relevance of a developmental agenda, and introduce on-board trainers, therefore taking charge of the training agenda of the public sector (McLennan and Orkin 2009: 1041).

Over the past few years, the NSG has undergone a number of transformational changes; both in leadership and structure. The school was initially known as SAMDI, then it changed to PALAMA and finally to the NSG. Prior to 1994, there was a Public Service Training Institute (PSTI), which was formerly the sole provider of in-service training for public servants (Franks 2015: 243). In 1993, as part of early transformative indications, the PSTI was transformed into the South African Management Development Institute (SAMDI) still under the auspices of the Public Service Commission (Franks 2015: 243). However, SAMDI underwent a plethora of changes to be relevant to the evolving public administration under democracy. SAMDI became a fully-fledged national department, classified as schedule 1, approximately five years into democracy (McLennan & Orkin 2009: 1030). With the growth of the public service in terms of numbers and policy imperatives, SAMDI was not providing adequate training (Franks 2015: 243).

The transformation initiatives led to SAMDI being reconstituted as an academy and renamed PALAMA in 2008. As PALAMA, its thrust was to reach more public servants

in all spheres of government by means of a 'massification' approach. According to McLennan & Orkin (2009: 1041), government sought to reverse SAMDI's poor quality training by providing a partnership-oriented model of training through collaboration with universities, high quality materials, pertinent curricula, professional training provision, and the development of service providers. In theory, the PALAMA approach was informed by the New Public Management (NPM) school of thought, which emphasised private sector approaches in the public sector with a conspicuous outsourcing of services.

In 2011, a major organisational change took place during the PALAMA era. The process involved reconfiguring the structure of the organisation in order to align the skills of employees to the needs of the organisation. It was intended to assist the organisation in the achievement of its strategic goals; however, employees, were not consulted about the impending change and essentially viewed it in a negative light. As a result, employees in the organisation subsequently nicknamed this change process "the lightning strike" due to the sudden and drastic changes it brought. Employees were moved from their posts to other posts within the organisation as per their qualifications. This left a lot of employees unhappy, disgruntled and very demotivated. Even today, employees are still reflecting over this difficult time of their careers (NSG 2017).

Over the past seven years, PALAMA and the NSG have had six ministers with three Heads of Department, earlier referred to as Directors General, but who, since the creation of the NSG, are known as Principals. All these changes in leadership have caused a shift in the structure and form of the organisation; however, the mandate of the department has remained the same. It is against this background that the study is carried out, to determine the impact of change on employee job satisfaction at the NSG. The purpose of this study is to examine the impact of organisational change on employee job satisfaction. This knowledge advances our theoretical understanding of employees' reactions to work-related change and improves our ability to offer recommendations to practitioners seeking to improve employee job satisfaction and the implementation of organisational change.

## **Organisational Change**

Organisational change is defined as an attempt or series of attempts to modify an organisation's structure, goals, technology or work tasks (Carnall 1986; Yousef, 2016). Various studies indicate that change is inevitable due to both anticipated and unforeseen pressures that can push organisations to take remedial action in the form of alteration, modification or variation in its structures, policies, strategies, approaches or culture. It is increasingly a feature of organisational life that may be planned or unplanned but is associated with conversion or movement from one point to another (Barnett and Carroll 1995; Conway and Monks 2008; Raineri 2011).

A number of studies indicate that organisational change in the context of a volatile, uncertain, complex and ambiguous global context is inevitable and likely to take place. The manner in which organisations engage with their employees and stakeholders will then ultimately determine the extent and successful outcome of the change required. The level of attitudinal and behavioural engagement of employees in support of organisational change programmes is therefore critical to successful change (Abidi and Joshi 2015; Shah, *et al.* 2017).

Uncertainty is a commonly experienced state during organisational change; consequently, frequent and poorly planned changes lead to greater levels of change related-uncertainty. Empirical evidence indicates that uncertainty is negatively associated with many organisational attitudes, including job satisfaction, commitment and trust in the organisation (Hui and Lee 2000; Pollard 2001; Bordia, *et al.* 2004; Rafferty and Griffin 2006).

Studies indicate that many change projects fail because of an underestimation of the central role of employees in the change process (Shah, *et al.* 2017: 367). According to Cullen, Edwards, Casper and Gue (2014), the uncertainty associated with change can have deleterious effects on employees' work experience, including their attitudes and performance. Although organisational actions, such as change-related communication, influence the success of workplace change, still individuals' perceptions of the work environment and predispositions are critical to understanding how employees perceive organisational actions that influence their job attitudes and performance. However, the impact of this may be on the organisation, the employees or the business (Cullen, Edwards, Casper and Gue 2014).

Organisations frequently experience resistance to change because employees fear the loss of jobs, dislike the de-skilling of their jobs due to technological change, or experience anxiety about learning to use new technology. Understanding how this change-related uncertainty affects other important outcomes such as satisfaction and performance is therefore a crucial first step in combatting resistance and coping with change (Cullen, *et al.* 2014: 272). Based on the information above, it is against this backdrop that the study is undertaken to determine the impact of organisational change on employee job satisfaction at the NSG.

### **Employee Job Satisfaction**

Although there are numerous definitions of the concept of job satisfaction (as it is a complex and widely researched phenomenon), for the purpose of this study, job satisfaction can be defined as individuals' overall feeling about their job and the attitudes they have towards various aspects or facets of their job, as well as an attitude and perception that could consequently influence the degree of fit between the individual and the organisation (Ivancevich & Matteson 2002; Lumley, Coetzee, Tladinyane and Ferreira 2011).

Authors such as Locke (1976), Leap & Crino (1993), and Robbins (2003) define job satisfaction as a positive or pleasant emotional state resulting from a person's appreciation of his/her own job or experience. Job satisfaction is seen as the attitude of workers toward their job, the rewards that they get and the social, organisational and physical characteristics of the environment in which they perform their work activities. Job satisfaction is deemed a pleasurable or positive emotional state resulting from the appraisal of one's job or job experiences. In other words, job satisfaction represents an effective response to specific aspects of the job (Buchko, Weinzimmer and Sergejev 1998, Vandenabeele 2009).

Employee job satisfaction relates to how individuals think and feel about their jobs, because it can impact on quality of life and overall happiness (Frey and Stutzer 2010, Alegre, *et al.* 2016). Job satisfaction influences people's attitude towards their jobs; it is affected by personal and organisational factors, which cause an emotional reaction affecting organisational commitment. Therefore, the consequences of job satisfaction include better performance and a reduction in withdrawal and counterproductive behaviours. Since job satisfaction involves employees' emotions, it influences an organisation's well-being with regard to job productivity, employee turnover, absenteeism and life satisfaction (Semape, Rieger and Roodt 2002; Morrison 2008; Spector 2008).

Research indicates that job satisfaction is the result of an individual's perception and evaluation of their job, influenced by their own unique needs, values and expectations, which are regarded as being important. Job satisfaction does not come about in isolation, as it is dependent on organisational variables such as structure, size, pay, working conditions and leadership which represent the organisational climate (Samape, *et al.* 2002). Based on the literature review, it is hypothesised that there is a positive statistically significant relationship between employee job satisfaction and organisational change.

## **METHOD USED IN THE STUDY**

### **Sample and Data Collection**

The population of this study consisted of a total of 229 employees at the NSG. At the time of data collection, the school was undergoing a leadership change process. On 1 August 2018, the head of the school was moved to another government department and immediately replaced by an Acting Principal. As indicated in earlier paragraphs, over the past seven years the NSG has been under the leadership of six ministers and three Directors General, now known as Principal. In 2011 the NSG underwent a major restructuring process, which was termed "the lightning strike": people were moved from their posts to other units; however, no job losses resulted from this change.

The Minnesota Satisfaction Questionnaire (MSQ) was used for this study to measure job satisfaction, however it was reworked and made relevant to the public sector by removing some of the questions and adding a few more. Organisational change was measured using an eight-item instrument. The items that were included were working conditions, communication, organisational structure, policies, skills, training, management support and performance. An electronic version of the questionnaire was loaded on Survey Monkey and emailed to all NSG employees. The questionnaire was administered in English and consisted of 25 closed questions which took ten minutes to complete. Of the 229 distributed questionnaires, 123 responded (54% response rate). However, out of the responses received, 103 were usable and 20 were not fully completed; thereby rendering them unusable.

Participant demographics are presented in Table 1 below. Most respondents were aged below 45 years (73%), while the remaining were aged between 46 and 65 years. With regards to job/salary levels, most employees were in level 6-12 (59%), followed by level 13-14 (18%), level 1-5 (12%), and interns (11%). Half (50%) of the respondents had worked in the organisation for less than 5 years, while the other half (50%) had worked in the organisation for over 5 years, i.e. between 6 and 35 years. Finally, the job status was divided into 10% interns, 11% contract workers and 79% permanent workers.

**Table 1: Demographics of participants**

<b>Characteristics</b>	<b>Freq.</b>	<b>%</b>
<b>Job level</b>		
Intern	11	10.68
Levels 1-5	12	11.65
Levels 6-12	61	59.22
Levels 13-14	19	18.45
<b>Age</b>		
18 - 25 years old	7	6.8
26 - 35 years old	31	30.1
36 - 45 years old	39	37.86
46 - 55 years old	20	19.42
56 - 65 years old	6	5.83

<b>Years of service</b>		
Less than 5 years	51	49.51
6 to 15 years	48	46.6
16 to 25 years	2	1.94
26 to 35 years	2	1.94
<b>Job Status</b>		
Permanent appointment	82	79.61
Contract appointment	11	10.68
Intern	10	9.71

One of the respondents requested not to complete the questionnaire, but to have a qualitative interview with the researcher. The request was granted and the interview was scheduled for 19 October 2018 at 10 am, and lasted 45 minutes. The participant indicated the general opinion of the organisation and, most importantly, of leadership within the organisation. "The NSG as an organisation is a great place to work in, the environment is quite conducive for growth and learning. The building is beautiful, one looks forward to coming to work every day in such an environment and there's a sense of appreciation in working at a place like the NSG. However the biggest issue at hand is the leadership of the organisation and the changes that are constantly taking place with each new leader that comes on board".

The respondent indicated that there is general consensus about a culture of deception within leadership: promises are made but no one ever lives up to these promises. The leadership within the organisation is not to be trusted as they are not forthcoming with information, especially on serious decisions such as the movement of staff from one unit to the other, and changes in leadership for that matter. All this information comes through the grapevine as proper communication channels are not used. There's a bureaucratic mentality; it seems that the leaders keep busy with other things (overseas travel, collaboration with private universities, etc.), which do not lead to meaningful change; and therefore do not focus on important matters such as performance. The end result is non-performance by the organisation, which is indicated by low revenue figures.

There is a culture of not taking responsibility for one's own actions and not attaching oneself to a project which was initiated/championed. Power of one's position is always used; people always do the complete opposite of the decision taken. The main challenges within the organisation are therefore not addressed. There is also a lot of inequality in terms of the workload within the organisation: there are individuals who have more work than others. This leads to resentment of individuals; especially senior managers in support roles, who appear to have it easy within the organisation.

There is no uniformity in the application of policies such as leave and work time among senior managers. There are employees who take leave without any approval and the matter is never addressed; working times are not standard or properly enforced as some employees work longer hours than others. Therefore, there is no consequence management within the organisation.

In summary, the overall opinion is that the NSG as an organisation is a wonderful place to work; however, the main problem is change in leadership, communication, keeping busy with non-relevant matters and the avoidance of real issues, as indicated in the above paragraphs.

### **Measures of Organisational Change and Job Satisfaction**

Organisational change was measured using an eight-item instrument. Examples of the items included are: "I am satisfied with change in the organisational structure"; "there is improvement in employees' skills due to organisational change". A four-point response scale was used, ranging from 1 (strongly agree) to 4 (strongly disagree).

Job satisfaction was measured using 17 items adopted from the MSQ developed by Weiss, Davis, England and Lofquit (1967) as quoted by Yousef (2016: 82) and adapted for this study. Six dimensions of job satisfaction, namely: working conditions, pay, promotion, supervision, co-workers and security were measured. A four-point response scale was used, ranging from 1 (strongly agree) to 4 (strongly disagree).

### **Data Analysis**

Data was collected using Lime-survey and exported to Microsoft (MS) Excel. The dataset was coded using MS Excel's find and replace functions, i.e. strongly agree = 1, agree = 2, disagree = 3, and strongly disagree = 4. Similarly, extremely satisfied = 1, very satisfied = 2, somewhat satisfied = 3, not satisfied = 4.

Data analysis was performed using MS Excel 2013, with the Analysis ToolPak add-on. Descriptive data analysis was done using both the Lime-survey data analysis function (frequencies, percentages) and MS Excel (means, standard deviations, scatterplot). Inferential statistical analysis (correlations as well as linear and logistic regression models) were calculated using Excel's Analysis ToolPak add-on.

## DISCUSSION OF FINDINGS

The results of this study contribute to the theory of knowledge on organisational change and employee job satisfaction. The empirical results of this research provided new insight into the analysis of the impact of change on employee job satisfaction at the NSG.

Figure 1 shows a scatter plot for organisational change and employee job satisfaction. There is a clear positive relationship between organisational change and employee job satisfaction, as indicated by the final results of the study.

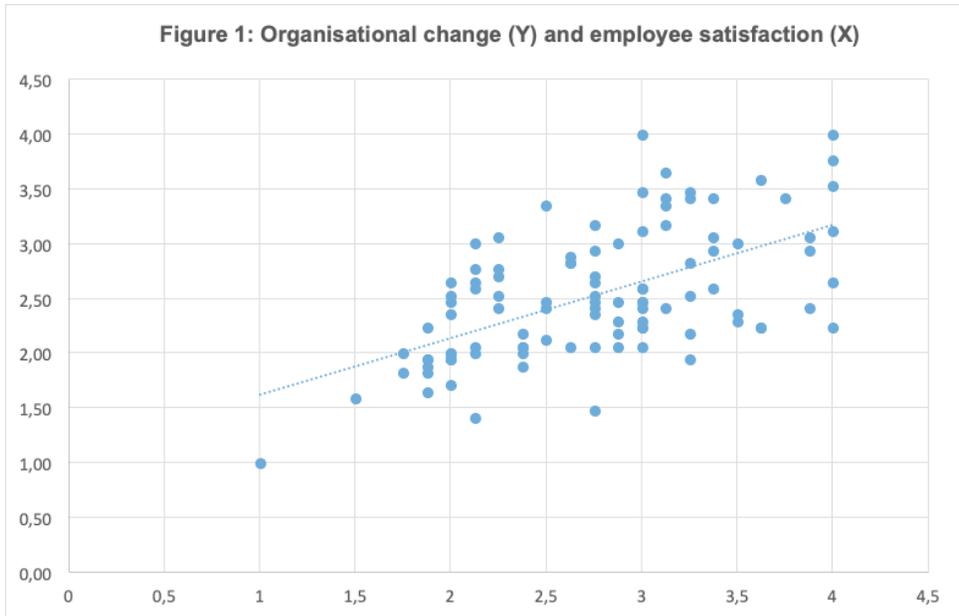


Table 2 below shows the results of a correlation analysis between the variables of interest. There is a significant positive relationship between organisational change and the different factors of employee job satisfaction. Furthermore, there are also significant relationships between most of the different employee job satisfaction factors. Cohen, Cohen, West and Aiken (2003) interpreted the strengths of correlations ( $r$ ) as, small effect for  $r = 0.10 - 0.23$ , moderate effect for  $r = 0.24 - 0.36$  and large effect for  $r \geq 0.37$ .

**Table 2: Correlations between organizational change and employee satisfaction factors**

Correlations between organizational change and employee satisfaction																	
ORGANIZATIONAL CHANGE	keep busy	work alone	different things	supervisor handles	supervisor decisions	contribute o.dev	steady dev/supervise	use abilities	policies practice	amount work	job advancement	views & sugg	work conditions	get along	feedback	accomplishment	
1																	
0,358***	1,000																
0,184	0,651	1,000															
0,373***	0,632	0,497	1,000														
0,356***	0,271	0,360	0,355	1,000													
0,353***	0,273	0,317	0,413	0,908	1,000												
0,553***	0,368	0,325	0,526	0,409	0,488	1,000											
0,476***	0,463	0,317	0,569	0,407	0,449	0,596	1,000										
0,222*	0,306	0,313	0,298	0,261	0,312	0,388	0,381	1,000									
0,345***	0,503	0,444	0,628	0,377	0,405	0,528	0,566	0,489	1,000								
0,680***	0,257	0,143	0,407	0,362	0,386	0,542	0,544	0,337	0,497	1,000							
0,200*	0,351	0,268	0,237	0,224	0,223	0,147	0,253	0,305	0,284	0,176	1,000						
0,490***	0,379	0,244	0,386	0,353	0,357	0,380	0,490	0,329	0,463	0,603	0,391	1,000					
0,467***	0,211	0,222	0,502	0,584	0,568	0,533	0,404	0,274	0,406	0,454	0,305	0,468	1,000				
0,364***	0,224	0,239	0,381	0,521	0,526	0,462	0,297	0,285	0,310	0,367	0,308	0,342	0,593	1,000			
0,399***	0,232	0,262	0,337	0,364	0,358	0,442	0,361	0,120	0,360	0,452	0,074	0,337	0,445	0,377	1,000		
0,369***	0,230	0,310	0,419	0,552	0,530	0,443	0,465	0,193	0,410	0,467	0,187	0,407	0,539	0,460	0,509	1,000	
0,383***	0,524	0,440	0,655	0,442	0,424	0,425	0,542	0,412	0,673	0,507	0,327	0,546	0,556	0,480	0,436	0,641	1,000
***																	
p<0.001																	
**																	
*																	

## Linear and Logistic Regression Model

This model is significant at 5% significance level, as explained by the F-statistic of the linear fit versus the constant model is 52, 34 with a  $p$ -value of 9, 24173383069415E-11. The R-squared value of 0.341 means that the model explains about 34% of the variability in the response. There might be other predictor (explanatory) variables that are not included in the current model. This means that organisational change has a positive impact on employee job satisfaction. However, it is also important to note that employee job satisfaction is influenced by other factors that are not part of this study.

Overall, the results of a linear and logistic regression model (Table 3) showed that there is a statistically significant positive association between organisational change and employee job satisfaction, which means that there is a relationship between employee job satisfaction and organisational change. The findings of the study, to a large extent, support the hypothesis that there is a positive statistically significant relationship between employee job satisfaction and organisational change.

**Table 3: Results of linear and logistic regression model, influence of organisational change on employee job satisfaction (N = 103)**

	Standardised Coefficients		t	95.0% Confidence Interval for B		
	B	SE		$p$	Lower Bound	Upper Bound
(Constant)	1.078	0.237	4.565	.000	0.611	1.549
Employee satisfaction	.660	.091	7.235	.000	.479	.841

$R^2=0.341$ ;  $p=0.000$ ;  $F=52,348$ ,  $p=0.000$

The results of the study indicate that participants were generally satisfied with their work for the NSG. Almost all dimensions of job satisfaction, namely: working conditions, co-workers and security, had a positive statistical relationship with organisational change. Therefore, employees of the NSG were satisfied and had a high percentage of job satisfaction, as evidenced by the dimensions of job satisfaction that were measured. If employees are satisfied with these facets of the job, they will have a greater sense of belonging and will therefore be less anxious about change. It can be interpreted that employees of NSG are satisfied with working for the organisation and have adopted the mode of accepting changes that happen within the organisation; that is, if these changes do not affect or impact them personally, as evidenced by Table 4 below.

The only dimensions that had a lower statistical level were pay (“my salary level and the amount of work I do”: only 27.18% were satisfied with the statement), promotion (“the chances for advancement on this job”: only 32.04% were satisfied) and supervision (the chance to supervise people, only 39.81% were satisfied). Pay and promotion are considered by most employees as the most important facets of their job. Satisfaction with these facets of the job usually motivates employees to continue with their current organisation; therefore, NSG management will need to look closely at these two facets as they might demotivate employees and lead to lower job satisfaction. For future research, the same study should be undertaken and the leadership dimension should be added to determine the impact of leadership on organisational change and employee job satisfaction.

**Table 4: Frequency Analysis**

Characteristics	Agree N (%)	Disagree N (%)
<b>Organisational change</b>		
I am satisfied with the change in the working environment of the organisation	58 (56,31)	45 (43,69)
I am satisfied with change in the organisational structure	45 (43,69)	58 (56,31)
Change plans are timeously communicated to employees	29 (28,15)	74 (71,85)
Proper training is provided to employees for the implementation of change	36 (34,95)	67 (65,05)
While implementing change, the employer provides support to employees	37 (35,92)	66 (64,08)
There is improvement in the employees’ skills due to organisational change	46 (44,66)	57 (55,34)
Performance of employees is improving due to change in organisational plans and policies	40 (38,83)	63 (61,17)
Management participates positively in the change process and boosts the morale of employees	30 (29,12)	73 (70,88)
<b>Employee satisfaction</b>		
Being able to keep busy all the time	75 (72,81)	28 (27,19)
The chance to work alone on the job	68 (66,02)	35 (33,98)
The chance to do different things from time to time	63 (61,17)	40 (38,83)

Characteristics	Agree N (%)	Disagree N (%)
The way my supervisor handles his/her workers	60 (58.25)	43 (41.75)
The competence of my supervisor in making decisions	59 (57.28)	44 (42.72)
Being able to contribute to organisational development as part of a team	56 (54.37)	47 (45.63)
The way my job provides for steady development	54 (52.43)	49 (47.57)
The chance to supervise people	41 (39.81)	62 (60.19)
The chance to do something that makes use of my abilities	59 (57.28)	44 (42.72)
The way in which organisational policies are put into practice	33 (32.04)	70 (67.96)
My salary level and the amount of work I do	28 (27.18)	75 (72.82)
The chances for advancement in this job	33 (32.04)	70 (67.96)
My views and suggestions are respected	44 (42.71)	59 (57.29)
The working conditions	64 (62.14)	39 (37.86)
The way my co-workers get along with each other	61 (59.22)	42 (40.78)
The feedback I get for doing a good job	61 (59.22)	42 (40.78)
The feeling of accomplishment I get from the job	63 (61.16)	40 (38.84)

According to Cullen (2014: 270), organisations expect employees to maintain positive job attitudes and high levels of performance by learning new skills and procedures. This is particularly true for technology-dependent industries, where frequent changes in soft-hardware and automation require continuous learning. However, the same cannot be said about the NSG. This is evidenced by the results of the study, where only 34, 95% of respondents agreed with the statement: "Proper training is provided to employees for the implementation of change".

The literature indicates that the development of a positive impression regarding the support employees receive from their organisation will lead to positive outcomes for both employees and the organisation. When employees perceive strong organisational support, their socio-emotional needs are met and they are likely to report more positive job attitudes, including job satisfaction (Cullen, *et al.* 2014: 270). This statement was not supported by the findings of this study, whereby only 35, or 92% of respondents agreed that "while implementing change, the employer provides support to employees" and over 70% of respondents did not agree that "management participates positively in the change process and boosts the morale of employees".

## CONCLUSION

The study focussed on investigating the relationship between employee job satisfaction and organisational change, as well as the dimensions it has within the context of the NSG. Research conducted on employee behaviour during a period of change revealed that organisational support is beneficial as it gives rise to higher performance, organisational identification among employees, and strong commitment to the organisation. This will make employees more obligated to achieve the objectives of the organisation (Eisenberger *et al.* 2001; Rhoades and Eisenberger 2002; Samah 2018). Overall, employees of the NSG experienced a reasonably high level of job satisfaction and a moderate level of acceptance of change.

This study has a number of implications for academics and practitioners alike. As for academics, the study will enhance their understanding of the relationships between various dimensions of organisational change and employee job satisfaction in a public sector work environment; focussing on the NSG. This study will also serve as a base for more analytical and comprehensive future studies to be undertaken. The results may add knowledge to the body of literature on organisational change and employee job satisfaction. However, the results should not be generalised to other public sector organisations, as the study was only done at the NSG and might not give a true representation of the potential impact of organisational change on employee job satisfaction in other public sector organisations.

For practitioners such as HR managers, understanding the relationship among the constructs will help them make better decisions pertaining to improving satisfaction with aspects of the job that have low satisfaction, strengthening employees' organisational commitment, and stimulating employees' acceptance of organisational change. Therefore, gaining employee acceptance of and support for change requires that attention be given to enhancing employee job satisfaction with certain facets (such as pay and promotion) of the job, and in turn improving their levels of commitment to the organisation. Improving job satisfaction through, for example, designing effective and efficient reward programmes and job descriptions, might result in enhancing the employees' commitment to their organisation. Consequently, they might be more receptive and supportive of change.

From the results of this study, it is evident that various options for further research exist. Adding the leadership dimension to an expanded investigation based on this study could be valuable in indicating how it influences the relationship between organisational change and employee job satisfaction. It would be valuable to also include the role of certain demographics (such as age, gender and education) in the relationship between the two constructs in a further investigation. In addition, a longitudinal study that captures the dynamic nature of employee job satisfaction and attitudes toward organisational change could be of much interest for enhanced understanding of this focus area.

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# THE NAMIBIA INSTITUTE OF PUBLIC ADMINISTRATION AND MANAGEMENT: A CASE STUDY ON LEARNING GOVERNANCE

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## INTRODUCTION AND OVERVIEW

This article focuses on the Namibia Institute of Public Administration and Management (NIPAM), a government Management Development Institute (MDI), and applies the ALO Model of Learning Governance. This model emanated from research for a doctoral dissertation on the current governance, public sector management and leadership development challenges in Namibia between 2010 and 2017, since NIPAM's inception (Maritz 2018).

There is a paucity of information on an appropriate MDI model for African governments and an even smaller record of successful MDIs on the continent. A literature review on MDIs illustrates that the study of management and leadership development has become important, if not critical, to advancing the good governance agenda. In addition, several authors concur that the adoption of the one-size-fits-all approach needs to be revisited in view of various contexts and challenges unique to particular countries (Ogiogio and Ongile 2002:86; Ayeni 2014:2).

The need to develop a model applicable to the Namibian context takes into account the importance of international recognition for all MDIs to adopt common training standards for the public sector (Kolishnichenko 2005:2) as well as to address general challenges on accreditation (Commonwealth Foundation 2014:5; McFarland and Kang 2013:24). Although considerable efforts have been made to improve knowledge, skills and attitudes through the establishment of the Namibian Management Development Institute, there appears to be a gap between the abilities and the process of developing managers from the public sector, on the one hand, and what is required from them to advance and implement economic reform, on the other. Limited resources, inadequate means and ideological restrictions are just some of the factors that describe the present situation in terms of training.

## THE NAMIBIA INSTITUTE OF PUBLIC ADMINISTRATION AND MANAGEMENT: HISTORICAL FOUNDATIONS, CREATION AND EVOLUTION

The idea of a government training institute had its beginnings during the first Cabinet retreat of a newly independent Namibia in 2000. The institute was intended to be a well-positioned, integrated, dedicated training provider to government, offering

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work-based training and practical toolkits to its clients to support policy formulation and implementation (OPM 2000:9). In September 2005, the Cabinet by Decision No. 21st/20.09.05/003 approved the creation of the institute alongside a policy framework. The Cabinet also approved the proposal for the construction of a NIPAM dedicated infrastructure. The subsequent Cabinet Decision No. 14th/29.07.08/004 authorised the Office of the Prime Minister (OPM) to draft a NIPAM Layman's Bill based on the NIPAM Policy Framework (OPM 2009:1). On 23 June 2010, the NIPAM Bill was finalised, passed by Parliament, signed by the President and gazetted on 14 July 2010.

Under the NIPAM Act, the Institute is set up as a Management Development Institute (MDI). It is defined as a public sector statutory body as well as a dedicated institute for public sector training, operational research, capacity evaluation and consultancy. In accordance with the NIPAM Act, NIPAM's main objectives are largely to provide training, undertake consultancy and research, such as capacity evaluation studies, and to establish a think tank for the Namibian public sector (Republic of Namibia 2010:4).

The construction of the NIPAM infrastructure phase one started in January 2008 with 100% financial support from the Government at a cost of 40 million Namibian Dollars (Sasman 2011:4). The construction was completed in January 2010, coinciding with the passing of the NIPAM Act. Exactly a year later, on 25 February 2011, the President officially opened the building and NIPAM (Pohamba 2011; NIPAM 2013:9). The government's intention has always been to set up NIPAM as a state-owned institution to ensure that it is more or less detached and relatively autonomous from government, which would prove key to its responsiveness, dynamism and relevance (OPM 2000:4). However, in terms of institutional arrangements, NIPAM resorts to and is funded under the OPM. While effectively still seen as part of central government, OPM is still in essence also the commissioner of the programmes that NIPAM offers. While NIPAM currently has a separate financial and management framework, this issue has an important undercurrent running throughout as it speaks to its sustainability and funding model.

## **GOVERNANCE, LEADERSHIP AND INSTITUTIONAL ARRANGEMENTS**

The governance of the institute is pillared on a number of instruments. The NIPAM Act (Act No. 10 of 2010) establishes NIPAM as a juristic person and a state-owned enterprise (SOE). It is governed by the State-owned Enterprises Governance Act, 2006 (Act No. 2 of 2006) as amended; the Governing Council Charter; relevant and applicable provisions of the NamCode (Deloitte 2016); the King IV Code on the benefits of corporate governance (King 2016); and the NIPAM Policy Framework 2008-2013 (OPM 2009:1). In addition to the above legislative framework, the key role players involved in the institute governance consist of the Governing Council (GC), Committees of Council, the Training and Development Board (TDB) and the Executive Director (ED). The GC of the NIPAM is constituted in terms of the NIPAM Act with members appointed for a period of three years under Sections 14 and 15 of the State-owned Enterprise Governance Act and Section 7 of the NIPAM Act (Republic of Namibia 2010:12).

In terms of Section 8 of the NIPAM Act, the GC is charged with, amongst others, the following: developing the policy framework of the institution; approving its Strategic and Annual Business Plans along with the annual budget(s), annual reports, including financial statements and accounts; approving capital projects and infrastructure; approving the structure and positions; and appointing, suspending or discharging NIPAM administrative staff, trainers, specialists or consultants (Republic of Namibia 2010:8). Section 16 of the NIPAM Act, 2010 provides for the composition of the Training and Development Board (TDB), which prescribes the nomination of persons for appointment as members of the TDB to institutions. According to Section 16 (2) (c), members of the Council appointed in terms of Section 7 (2) (i) are automatically members of the TDB, while Section 16 (2) (a) and (b) of the NIPAM Act, 2010 appoints the ED as the Chairperson and the Deputy ED as the Vice Chairperson of the TDB.

In terms of the TDB role and functions, Section 16 of the NIPAM Act, 2010 spells out the organisation and superintendence of capacity development interventions, training programmes, courses, instructions, curricula, assessment, award of qualifications, accreditation, research and consultancy activities vested in the TDB. As NIPAM's chief executive, the functions of the Executive Director include, amongst others: policy issues; coordination; monitoring and evaluation; external and international relations such as the identification and advancement of technical assistance with development partners and technical agreements; lobbying and advocacy; and, finally, the management of NIPAM's relations with its stakeholders. The ED is also responsible for ensuring that decisions taken by the NIPAM GC are implemented by all business centres and meet the mandate set out by the NIPAM Act. The ED is supported by the Executive Committee (Exco), which consists of six directors responsible for their respective functions.

## **FUNCTIONS, ORGANISATION AND OPERATIONS OF THE INSTITUTE**

The NIPAM Act, 2010 requires that the institute develop a five-year strategic plan and an annual business plan, which is the key instrument for ensuring governance and performance agreements between the OPM and the GC of NIPAM. The strategic plan sets out the vision, mission, objectives and initiatives of NIPAM in line with Vision 2030, the National Development Plans (NDPs), the South West African People's Organisation (SWAPO) Manifesto, the Medium-Term Expenditure Framework (MTEF) and training needs. Additionally, the NIPAM strategic plan provides the roadmap for meeting the strategic objectives and is an instrument for organisational performance management. The strategic plan was to serve as the foundation for the Performance Management System (PMS) at NIPAM. It is the basis for Performance Agreements (PAs) at the business centres. The strategy is then translated into the desired action for NIPAM at the individual/staff level by providing a framework for staff to have a shared vision and a strategic tool for communications and marketing the institute and its services. Finally, the strategic plan identifies the entry points for the transformation of the public service (NIPAM 2013:4).

The vision of the NIPAM is to be “[a] world-class management development institute that catalyses the transformation of the Namibian Public sector into a developmental and entrepreneurial system” (NIPAM 2012:2). The mission statement of NIPAM is as follows: “To transform the Public Sector of Namibia into an efficient, effective and accountable system through capacity development, consulting and research, operational excellence, capacity development evaluation, and strategic partnerships”. The mandate is derived from Section 5 of the NIPAM Act (Republic of Namibia 2010:6).

Government’s expectations are also embedded as key principles, which were adopted during the development of the first strategic plan that ran from 2012 to 2016. In this strategic plan, five strategic themes were identified to meet the vision, mission and mandate of NIPAM. These are capacity development, consultancy and research, operational excellence, capacity development evaluation, and strategic partnerships, which are all captured in Table 1 below.

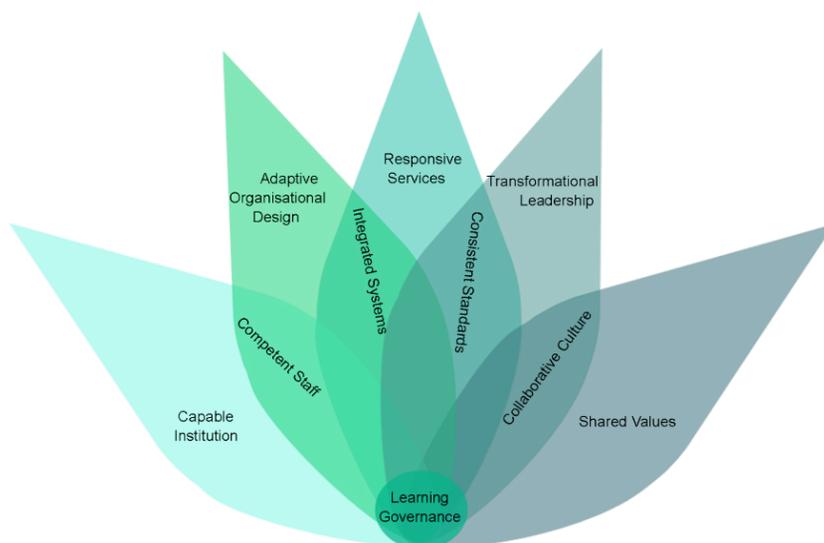
**Table 1: Strategic themes, definitions and objectives of the NIPAM 2012-2016 Strategic Plan**

STRATEGIC THEMES	STRATEGIC OBJECTIVES
Capacity Development	1.1 Provide choice 1.2 Provide appropriate capacity development 1.3 Provide competitive and quality services 1.4 Sustain innovative learning 1.5 Ensure a responsive regulatory framework 1.6 Maintain an updated learning resource centre 1.7 Ensure reliable IT for capacity development
Consultancy and Research	2.1 Enhance knowledge management 2.2 Strengthen policy dialogue and research 2.3 Enhance organisational development 2.4 Maintain a credible resource pool
Operational Excellence	3.1 Improve organisational performance 3.2 Ensure good corporate governance 3.3 Create a conducive learning environment 3.4 Create a conducive working environment 3.5 Develop HR and functional competencies 3.6 Attract and retain experienced and qualified staff 3.7 Ensure prudent financial management 3.8 Ensure long-term financial sustainability 3.9 Ensure compliance to IFRS and other relevant legislation

STRATEGIC THEMES	STRATEGIC OBJECTIVES
Capacity Development Evaluation	4.1 Improve institutional image 4.2 Foster sound strategic partnerships
Strategic Partnerships	5.1 Ensure effectiveness and quality of capacity development interventions 5.2 Ensure effective client relations management

Each of the five strategic themes articulate related initiatives which, in turn, resonate with key performance indicators and outputs assigned to the respective custodians and business centres. In the context of the NIPAM overview, history, institutional arrangements and strategic themes provided in its previous strategic plan, there have been both criticisms and observations in terms of both external and internal forces that currently impact on NIPAM’s ability to deliver according to its full mandate. Hence, the next section applies a normative model to the current governance, institutional setup, leadership and management of the institution with proposals to strengthen and address the shortcomings of the previous strategic plan for the incoming five-year strategic plan for 2018/2022. This normative model, the ALO Model of Learning Governance (hereafter referred to as the ALO model) has been developed using Grounded Theory (Strauss and Corbin 1990; Miles and Huberman 1994). The ALO model has been found to be applicable to the NIPAM as an analytical tool. It is argued that the ALO model (Maritz 2018) illustrated in Figure 1 has emerged as an approach towards strengthening the governance function of the MDI and also providing a framework for positioning it as a credible public sector institution.

**Figure 1: The Adaptive Leadership Organisational (ALO) Model of Learning Governance**



The model consists of five intersecting leaves, which correspond with each of the five assumptions. These leaves illustrate the link between training and the broader organisational strategy, which implies that each of the elements of the MDI could be regarded as isolated by independent subsystems of the organisation, but collectively contributing to each of the model's parts as one system.

Based on an analysis of the existing environmental circumstances regarding problems, threats and opportunities for the organisation, top management sets the overall objectives. These are further broken down into manageable functional objectives to be pursued by functional specialists working through their own sequence of stages through the strategic plan 2012-2016 as highlighted in Table 1. Thus, the ALO model is meant to be both a mirror of, and a contributor to the governance of an MDI, its strategic management and its capacity development processes. The following five basic assumptions underlie this model:

Assumption 1: The institution is capable.

Assumption 2: The organisational design is agile and adaptable.

Assumption 3: The services are relevant and add present and future value.

Assumption 4: The MDI models and is led by innovative leadership.

Assumption 5: The prevalent adopted dominant culture is a collaborative and learning culture.

## **METHODOLOGY AND APPLICATION OF THE ALO MODEL OF LEARNING GOVERNANCE TO THE NAMIBIA INSTITUTE OF PUBLIC ADMINISTRATION AND MANAGEMENT**

The use of the case study approach was selected for the robustness of its design and because it makes provision for the establishment of boundaries (Yin 2009:32). This includes the development of propositions (Yin 2009:32; Miles and Huberman 1994:45), the use of a conceptual framework (Miles and Huberman 1994:45), and, finally, the systematic and logical manner of linking the data to the research propositions (Yin 2009:33). Since propositions form the basis of scientific research, it follows that the more a study contains specific propositions, the better it will address internal and external validity aspects and remain within feasible limits (Baxter and Jack 2008:531). Hence, the ALO Model of Learning Governance as applicable to NIPAM accordingly requires testing through the following propositions:

- NIPAM is a capable institution with a well-defined governance structure, clear vision, mission and strategic plan, which are implemented by capable staff who has been properly selected, recruited and developed to fulfil its mandate;
- The organisational structure of NIPAM is adaptive and flexible, yet has well-integrated systems;
- NIPAM's services are responsive and based on consistent standards, which are delivered across integrated systems to meet clients' expectations;
- NIPAM's leadership is innovative and believes in embracing shared values to promote integration and cohesion;

- NIPAM's staff and leadership understand the importance of a collaborative culture and promote it;
- NIPAM has a well-defined learning governance strategy that strengthens its mandate, role and expectations, of which funding is a key element.

## **THE NAMIBIA INSTITUTE OF PUBLIC ADMINISTRATION AND MANAGEMENT AS A CAPABLE INSTITUTION**

The first proposition, "NIPAM is a capable institution with a well-defined governance structure, clear vision, mission and a strategic plan, which is implemented by capable staff who has been properly selected, recruited and developed to fulfil its mandate" relates to four key aspects. These are described in terms of good corporate governance, the vision, the mission, the strategic plan and the staff in the sections below:

### **Good Corporate Governance**

In terms of assessing NIPAM and its institutional setup and governance arrangements, there are principal challenges pertaining to both legal and good corporate governance perspectives. More specifically, unless the process of appointing both the GC members and the TDB is effectively handled, the nominees from the various institutions, as specified in the Act, may not necessarily have the required competencies to constitute a diverse and well-functioning GC and TDB. These competencies pertain to financial acumen, law and business, as well as public sector and capacity development experience relevant to furthering NIPAM's core function and mandate.

Equally, in terms of good governance, as per Section 26 (2) (b) of the NIPAM Act, the ED as the Chairperson of the TDB has the potential to render it ineffective, given the amount of power concentrated in one person as sole signatory and approver of submissions, chairing meetings, implementing resolutions and accounting to the same entity. Therefore, the TDB meetings chaired by the ED do not resonate well with good governance or augur well in terms of the separation of powers. By the same token, the TDB oversees NIPAM's core functions, namely training, consultancy and research. The fact that the same NIPAM staff who carries out training, consultancy and research is appointable by law as members of the TDB also does not support good corporate governance practices or assure the independence of the TDB. The same logic also applies to the fact that the Deputy ED is also the Vice Chairperson of the TDB.

### **Vision**

The NIPAM vision holds that the organisation seeks to be "[a] world-class management development institute that catalyses the transformation of the Namibian Public Sector into a developmental and entrepreneurial system" (Republic of Namibia 2010:3). The critique from several stakeholders who do not understand this vision is that it is pitched at a very high and strategic level by providing a clear idea of what it aspires to become. Ironically, this vision expresses NIPAM's intended capabilities by providing assurance to its stakeholders of its preparedness to serve their cause.

## **Mission**

By the same token, the mission statement, namely to “transform the Public Sector of Namibia into an efficient, effective and accountable system through capacity development, consulting and research, operational excellence, capacity development evaluation, and strategic partnerships”, appears vague, given that the aims are very abstract. This makes it very difficult to measure what NIPAM purports to achieve. A mission statement is expected to perform a number of integrated functions required by various stakeholders over a long period. The other challenge is that it does not explicitly identify its key stakeholders. Although it indicates the desire to transform Namibia’s public sector, the value propositions that it communicates do not necessarily provide stakeholders with its unique selling proposition. This is particularly the case in terms of the way NIPAM’s services are differentiated from other training and service providers. This absence of an institutional philosophy coupled with a lack of clear and consistent brand identity creates images of inconsistency in the minds of stakeholders. The absence of a commonly adopted brand, which relates to the strategic intent of NIPAM, negatively affects its operational philosophy and positioning.

These sentiments have bearing on both NIPAM’s strategic and operational strategy. Despite Section 5 (b) of the Act articulating the principal object of the institute, which is to address the competencies required for a high-performing public sector, its alignment and operationalisation do not appear to be addressed. Part of the reason is the absence of standards, both for the public sector and within the institution. This is in turn related to NIPAM’s financial status and funding.

While government in general has developed a policy stance on funding programmes at NIPAM, Section 6.1.3 of the Act provides a more specific stance and states that “All Offices, Ministries and Agencies (O/M/As) and Regional Councils (RCs) are to allocate at least 20% of their wage bill for Training & Development (T&D) purposes, and 25% of that allocation is to be utilised for NIPAM courses” (OPM 2012:23). Although this is commonly accepted in principle, the operationalisation of chapter six pertaining to NIPAM’s funding as per the Human Resource Development Policy for Accelerated Service Delivery in the Public Service of Namibia (2012) under the Department of Public Service Management (DPSM): OPM remains a challenge.

Seen from an institutional performance perspective, NIPAM’s current performance illustrates that the revenue generated over the past seven years is far less than the 45% that it ought to generate. Coupled with the decline in public funding and the current economic crisis, it is anticipated that government may provide less funding in future. There is thus a strong imperative to intensify efforts to revisit the current financial model and assess opportunities to collaborate with other MDIs and similar institutions.

## **Strategic Plan**

Following the challenges highlighted in the NIPAM vision and mission, the alignment of the NIPAM Strategic Plan with its structure, systems, staff and staff competencies appears to be one of the key concerns about NIPAM and emerged as a key theme in terms of analysis. It is believed that the alignment of the strategic plan and the business plan with these elements should, if done correctly, contribute towards its success and optimal organisational performance. Both the strategic and annual plans should ideally be monitored and evaluated consistently against the set organisational goals. This principle may go a long way towards the identification of needs and capabilities required to support the strategic objectives and the assurance that investments in capacity development are aligned with the public sector's needs.

In this regard, the five strategic themes described in Table 1 all have corresponding objectives, which are generally aligned with the NIPAM mission. The initial phase of establishing any institution usually begins with the conceptualisation of goals and possible ways to fulfil them. When Cabinet attributed poor service delivery rates to poorly defined goals and an absence of unified training in 2000, the expectation of the newly launched MDI was to deliver on these unmet needs. Going on to how this relates to the NIPAM Act (Act No. 10 of 2010), the institute's major functions are to develop capacity across the public service so that public servants can deliver services efficiently and effectively.

Thus, the five strategic objectives, which are stated in the NIPAM plan, appear to include the critical needs that NIPAM is expected to address and the values it intends to popularise across the public sector. The objectives, however, are not well defined in terms of how they should be measured against the development targets and agenda. Currently, NIPAM has only focused on the training function, paying less attention to the other major functions. In particular, there is a strong emphasis on training for numbers – a bias toward the previous 'massification' approach to training used by the South African NSG and other MDIs in their infancy.

## **Staff**

A capable institution requires competent staff. In this regard, three emerging themes have been identified at NIPAM. These refer to the recruitment, management and development of NIPAM staff. Foremost, qualified and competent staff are the most valuable resource in any institution. NIPAM's ability to fulfil and perform according to its role and mandate is dependent on its ability to recruit, select, appoint, manage and develop the right people. It is therefore critical to utilise and implement suitable mechanisms to recruit and retain qualified staff with the necessary competencies. With the definition of competencies referring to the knowledge, skills and abilities of both individuals and the institution, the competences of the MDI refer to what the institution is known for, what makes it distinctive and what it does best (Peters and Waterman 1982:65).

An MDI is expected to function in a complex environment that requires specialised competencies. Many studies have illustrated that it is essential to have the right people with the right competencies to ensure the success of an institution (Lopes et al. 2002:32; Afegbua and Adejuwon 2012:43). Specific competencies related to the management of strategic partnerships, the utilisation of external resource persons and NIPAM's relevance are crucial to the success of an MDI (Haruna and Kannae 2013:15). Ongoing training for the internal staff at an MDI should provide the principal understanding of how a unique public sector training institution is to fulfil its mandate. (Kiggundu 1991:19; Afegbua and Adejuwon 2012:40).

Regarding the internal staff development aspects, the capacity and continuous professional development of staff is the theme cited as a critical factor for success. Some researchers have specifically mentioned the need for MDIs to be well qualified, with staff possessing a master's degree as a minimum requirement, while others have focused on experience in the public sector (Kiggundu 1991:21). In devising and setting out these entrylevel requirements, the institution may consider nurturing and developing existing staff through the alignment of its strategic objectives with the prioritisation of capacity development to meet these objectives. These initiatives may also contribute towards the development and maintenance of staff morale and motivation.

Internal staff training should therefore encompass the MDI's philosophy, its aim towards supporting government's transformation and reform agenda, public sector practices and processes, the use of Information Communication Technology (ICT) for improved service delivery, and, more importantly, the changing role of strengthening good governance through the development of sound management and leadership skills. The induction and orientation programmes for new staff members at NIPAM do not adhere to a particular philosophy. By the same token, the NIPAM brand and its documents, from its institutional profile to its website, do not appear to convey the same message of what it does, how it goes about doing what it does, with whom it collaborates and to whom it provides its services.

### **Adaptive Organisational Design**

The second proposition, "The organisational structure of NIPAM is adaptive and flexible, yet has well-integrated systems", includes assessing whether the structure is suitable for the functioning of the institute. This proposition rests on the premise that the MDI has competent staff and integrated systems. Overall, there seems to be some evidence to indicate that staff skills, the availability of systems and the MDI's processes are key considerations in determining NIPAM's success. The structure provides a setup that provides an enabling environment and simultaneously adapts to the external characteristics of an organisation.

Relating this to NIPAM, the case study highlights aspects that demonstrate the institution's overwhelming concern with operational issues and the adoption of a structure that is not adaptive nor conducive to experimentation and innovation.

The current structure is top-heavy in that it supports a broad, flat management structure, outnumbering the lower levels of operational staff by a ratio of 3:1 in terms of management versus operational staff (Field Notes 2015). Specifically, there are too many manager positions with similar roles and conflicting responsibilities, which should be streamlined in terms of functions as opposed to sectors, which is the current categorisation. Hence, considerable costs could be saved and organisational efficiency could be increased.

### **Integrated Systems**

The aspect of integrated systems, as introduced in this section, refers to the formal and informal procedures and systems that underpin the operational strategy of an organisation and its structure (Peters and Waterman 1982:43). To this end, formal systems are required to include the broad external and internal systems to manage, monitor and evaluate aspects pertaining to the strategic plan, quality, finance, human resources, logistics/infrastructure, communication and the management of clients and their expectations. Since NIPAM's inception in 2011, there have been some efforts made to identify and develop various processes, but there are still challenges with integration. It is therefore crucial that processes are identified, documented, evaluated and improved to ensure an improved system. Usually, extensive re-engineering efforts are necessary before migrating to an online system. Hence, the processes that require improvement should first be identified and necessary adjustments should be made prior to the development and implementation of an integrated system.

There appear to be issues around the quality of both the services and the systems at NIPAM, for example, the core purpose for NIPAM's existence in terms of supporting and operationalising the vertical and horizontal mobility across the public sector, has never taken off. One of the examples cited by an interviewee is that there are cumbersome, manually driven application and registration procedures that have never been fully developed or applied across the entire institution (Field Notes 2015).

Similarly, the issue of quality assurance and quality management becomes questionable if the issues preventing the integration of both systems and the organisational structure are not addressed. Similarly, educating both NIPAM internal staff and clients on the importance of capturing accurate and correct data through consistent procedures should be a priority. When configured properly, an integrated training management system should automate various processes and procedures of creating, delivering and managing training. This should be linked to the functions and roles that staff perform and should, by definition, be aligned with the competencies required for monitoring and evaluation purposes. Leveraging information and communication technology through such a system should enable staff responsible for delivering training to focus on strategic matters while the system takes care of the tactical requirements of administration.

On organisational learning, literature has illustrated that the way an organisation handles and processes data and also provides insights into the extent of its predisposition to learning. In the case of NIPAM, a consistent stream of evaluations uncovered and presented information that contradicted deeply held organisational beliefs, yet it was very difficult in practice to effect the necessary changes. Therefore, what lies at the heart of a learning organisation is its ability to develop its capacity to engage in critical self-evaluation and question the assumptions underlying its actions. The commitment to the mobility across the public sector, after having attended NIPAM's programmes, is a case in point. With the training intake being at an all-time low in 2017, attempts to introduce opportunities for evaluation illustrated that there was still much to be done.

### **Responsive Services**

A description and explanation of the third proposition, "NIPAM's services are responsive and based on consistent standards, which are delivered across integrated systems to meet clients' expectations", is the focus of this section. In describing responsive services, the ideal of having integrated systems and consistent standards is important and is also explained. Having discussed the aspects around an integrated system and the consistent standards to be adopted in service delivery, the analysis appears to support the assumption that NIPAM does not necessarily have a predisposition to learning about how to position itself as the provider of choice for the public sector.

NIPAM's services have been criticised as offering courses that are not relevant or do not address the needs of improved public service delivery. The institution relies largely on the directives of the Office of the Prime Minister for attendance of training by staff members. In particular, the provisions of the Public Service Staff Rules (PSSR) on T&D for O/M/As and RCs clearly state that public service staff are expected to develop human resources development (HRD) plans. Courses identified in these HRD plans should be calculated not to exceed 20% of the wage bill of the respective O/M/As' RCs. Of this percentage, 25% of the allocation should be utilised for courses in the HRD plan offered by NIPAM (OPM 2012:32). Perhaps it is this policy provision that has contributed towards complacency in sourcing the numbers expected and also the lack of consistent stakeholder engagement. In particular, it is believed that NIPAM's lack of business development is hampering effective service delivery.

The alignment of theory with practice was highlighted as a challenge in analysing the responsive services of NIPAM. In interviews conducted, at least half of the respondents indicated that in terms of the training courses offered by NIPAM, despite being theoretically sound, what actually happens in practice is worlds apart (Field Notes 2015). This seems to point to what is known as the theory-practice gap, which is not unique to NIPAM. NIPAM has been urged to close this gap, thereby aligning what it says it does with what it does. As indicated in the previous sections, NIPAM, like many other MDIs on the continent, operates on the periphery of government and the wider public sector, and therefore not well known in many parts of government.

### **Consistent Standards**

Speaking to the third proposition that contributes towards an MDI's responsive services, it is imperative not only that an integrated systems approach be followed but also that it adheres to standards, not only to raise the quality of services, but also to assess service delivery when adhered to consistently. Standards refer to criteria in place to determine the quality management and delivery of services, from the curriculum design process, the development of materials, the delivery of training and services to, finally, the strategy for monitoring, evaluating and ensuring relevance of the services for the client base. Setting the right standards and implementing them consistently are crucial to enhanced individual and organisational performance and client satisfaction (Field Notes 2015).

It has been reported that the absence of commonly shared and understood standards on which to base the development of curricula and materials development is an ongoing concern. The NIPAM institutional philosophy is non-existent. However, there have been talks of providing experiential learning, in contrast to the standard lecturing, as part of the pedagogy. Currently there is no framework for monitoring and evaluation programmes. There are inconsistencies in how various materials for programmes are developed. Curriculum and programme development is questionable as the institution has not quite established whether it is to register with the Namibia Qualifications Authority (NQA) or Namibia Training Authority (NTA). This challenge is related to NIPAM's accreditation status and its position on the provision of training for qualifications.

### **Innovative Leadership**

The fourth proposition, "NIPAM's leadership is innovative and believes in embracing shared values to promote integration and cohesion", comprises a number of elements. These elements, in turn, are premised on the need for the adoption of consistent standards and a collaborative culture. Following the description of NIPAM in the previous chapter, which highlighted its many leadership transitions and challenges of executive leadership appointments since its inception in 2011, the matter of NIPAM's top position has been highly controversial. Coupled with negative publicity, the institution has been seen to appoint a new ED almost on an annual basis (NIPAM 2013:4; *The Windhoek Observer* 2014:4; *New Era* 2015:3; *Confidante* 2016:1).

The executive leadership's understanding of and attitude towards management and leadership development for transformation is important since it sets the tone and influences the attitudes of the various staff levels within the organisation. With the executive leaders orchestrating and leading change, their role should focus not only on empowering staff to think critically about the organisation while enhancing its competencies, but also to inspire and motivate it towards a common vision. They must engage the various levels of the organisation or MDI to embrace change while making a commitment to evaluating learning and experiences, rather than to merely comply and provide an illusion of managing change. In many ways, the energy expended at NIPAM would have been more positive and conducive to learning through self-

evaluation. By this, it is suggested that the organisation would have benefitted more from evaluating the mistakes and challenges that the organisation had encountered since its inception and channelled them towards improvement rather than avoiding the lessons learnt and confronting painful past experiences (*The Windhoek Observer* 2014:3). The general consequence of leadership transitions is a situation in which the previous leaders were slated for not addressing the issues central to NIPAM's mandate. For instance, there have been criticisms regarding the institute's approach of trailing behind government, instead of shaping and influencing the reform agenda of innovation and service delivery improvement.

However, the conclusion reached in confirming the proposition is far from promising at this time and needs to be considered within the context of whether the organisational culture is collaborative and conducive to ultimately improving service delivery. This is discussed in the next section.

### **Collaborative Culture**

The fifth proposition, "NIPAM's staff and leadership understand the importance of a collaborative culture and promote it", is now discussed. The organisational culture at NIPAM should be considered in conjunction with the prevalent leadership style. This style is similarly premised on the existing and shared values across the organisation. The shared values, in turn, shape the organisational culture, which has been cited to be important across organisations and specifically across MDIs and is central to how an organisation is able to function in tandem with its objectives.

Taken together, these two elements depicted as intersecting leaves in the ALO Model of Learning Governance suggest that leadership is considered as one of the most frequently cited critical success factors for an MDI. In particular, the ED or head of the institute must be sanctioned and approved by both the board and government. The ED must have the accountability and required resources to achieve the mandate. However, the problem, as indicated in the previous section, is that there has been a serious leadership deficit at NIPAM. This has implications for creating a collaborative organisational culture and recognising the complexities involved in managing an interconnected and interdependent organisation.

This collaborative culture encompasses the organisation's adoption of shared values and has been described as the guiding principle of ideas, attitudes and behaviour around which an organisation is built (Peters and Waterman 1982:34). In NIPAM's case, the term refers to the degree to which the staff accept and believe in the institute's capability to perform as a cohesive whole. The current set of values being promoted by management as described in the strategic plan, however, require more internalisation. More effective initiatives and programmes should be devised, possibly by the human capital unit to ensure that those captured in the high-level documents are operationalised and are being shared and appreciated by all members of the organisation. What is required is a situation where everyone is informed and where information and ideas are continuously exchanged, resulting in rich, robust and accessible information to the benefit of the organisation. This mind-set change is directly related to the final part of the ALO Model of Learning Governance, which is discussed next.

## **Learning Governance**

The sixth and last proposition in the ALO Model states that “NIPAM has a well-defined learning governance strategy that strengthens its mandate, role and expectations, of which funding is a key element”. This is depicted in the meeting and culmination of all five intersecting leaves at the circular node and accordingly labelled “Learning Governance”.

Following the foregoing discussion on the application of the ALO Model of Learning Governance to the NIPAM, it is useful to point out that perhaps the worst thing that could happen is that, instead of an organisation learning from poor performance or failure, it fails to learn anything at all or even learns and relearns unhelpful practices.

It may be argued that in NIPAM’s case not all learning, if at all, which has taken place, has necessarily been a good thing. The seven years of experience has generated many misconceptions through media reports, staff turnover, dwindling numbers and sporadic changes in top and senior leadership (Field Notes 2015). Ultimately, the process by which the organisation has allowed itself to learn from its experiences, or to avoid such learning, is an important determinant of its capacity to adapt and grow or stagnate and atrophy. In other words, learning governance may be considered a central determinant of the organisation’s sustainability and whether it remains true to its *raison d’être*.

Past research on learning organisations may confirm this and attribute it to the fact that the staff and individuals are not incapable of learning but that they have learnt far too much about their organisation, what has worked and what has failed in the past. Ironically, this past learning is the very obstacle to new learning or the ability to learn (Salaman and Butler 1990:182).

Finally, the application of the ALO model to NIPAM in terms of learning governance suggests that to be effective and to justify its existence, it should collaborate with similar institutions to establish communities of practice and centres of excellence. Currently, although several MoUs have been signed, and broad collaborative strategies have been crafted, their implementation and sustainability have been ongoing challenges (Field Notes 2015). Relating this to the leadership and the several leadership changes at NIPAM, each time a new ED is appointed, the process of signing and sometimes re-signing MoUs with existing and identified partner institutions has been a common practice.

Unfortunately, the past seven years have highlighted the emerging and growing challenges for NIPAM and its failure to recognise and interrogate many of these interrelated aspects through the application of the ALO Model of Learning Governance.

## CONCLUDING REMARKS

### Applying the ALO Model of Learning Governance

The conclusions reached in applying the ALO Model of Learning Governance to NIPAM is comprised of two aspects, namely the aspects that resonate with the organisational or micro level in its application and the environment external to the institute or the macro level influences.

Regarding the micro level of operation, there are generic organisation development principles that are cross-cutting and applicable to most, if not all, MDIs when it comes to transforming them. Based on these principles, it is believed that these requirements are geared towards positioning public sector training institutes or MDI centres of excellence. Furthermore, these requirements should be observed within their respective countries and contexts. The aforementioned principles involve:

- The assurance that the institution develops into a capable one through the appointment, development and retention of competent and capable staff to advance the MDI's vision, mission, mandate and objectives;
- The organisation's commitment to developing the internal and external capacity (resource persons) to implement a credible vision and strategy and the mobilisation of strategic partners to implement and advance change;
- The adoption of commonly shared and understood principles and standards that promote an adaptive organisational design as a requirement for planning, staffing and human capital management, resourcing, budgeting, operations and service delivery if MDIs are to be responsive and relevant;
- The institution-wide ownership and implementation of an integrated system that involves not only the administrative systems but also the systems to deliver services in the advancement of a quality culture;
- The development and delivery of marketable services and products that are contemporary by being at the cutting edge of public sector innovation even if the main stakeholders are by definition from the public sector; and
- The cultivation of a collaborative culture through engagement and participation to meet the expectations of the stakeholder and client groups.

From a macro perspective, the application of the ALO Model of Learning Governance to NIPAM has illustrated that the Namibian Government's intention to establish it as a unique institution appears to be one of its biggest challenges. It is therefore useful to establish how NIPAM can reposition itself in light of the various challenges it is currently experiencing. Firstly, regarding its sustainability, how NIPAM acquires funding in view of the current revenue and financial model is its main challenge.

While many O/M/As have been advancing government reform in pursuit of the realisation of Vision 2030 through the national development plans, they have also been subjected to the OPM and the related institutional performance directives as the custodian for such initiatives. These administrative and managerial reforms have necessitated the recruitment of experienced specialists and, in many cases, consultants.

The NIPAM, a project cultivated and grown at the OPM, is a case in point. Over the years, prior to its inception, the OPM was able to solicit financial assistance and, most of the time, additional experts through the secondment of technical staff through the bilateral cooperation efforts with France, India and Finland. Although the project and the bilateral agreements have been concluded and the projects signed off for full implementation as structures in their own right, government had not necessarily developed or changed the funding aspects along with the governance and organisational models and practices for staff to be absorbed in these new institutions. The current position forces the institution to deviate from its initial mandate of providing training relevant to public sector needs and focus largely on the profit margin for long-term sustainability.

The transfer of many of the functions central to advancing NIPAM's mandate have not been handed over to the institute in its seven years its existence. The development of strategic plans, training on key policies, procedures and systems, such as the performance management system, electronic records management system, human capital management system and customer care training system, have not been formally signed over to NIPAM by the appropriate custodians. This rigidity and inability to relinquish aspects pertaining to the research, training and consultancy of functions further reinforce the marginalisation of NIPAM. This may be explained by describing the composition of the public service itself, which is comprised of bureaucrats who understand their role as applying policies and the law and who are reluctant to renounce the capacity development component of the various systems intended to improve the administrative and management functions established for the public service.

This inflexibility contradicts systems thinking and affects operations, resulting in an interpretation of all tasks and functions as being only one element in the policy implementation process. Therefore, segregating the training and capacity development function from the cycle of implementation would suggest changes to their role and accountability as policy custodians. In addition to this mind-set, there may also be an issue of trust. This trust issue could be related to the performance and track record of the institution in terms of its inability to deliver according to government's expectations over the past seven years. This situation is worsened by the reluctance to transfer the training and capacity development function to NIPAM.

The described preference structures that entail relinquishing the function of training to a public sector institute established for that purpose are still based on deeply rooted

traditions and values of the traditional public service. The Namibian administrative culture is still very much rule-oriented and relies on bureaucratically patterned command and control principles. There have been a number of NPM administrative reforms that are influenced by NPM approaches, but these have not been considered regarding the integration of education and training for the public sector itself.

The aforementioned administrative reforms are linked to the current staff complement of NIPAM whose methods of selection and recruitment are very much based on the traditional competencies required by the public service. With this in mind, the current NIPAM structure and mode of operations require a rethink.

## **General Conclusion**

In closing, this article concludes that in documenting the NIPAM and its progress in terms of its first strategic plan, and through the application of the ALO model, there have been several lessons learnt. Therefore, the way forward is a multilevel and multifaceted undertaking. Future research could focus on the impact and consequences of managed and coordinated capacity development efforts and different policy approaches for the public sector. To this end, a multilevel analysis is proposed. Such an analysis entails the following: firstly, the level of the MDI, which involves its own context, a unique set of role players and governance structure and the extent to which learning governance is adopted and implemented. Secondly, the broader country context and its reform agenda; and, finally, the level of the public sector officials requiring capacity development in the public sector and their respective institutional contexts.

Future studies could also focus on how MDIs have affected the reconfiguration and impact of policy decisions, strategic choices and structures, and the future behaviours and competencies of previous participants. Shedding more light on these issues and developing sustainable policy measures are crucial for the future governing practices of MDIs and consequently for their usefulness and relevance to the public sector and society at large.

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# ESCOLAS DE GOVERNO E A MODERNIZAÇÃO DA ADMINISTRAÇÃO PÚBLICA: O CASO DO INSTITUTO SUPERIOR DE ADMINISTRAÇÃO PÚBLICA DE MOÇAMBIQUE<sup>1</sup>

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Dias Rafael Magul<sup>2</sup>

## INTRODUÇÃO

O artigo busca compreender o papel de Escolas de Governo na Modernização da Administração Pública, tomando o Instituto Superior de Administração Pública, de Moçambique, como estudo de caso.

As Escolas de Governo funcionam como impulsionadores de uma administração pública eficaz, eficiente e voltada para a satisfação das necessidades dos clientes do sector público, ao privilegiarem a elevação da capacidade funcional dos servidores públicos. Nalguns casos, as Escolas de Governo estão em estreita articulação com agendas de reformas administrativas voltadas para a modernização da administração pública e centradas na busca de níveis mais elevados de eficiência, eficácia e de desempenho do sector público.

Este tipo de agendas de reformas inspira-se na Nova Gestão Pública (NGP), a qual propõe um conjunto de princípios conducentes à melhoria da qualidade de serviços públicos. Desta forma, as Escolas de Governo procuram desenvolver um conjunto de competências e valores profissionais consentâneos com as mudanças que se pretende introduzir no sector público.

À semelhança de outros países, a necessidade de aumentar o conhecimento e elevar a capacidade técnico-profissional dos servidores públicos sempre constituiu preocupação dos governos de Moçambique, dado que a partir de 1978 foram subsequentemente criadas Escolas de Governo vocacionadas para a formação e capacitação em gestão e administração públicas.

O Governo de Moçambique assumiu a “profissionalização dos Funcionários e Agentes do Estado” como uma das cinco componentes principais de intervenção, na actual Estratégia de Reforma e de Desenvolvimento da Administração Pública 2012-2025, à semelhança da Estratégia Global da Reforma do Sector Público 2001-2011.

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1 Este Artigo foi elaborado a partir da Dissertação do Mestrado em Administração Pública e Desenvolvimento, no Instituto Superior de Relações Internacionais (Moçambique), em 2016.

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Criado em 2004, pretendia-se que o ISAP fosse uma instituição de excelência na modernização da administração pública, e com relevante contribuição no processo de reformas do sector público. Os resultados da pesquisa revelam que os *curricula* dos cursos do ISAP não expressam os princípios da NGP, depreendendo-se, pois, que não se articulam inteiramente com as estratégias de reforma e de desenvolvimento da administração pública em curso no país. Por conseguinte, existe a possibilidade de o ISAP não estar a contribuir para a modernização da administração pública.

## **ESCOLAS DE GOVERNO: MISSÃO E FINALIDADES**

A melhoria das competências profissionais dos servidores públicos tem sido uma preocupação generalizada dos governos de vários países, tendo conduzido ao estabelecimento de Escolas e/ou Institutos de Desenvolvimento de Administração (Awortwi 2003). Alguns desses institutos têm tido um papel preponderante nas reformas do sector público, através da criação de competências profissionais até então inexistentes (*Ibid*).

O investimento em capital humano é crucial para qualquer reformador que pretenda obter uma maior eficiência e eficácia no sector público, e que deseje melhorar as competências e capacidades produtivas dos recursos humanos (Aye 2008). Com efeito, a construção da capacidade dos recursos humanos tem por finalidade aumentar o nível de desempenho do sector público.

No entanto, a existência de funcionários de Estado com competências adequadas para o desempenho das suas funções depende muito, quer do ajustamento dos programas e *curricula* de formação às necessidades do sector público, quer dos métodos de ensino utilizados (Awortwi 2007; Aye 2001).

Os *curricula* das Escolas de governo devem ser capazes de criar as capacidades técnicas, funcionais e de gestão de que os servidores públicos precisam para melhorarem o seu desempenho. Para o efeito, os *curricula* das Escolas de Governo devem diferir dos de formação genérica, devendo concentrar-se nos aspectos ligados ao funcionamento da administração pública, ao mesmo tempo que devem estar em conformidade com as estratégias de reforma e de desenvolvimento da mesma (Awortwi 2007).

## **ESCOLAS DE GOVERNO E SUA RELAÇÃO COM A MODERNIZAÇÃO DA ADMINISTRAÇÃO PÚBLICA**

Os Governos de vários países, ao investirem na formação e capacitação de servidores públicos através de Escolas de Governo, fazem-no pela necessidade de criação de um conjunto de capacidades produtivas através da aquisição de conhecimentos e competências que aumentem o valor do capital humano das organizações, com vista à melhoria do seu desempenho.

O investimento em capital humano proporciona uma força de trabalho mais produtiva e dotada de mais conhecimentos e com competências melhoradas, na convicção de que uma força de trabalho especializada terá maior propensão para melhorar a sua produtividade.

A melhoria da qualidade de serviços públicos é um aspecto central na modernização da administração pública. A modernização da administração pública é assegurada por agendas de reforma do sector público as quais, nas últimas décadas, têm sido dominadas por princípios da Nova Gestão Pública (NGP). A NGP “[...] incorpora a ideia da efectividade e da busca da melhoria da qualidade dos serviços [...]” (Ferreira 1996:10).

Assim, a criação da capacidade nos servidores públicos é um dos aspectos fundamentais a ter em consideração na modernização administrativa, de modo a garantir uma força de trabalho profissional, meritocrática e qualificada capaz de garantir a oferta de serviços públicos eficazes e eficientes. Ora, as Escolas de Governo, vocacionadas, como estão, para formar e capacitar servidores públicos, ocupam a posição ideal para assegurar a criação dessa capacidade. (Hope 2001)

Com efeito, as Escolas de Governo dão uma contribuição relevante na formação e capacitação em gestão e administração públicas, pois conduzem à criação da capacidade funcional necessária ao servidor público, para que este esteja à altura de implementar os processos necessários de reforma e de modernização da administração pública plasmados nos princípios da NGP, já que as reformas propostas da NGP visam, precisamente, promover a eficiência e eficácia do sector público no sentido de satisfazer as necessidades dos clientes do serviço público.

As reformas da NGP destacam a visão da administração pública como um sector produtivo e um provisor de serviços essenciais, sublinhando a necessidade de se melhorar a qualidade dos serviços públicos prestados, através de uma nova abordagem de gestão orientada para o aprimoramento contínuo do desempenho do funcionalismo público (OECD 2010).

O sucesso das agendas de reforma depende, em grande medida, da existência de uma força de trabalho com competências e valores profissionais consentâneos. “Training and skills development are essential to the implementation of the reform process” (OECD 2010:54).

Várias estratégias e modelos de reforma administrativa estão directamente relacionados com um conjunto de valores profissionais, os quais podem não estar reflectidos nas competências profissionais anteriormente adquiridas pelos servidores públicos, tomando em consideração que estes são recrutados e capacitados de acordo com determinados padrões profissionais e o seu comportamento (atitudes, opiniões e crenças) é influenciado por contextos sociopolíticos específicos, assim como pelo tipo de formação feita (Schöter e Röber 2015).

Nesta perspectiva, torna-se imprescindível que os programas e *curricula* das Escolas de Governo tomem em consideração competências e valores profissionais que estejam alinhados às estratégias de reforma do sector público, de tal forma que possam formar e capacitar os servidores públicos em competências e valores profissionais “que sejam consistentes com o ambiente político, económico e social e com o desenvolvimento científico e técnico das áreas de actuação dos funcionários do Estado” (Nhampule 2013:51).

## **ESCOLAS DE GOVERNO EM MOÇAMBIQUE: CONTEXTO DO SEU SURGIMENTO**

Moçambique foi uma colónia de administração directa de Portugal, tendo alcançado a sua independência em 25 de Junho de 1975, após vários anos de luta armada.

Depois da independência, registou-se uma saída em massa não só de colonos, mas também de trabalhadores especializados e de profissionais (Gentili 1999; Macuane 2007). “Diante deste quadro[,] era natural que a formação fosse vista como uma solução de curto prazo, ao menos parcial, para suprir a administração pública de recursos humanos minimamente qualificados para evitar o seu colapso total” (Magul 2010:33).

Desde então, foram empreendidas diversas iniciativas visando a qualificação dos servidores públicos, as quais tiveram início com a criação do Centro de Formação 1º de Maio em 1978, que tinha por objectivo específico formar e aperfeiçoar quadros do aparelho de Estado (Portaria n. 51/78, 18 Fevereiro).

Posteriormente, a crescente necessidade de formação e capacitação de recursos humanos do estado conduziu à criação da Escola de Estado e Direito, em 1989. Esta Escola tinha por finalidade, dentre outras, oferecer formação em direcção e administração estatal para funcionários do Aparelho do Estado, assim como realizar acções de aperfeiçoamento, capacitação e reciclagem dos funcionários em exercício no Aparelho de Estado (Diploma Ministerial n. 43/89, 24 Maio).

Em 1994 foi feita uma reestruturação das diferentes acções de formação e de capacitação dos servidores públicos, pois tinha-se identificado a necessidade de oferecer formação contínua e diversificada que permitisse fazer face às carências detectadas em vários sectores e níveis da administração pública. Foi neste contexto que se criou o Sistema de Formação em Administração Pública (SIFAP), com vários objectivos, dentre os quais se destacam por um lado o desenvolvimento dos conhecimentos, capacidades, competências e atitudes científicas, técnicas e profissionais dos funcionários públicos, e por outro, a necessidade de assegurar a permanente actualização dos quadros dirigentes do sector público nos domínios das técnicas de gestão com uma influência mais directa na modernização, rentabilidade e produtividade dos serviços (Decreto n. 55/94, 9 Novembro).

Para atingir os objectivos propostos, o SIFAP foi dividido em dois níveis de formação: i) *nível Básico e Médio*; e ii) *nível Superior (Ibid)*. Foi no contexto da implementação do SIFAP que, em 1996, se criou o Instituto Médio de Administração Pública (IMAP), “[...] uma instituição de ensino técnico-profissional de nível Médio, em matéria de administração pública” (Diploma Ministerial n. 47/96, 24 Abril:92), em substituição da Escola de Estado e Direito.

Quando o Governo de Moçambique lançou a Estratégia Global da Reforma do Sector Público, em 2001, os funcionários públicos não tinham nem as qualificações, nem a experiência, necessárias para conduzirem o processo de reforma (Scott, Macuane, Salimo e Orlowski 2011).

A implementação da Estratégia Global da Reforma do Sector Público 2001-2011, colocou outros desafios quanto à criação da capacidade funcional nos servidores públicos. No âmbito da formação de nível médio, o IMAP foi transformado, em 2001, nos actuais Institutos de Formação em Administração Pública e Autárquica (IFAPA), instalados na Matola, Beira e Lichinga (Diploma Ministerial n. 152/2001, 10 Outubro). Os IFAPA são instituições do “ensino técnico médio profissional para a formação, aperfeiçoamento e reciclagem na área de administração pública e autárquica” (*Ibid*: 220).

A necessidade de formação de servidores públicos de nível superior ficou reforçada quando a Comissão Interministerial da Reforma do Sector Público – CIRESP (2001) constatou que menos de 4 por cento dos funcionários do Estado possuía nível superior, e mais de 80 por cento tinha nível de formação básica ou inferior. Esta situação exigiu a criação de uma instituição de ensino superior em Administração pública, que fosse responsável pela “[...] capacitação em administração pública de dirigentes e quadros[,] em funções de direcção e chefia[,] e [pela] [...] elevação da qualificação académica e técnico profissional dos funcionários em exercício na administração pública [...]” (Decreto n. 61/2004, 29 Dezembro:45). Assim, foi criado o ISAP em 2004 que, dentre outros objectivos, visa “contribuir para o processo de reforma e modernização do Sector Público [...]” (*Ibid*: 56) através da oferta de vários cursos de capacitação e de formação profissional em administração pública.

Dois destes cursos, ambos com duração de nove meses, não visam a obtenção de nenhum grau académico. São eles:

- Certificado Profissional Superior em Administração Pública do tipo um (CPSAP 1), destinado a funcionários do Estado licenciados em qualquer área de conhecimento;
- Certificado Profissional Superior em Administração Pública do tipo dois (CPSAP 2), para funcionários do Estado com habilitações literárias de nível médio.

Os outros dois cursos oferecidos são:

- Licenciatura Profissional em Administração Pública (LPAP), destinado a formandos que concluíam o curso de CPSAP 2 com nota igual ou superior a 14 valores (numa escala de zero a vinte);
- Mestrado Profissional em Administração Pública (MPAP), atribuído a formandos que concluíam, cumulativamente, o curso de CPSAP 1 e os módulos do Mestrado com nota igual ou superior a 14 valores, implicando ainda a elaboração e defesa da Dissertação.

Em Dezembro de 2018, o governo criou a Universidade Joaquim Chissano através da fusão e extinção do ISAP e do Instituto Superior de Relações Internacionais. No entanto, é preciso ressaltar que as duas instituições extintas continuam exercendo normalmente as suas atividades, dado que a nova Universidade está actualmente num processo de reestruturação e de criação de instrumentos normativos. Na nova universidade, existirá uma Unidade ou Escola de Formação Profissionalizante que se pode equiparar ao ISAP, em termos de atribuições, a qual deve estar vocacionada para a “[...] promoção de cursos e formações de carácter profissionalizante [...] para o público em geral, incluindo os funcionários públicos e agentes do Estado [...]” (Decreto n. 85/2018, 26 Dezembro:35).

## **CONSIDERAÇÕES METODOLÓGICAS**

A presente pesquisa recorreu ao paradigma funcionalista positivista (Burrell e Morgan 1979), e segue uma abordagem quantitativa e qualitativa. Em termos de métodos, recorreremos ao estudo de caso (Yin 2001), e ao método estatístico (Gil 2008).

A recolha de dados foi feita por meio de questionários e entrevistas administrados aos professores do ISAP e aos servidores públicos que concluíram os cursos desta instituição supra identificados, nomeadamente: o Certificado Profissional Superior em Administração Pública do tipo um (CPSAP 1); o Certificado Profissional Superior em Administração Pública do tipo dois (CPSAP 2); a Licenciatura Profissional em Administração Pública (LPAP); e o Mestrado Profissional em Administração Pública (MPAP).

As entrevistas foram dirigidas aos gestores séniores do ISAP e aos superiores hierárquicos imediatos dos servidores públicos formados nos cursos do ISAP, bem como aos próprios funcionários formados no ISAP.

A amostra dos servidores públicos formados no ISAP, assim como dos respectivos superiores hierárquicos imediatos, foi obtida a partir de nove Ministérios, a saber: Economia e Finanças; Defesa Nacional; Educação e Desenvolvimento Humano; Interior; Justiça, Assuntos Constitucionais e Religiosos; Trabalho, Emprego e Segurança Social; Administração Estatal e Função Pública; Género, Criança e Acção Social; e Obras Públicas, Habitação e Recursos Hídricos. Entre 2007 e 2014, estes nove Ministérios enviaram mais de 25 servidores públicos para serem formados no ISAP por ano.

A pesquisa utilizou um total de 139 informantes, distribuídos da seguinte forma:

- 15 professores do ISAP;
- dois gestores sêniores do ISAP;
- 103 servidores públicos formados no ISAP, distribuídos da seguinte forma:
  - o 35 formandos do CPSAP1;
  - o 46 do CPSAP2;
  - o 17 da LPAP; e
  - o 5 do MPAP; e
- 19 superiores hierárquicos dos servidores públicos formados no ISAP.

A análise e interpretação de dados foi feita por meio da técnica de análise de conteúdo (Hair et al 2005), e da técnica de estatística descritiva (Dey 1993) – análise de frequências com recurso ao programa *Software Statistical Package for the Social Sciences (SPSS)*. Os resultados obtidos, a partir da estatística descritiva, permitiram gerar gráficos de barras, com recurso a *Microsoft Excel*.

## **APRESENTAÇÃO DOS RESULTADOS**

Os servidores públicos inquiridos no âmbito desta pesquisa, consideram que o ISAP desempenha um papel relevante no sector público, e acreditam que os cursos por si frequentados contribuíram para a elevação do seu grau de profissionalismo, assim como para uma melhoria do seu desempenho individual.

Esta constatação foi confirmada pelos superiores hierárquicos dos servidores públicos, pois mais de 89,5 por cento considera que o ISAP tem feito uma contribuição relevante no sector público, “através da melhoria do grau de profissionalismo dos servidores do estado e do grau de competência das instituições públicas” nas palavras de um dos informantes (Entrevistado A, 3 Dezembro de 2015), opinião que encontra eco nas palavras de outro inquirido que afirmou que os servidores públicos formados no ISAP “passaram a ter domínio dos procedimentos administrativos e capacidade de analisar diversas situações profissionais e propor soluções adequadas” (Entrevistado B, 24 Novembro 2015).

Todavia, ao correlacionarmos a possibilidade de o ISAP promover a melhoria da qualidade dos serviços públicos com a possibilidade de formar profissionais competentes nas suas áreas de actuação no sector público, chegamos a resultados um tanto ou quanto discordantes das opiniões formuladas.

Muito embora 94,2 por cento dos 103 servidores públicos inquiridos nesta pesquisa considere que o ISAP promove a melhoria da qualidade dos serviços públicos, somente 75,7 por cento dos mesmos informantes considera que o ISAP forma profissionais competentes nas suas áreas de actuação no sector público, o que pode significar que nem todas as competências adquiridas na formação estão relacionadas com as especificidades dos seus sectores de actividade.

As três secções que se seguem avaliam a relação dos cursos oferecidos pelo ISAP com a modernização da administração pública em Moçambique.

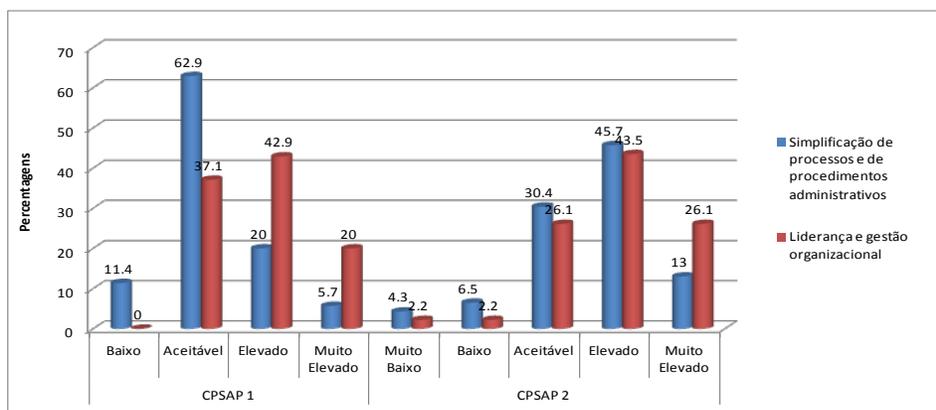
### Os cursos de CPSAP 1 e CPSAP 2, e as possibilidades de modernização da administração pública

O curso de CPSAP 2 destina-se a servidores públicos de nível médio, enquanto o de CPSAP 1 se destina a servidores públicos com o nível de licenciatura. Os dois cursos não visam a atribuição de nenhum grau académico, tendo por único objectivo desenvolver competências e valores profissionais, assim como uniformizar procedimentos administrativos do funcionalismo público, fornecendo, portanto, uma visão geral, teórica e prática, da gestão do sector público.

A partir dos planos analíticos dos módulos leccionados, e considerando ainda a necessidade da criação de capacidade funcional nos servidores públicos para que estes estejam à altura de implementar as reformas administrativas em curso no país, seleccionamos alguns dos elementos mais relevantes para a melhoria da eficiência, eficácia e qualidade dos serviços públicos. Com base no questionário, submetemos os planos analíticos a avaliação pelos servidores públicos que concluíram os cursos dos CPSAP 1 e CPSAP 2, de modo a aferirmos o grau de aprofundamento de alguns aspectos fulcrais da estratégia de reforma e de desenvolvimento da administração pública.

Assim, o gráfico 1 apresenta os resultados da avaliação do grau de aprofundamento dos aspectos inerentes a: i) simplificação de processos e de procedimentos; ii) autonomia, criatividade e inovação permanente; e iii) liderança e gestão organizacional.

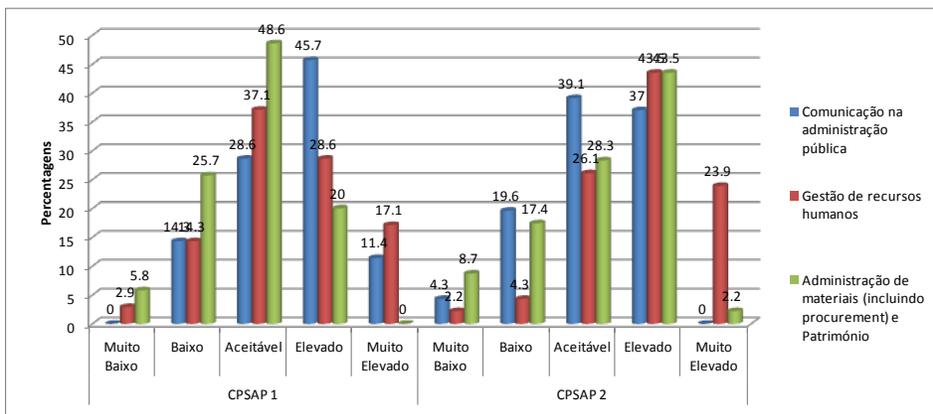
**Gráfico 1: Grau de aprofundamento sobre simplificação de processos e de procedimentos administrativos, e liderança e gestão organizacional (Fonte: Autor)**



Os conteúdos relacionados à simplificação de processos e de procedimentos administrativos são mais aprofundados no curso de CPSAP 2, apesar de não termos constatado diferenciação em termos dos conteúdos programados para os dois cursos. Apesar de o gráfico 1 parecer apontar que os conteúdos inerentes à liderança e gestão organizacional são muito mais aprofundados no CPSAP 2, os planos analíticos dos módulos oferecidos não apresentam matérias necessariamente relacionadas com liderança e gestão organizacional. No CPSAP 1, estes conteúdos constam de dois módulos: Recursos Humanos e Liderança, e Desenvolvimento Organizacional.

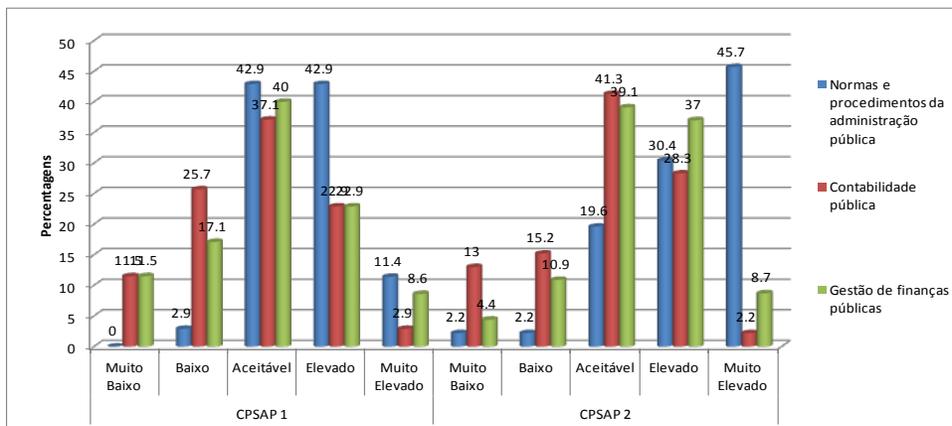
O gráfico 2 revela que os conteúdos relacionados com a comunicação na administração pública são muito menos aprofundados no curso de CPSAP 2. As fragilidades no domínio destes aspectos foram reconhecidas pelo Entrevistado C (13 Janeiro 2016) e pela Entrevistada D (2 Dezembro 2016), os quais sugeriram a necessidade de o ISAP ensinar conteúdos práticos e utilitários, por exemplo, sobre como redigir ofícios, informações-propostas, memorandos, despachos, etc.. A gestão de recursos humanos é abordada de forma mais completa no CPSAP 2. Contudo, nenhum dos dois cursos oferece um aprofundamento em matéria da administração de materiais e património. Se no CPSAP 2 estão reservadas apenas 2h para esta temática, a mesma não é discutida em nenhum momento no CPSAP 1.

**Gráfico 2: Grau de aprofundamento sobre comunicação na administração pública, gestão de recursos humanos, e administração de materiais e património (Fonte: Autor)**



De acordo com o gráfico 3, as normas e procedimentos administrativos são mais aprofundados nos dois cursos de CPSAPs. No entanto, os conteúdos sobre contabilidade pública não são expressivos em nenhum dos cursos, dado que estas matérias não constam dos planos curriculares. Apesar de o curso de CPSAP 1 ter um módulo designado Economia e Gestão Financeira, e o CPSAP 2 ter um módulo de Economia e Finanças Públicas, os nossos inquiridos consideram que os conteúdos atinentes à gestão de finanças públicas não são significativamente aprofundados em nenhum dos cursos.

**Gráfico 3: Grau de aprofundamento sobre normas e procedimentos da AP, contabilidade pública e gestão de finanças públicas nos *currícula* dos CPSAPs (Fonte: Autor)**



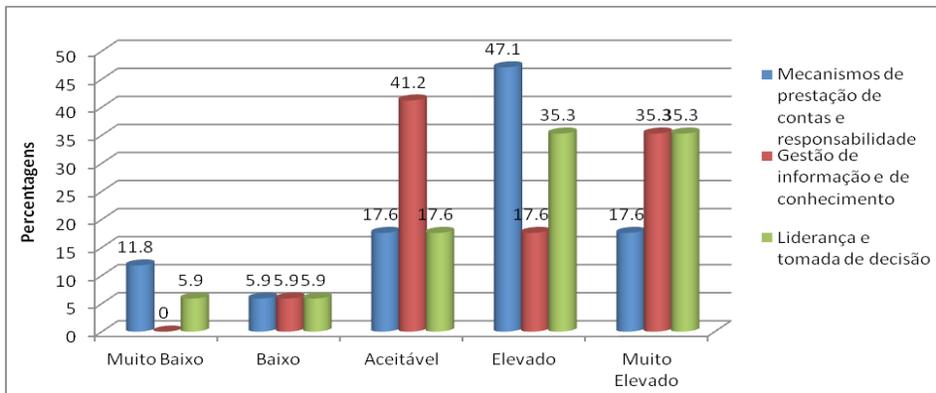
Em suma, os resultados sugerem nitidamente que alguns conteúdos não são devidamente aprofundados nos *currícula* tanto do CPSAP 2 como do CPSAP 1, nomeadamente: comunicação na administração pública, administração de materiais e património, contabilidade pública, e gestão de finanças públicas. Os aspectos relacionados com normas e procedimentos administrativos são relativamente mais aprofundados no CPSAP 2 do que no CPSAP 1, sucedendo o mesmo com o aspecto da gestão de recursos humanos.

### O curso de LPAP e as possibilidades de modernização da administração pública

A partir dos planos analíticos dos módulos do curso, seleccionamos elementos considerados relevantes para a melhoria da eficiência, eficácia e qualidade dos serviços públicos, e submetemo-los à avaliação por parte dos servidores públicos que concluíram o curso de LPAP, com recurso ao questionário.

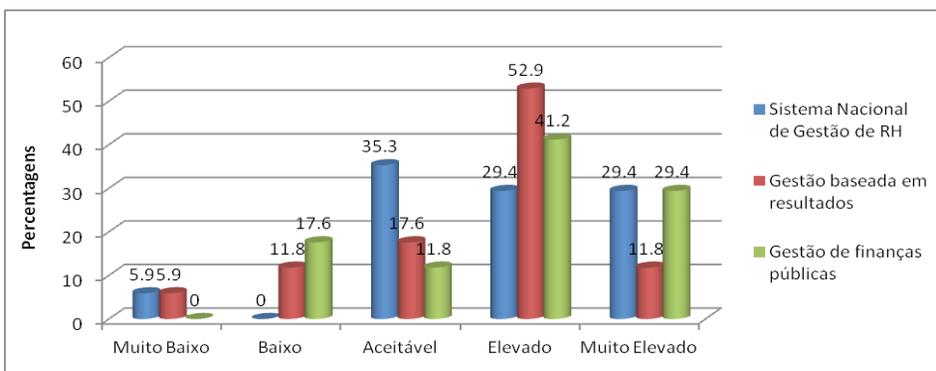
Conforme ilustra o gráfico 4, os conteúdos atinentes a mecanismos de prestação de contas e responsabilidade são relativamente aprofundados no curso de LPAP, sendo tratados no módulo de Gestão de Finanças Públicas (embora não incluam modelos de prestação de contas), e no de Reforma do Sector Público. Apesar de o curso de LPAP incluir o módulo de “Gestão de Sistemas de Informação”, de acordo com os inquiridos, os conteúdos sobre gestão de informação e de conhecimento não são devidamente aprofundados durante a formação. Já os conteúdos inerentes à liderança e tomada de decisão na administração pública são vistos como sendo bem aprofundados no LPAP. Este resultado pode ser explicado pelo facto de existirem três módulos nos quais esta temática pode ser abordada, nomeadamente: Comportamento Organizacional; Ética na Administração Pública; e Liderança e Técnicas de gestão.

**Gráfico 4: Grau de aprofundamento sobre mecanismos de prestação de contas e responsabilidade; gestão de informação e de conhecimento; e liderança e tomada de decisão no LPAP (Fonte: Autor)**



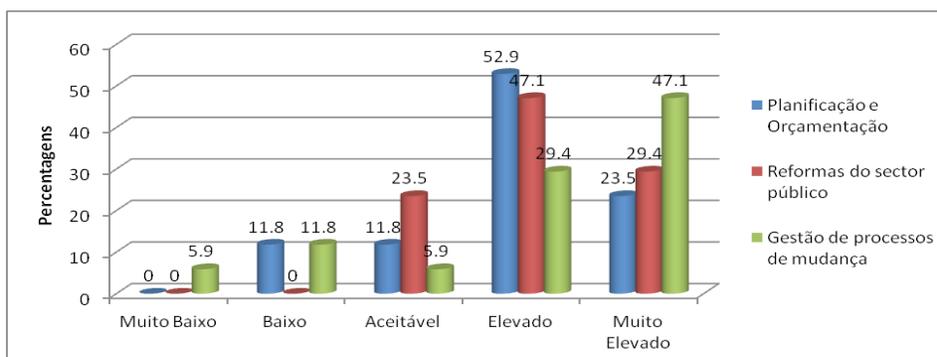
Conforme representado no gráfico 5, o sistema nacional de gestão de recursos humanos não é visto como sendo suficientemente discutido no curso de LPAP, não obstante o currículo incluir dois módulos sobre recursos humanos. Quanto ao grau de aprofundamento de conteúdos sobre a gestão baseada em resultados, 52,9 e 11,8 por cento dos inquiridos defende ser elevado e muito elevado, respectivamente. Todavia, os planos analíticos dos módulos do LPAP não apresentam nenhum conteúdo atinente à gestão baseada em resultados. No que diz respeito à gestão de finanças públicas, os nossos inquiridos consideram ser bastante aprofundada no curso de LPAP.

**Gráfico 5: Grau de aprofundamento sobre sistema nacional de gestão de recursos humanos, gestão baseada em resultados e gestão de finanças públicas (Fonte: Autor)**



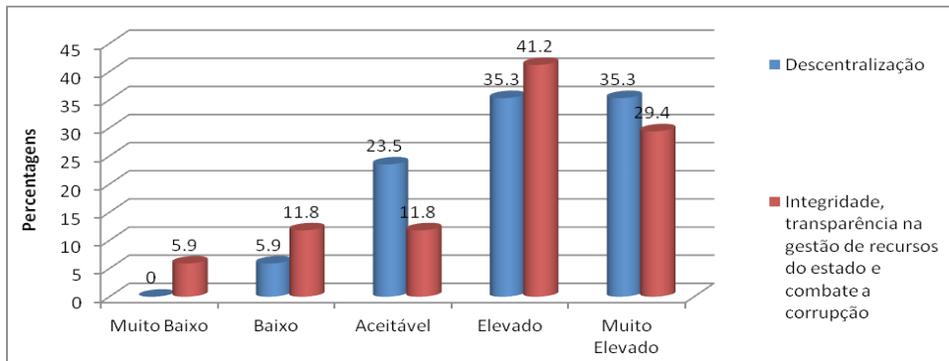
De acordo com o gráfico 6, os conteúdos inerentes à planificação e orçamento são considerados como tendo um aprofundamento expressivo no curso de LPAP, o que pode ser explicado pela existência do módulo de Gestão de Finanças Públicas. Tanto os conteúdos inerentes às reformas do sector público, quanto de gestão de processos de mudança, receberam melhor avaliação dos inquiridos em termos do grau do seu aprofundamento no curso, provavelmente devido à inclusão no currículo de um módulo de Reforma do Sector Público. Embora os resultados do inquérito sobre gestão de processos de mudança indiquem que o curso oferece um aprofundamento desta matéria, na realidade não existe nenhum módulo que aborde estes conteúdos no LPAP.

**Gráfico 6: Grau de aprofundamento sobre planificação e orçamento, reforma do sector público e gestão de processos de mudança (Fonte: Autor)**



O gráfico 7 indica que, de acordo com os informantes, os conteúdos ligados à centralização e descentralização são relativamente bem discutidos no curso, estando enquadrados no módulo de Descentralização. De igual forma, as matérias concernentes à integridade, transparência na gestão de recursos do estado, e combate à corrupção, são relativamente bem aprofundados, desdobrando-se o seu ensino em dois módulos: Reforma do Sector Público; e, Ética na Administração Pública.

**Gráfico 7: Grau de aprofundamento sobre descentralização e desconcentração; e integridade, transparência na gestão de recursos do estado e combate a corrupção (Fonte: Autor)**



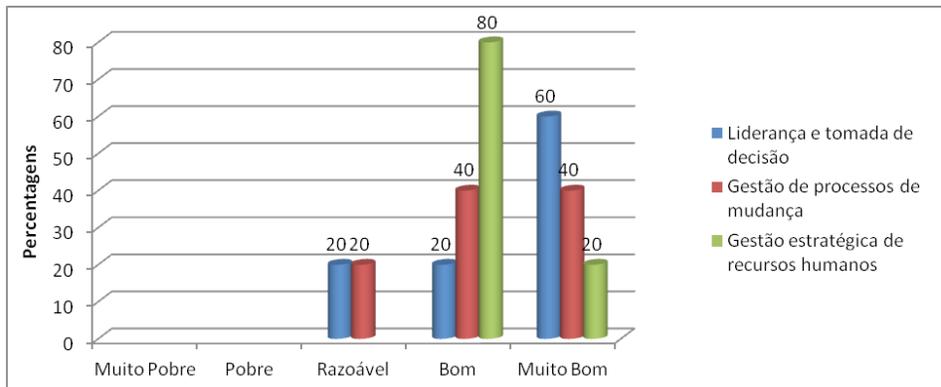
A pesquisa realizada revelou que no curso de LPAP, os conteúdos sobre a gestão de informação e de conhecimento, sistema nacional de gestão de recursos humanos, administração de materiais e património, contabilidade pública, mecanismos de prestação de contas e responsabilidade, não são suficientemente aprofundados.

### **O curso de MPAP e as possibilidades de modernização da administração pública**

À semelhança dos outros cursos, os servidores públicos que concluíram o curso de MPAP avaliaram, através do questionário, o grau de aprofundamento de aspectos relevantes para a melhoria da eficiência, eficácia e qualidade dos serviços públicos.

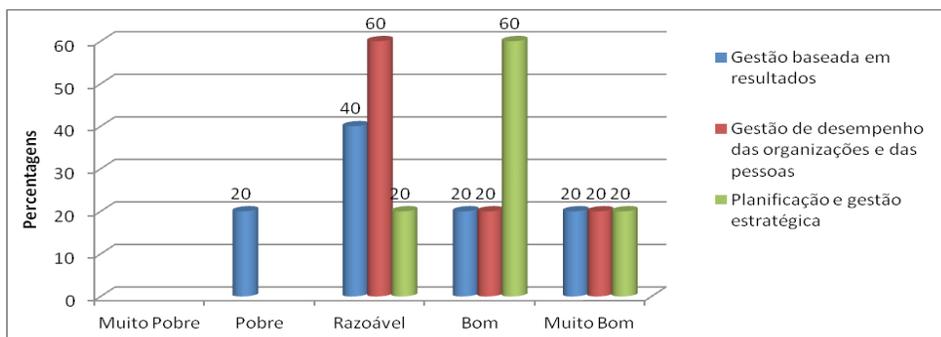
De acordo com o gráfico 8, 20 por cento dos inquiridos que concluíram o MPAP considera ter sido bom o grau de aprofundamento dos conteúdos inerentes à liderança e tomada de decisão na administração pública, enquanto 60 por cento classifica este aprofundamento de muito bom. Estes aspectos constam do módulo Organização e Liderança. No que diz respeito à gestão de processos de mudança, cujos conteúdos são tratados nos módulos de Gestão Estratégica, Gestão Estratégica de Recursos Humanos, e Organização e Liderança, 80 por cento dos informantes avaliaram satisfatoriamente o grau do seu aprofundamento durante a sua formação. A gestão estratégica de recursos humanos é vista como estando muito bem aprofundada no currículo do MPAP, considerando que recebeu 100 por cento de classificação favorável (Bom e Muito Bom).

**Gráfico 8: Grau de aprofundamento sobre liderança e tomada de decisões, gestão de processos de mudança e gestão estratégica de recursos humanos no MPAP (Fonte: Autor)**



O gráfico 9 ilustra que tanto os conteúdos inerentes à gestão baseada em resultados, quanto os relacionados à gestão de desempenho das organizações e das pessoas, não são adequadamente abordados no curso de MPAP. Estes resultados reflectem a forma como foi concebido o plano de estudos, porque não estão nele inclusos. Já os conteúdos sobre planificação e gestão estratégica, têm um grau de aprofundamento maior no MPAP, de acordo com os dados dos nossos inquiridos.

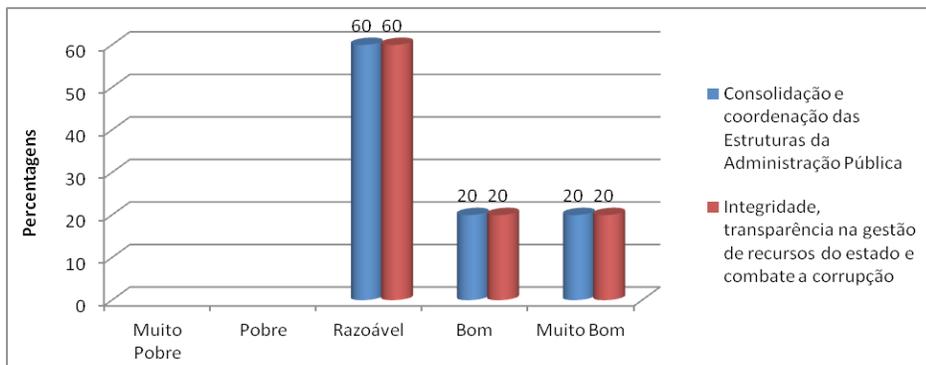
**Gráfico 9: Grau de aprofundamento sobre gestão baseada em resultados, gestão de desempenho das organizações e das pessoas, e planificação e gestão estratégica no MPAP (Fonte: Autor)**



Os resultados ilustrados no gráfico 10 indicam que os conteúdos inerentes à consolidação e coordenação das estruturas da administração pública, assim como os relativos à integridade, transparência na gestão de recursos do estado e combate à corrupção, não são devidamente aprofundados no curso de MPAP. Estes resultados

reflectem fielmente o desenho curricular, dado que nenhum módulo inclui as questões de reformas da administração pública.

**Gráfico 10: Grau de aprofundamento sobre processos de modernização administrativa no MPAP (Fonte: Autor)**



Quer a análise dos conteúdos curriculares, quer as repostas dos participantes, fazemos concluir que curso de MPAP apresenta um cenário que se pode considerar crítico no que diz respeito ao grau de aprofundamento de alguns conteúdos relevantes para a modernização da administração pública, sobretudo no âmbito da gestão baseada em resultados; da gestão de desempenho das organizações e das pessoas; da contabilidade pública; da gestão de finanças públicas; da consolidação e coordenação das estruturas da administração pública; e da integridade, transparência na gestão de recursos do estado e no combate à corrupção.

## CONCLUSÃO

A criação do ISAP representa o culminar do interesse permanente dos sucessivos governos de Moçambique em aumentar a capacidade técnico-profissional dos servidores públicos. O ISAP desempenha um papel relevante como Escola de Governo virada especificamente para a elevação da capacidade técnico-profissional de servidores públicos, através da formação e capacitação em administração pública.

Apesar de se reconhecer a relevância do ISAP no sector público, os resultados da pesquisa sugerem que as competências que os seus cursos permitem desenvolver nos formandos não satisfazem plenamente as necessidades dos funcionários públicos deixando-os com algumas deficiências críticas para o cabal desempenho das suas funções. Esta constatação poderá significar que nem todas as competências e valores profissionais desenvolvidos pelos cursos do ISAP reflitam, na totalidade, as especificidades dos diversos sectores de actividade do sector público.

As possibilidades das Escolas de Governo contribuírem para a modernização da administração pública depende muito da conformidade dos *curricula* dos seus cursos com as agendas de reformas administrativas, que devem almejar por melhorar a eficácia e a eficiência do sector público. Todavia, não é largamente aceite que os *curricula* dos cursos do ISAP estejam alinhados às estratégias de reforma e de desenvolvimento da administração pública, o que pode denotar que os mesmos não refletem completamente as mudanças que se pretendem introduzir no sector público.

Apesar de os resultados da pesquisa, numa primeira leitura, indicarem que os cursos do ISAP permitem melhorar o desempenho dos servidores públicos, e muito embora os perfis definidos nos planos curriculares pareçam reflectir as competências profissionais desejadas, isso, por si só, pode não ser indicativo de que os cursos do ISAP estejam verdadeiramente aptos a conduzir à modernização da administração pública.

Na realidade, as Escolas de Governo serão incapazes de contribuir para a modernização da administração pública enquanto os seus *curricula* não estiverem em conformidade com as mudanças que se pretende introduzir no sector público. Para que a finalidade das Escolas de Governo seja de facto alcançada, será necessário que os seus *curricula* levem ao desenvolvimento de competências e valores profissionais consentâneos com as mudanças necessárias e pretendidas para o sector público.

Após cuidadosa análise dos dados, o estudo levanta algumas dúvidas e reservas sobre a possibilidade do ISAP contribuir grandemente para a modernização da administração pública, uma vez que os seus planos curriculares não só não reflectem completamente os princípios da NGP, como também não estão suficientemente articulados com as Estratégias de reforma e de desenvolvimento da administração pública em curso no país.

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# THE MANAGEMENT OF A POLICY IMPLEMENTATION PROJECT: THE DISASTROUS GAUTENG MENTAL HEALTH MARATHON PROJECT

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## INTRODUCTION

A South African mental health policy implementation project resulted in the deaths of at least 144 vulnerable human beings. This tragedy occurred irrespective of the vision of the relevant policy of an improved mental health care project for all in South Africa. This project, known as the Gauteng Mental Health Marathon Project, was implemented in Gauteng, one of South Africa's nine provinces.

Efforts by various individuals, institutions and organisations to make sense of these implausible occurrences followed this tragedy. Two of these formal sensemaking endeavours are the widely reported investigation by the Health Ombud and the alternative dispute resolution process under the guidance of retired Deputy Chief Justice Dikgang Moseneke. In addition to these formal and structured processes, a variety of scholarly articles have been published in an effort to make sense of the series of events.

Since this devastating project occurred within the public sphere, and more specifically in the sphere of public health care, the purpose of this contribution is to unpack it from a public administration perspective. In doing so, we have set out to establish exactly what happened by providing a chronological reconstruction of the main series of events. This is followed by a selection of the most appropriate theoretical lenses to identify those implausible events and comprehensively redraft this narrative to gain understanding.

These shocking series of events are known by different names, such as the Gauteng Mental Marathon Project (Moseneke 2018), the Gauteng Mental Health Marathon Project (Freeman 2018; Makgoba 2017b), the Life Esidimeni Project (Gauteng Province 2018), and the Life Esidimeni Tragedy (Ferlito and Dhai 2018a; Jacobs, Agaba, and Brady 2018; Robertson et al. 2018; Robertson and Makgoba 2018). Since these events were known within the Gauteng Department of Health (GDoH) as the Gauteng Mental Health Marathon Project (GMMP), and neither the Health Ombud nor the arbitration process could establish the origin of this name for the project (Makgoba 2017b: 1; Life Esidimeni Arbitration 2017b), we have decided to follow the same convention in this sensemaking contribution.

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## **METHODOLOGICAL AND THEORETICAL CONSIDERATIONS: SENSEMAKING THROUGH DIFFERENT THEORETICAL LENSES**

Sensemaking is a well-established process, concept and method within the social sciences. For the purpose of this contribution we have specifically relied on the seminal work of Weick (1993, 1995) in collaboration with colleagues (Weick, Sutcliffe, and Obstfeld 2005), as well as the subsequent work of Public Administration scholars such as Vickers (2002, 2014), Parris and Vickers (2005) and Audette-Chapdelaine (2016). Similar to our case, the first contribution by Weick (1993) also relates to a disaster where people died. Where our contribution consists mainly of an analysis of the report by the Health Ombud (Makgoba 2017b), the transcriptions from the proceedings of the 43 days of the arbitration hearing (Life Esidimeni Arbitration 2017a), the arbitration award (Moseneke 2018), and various other documents, Weick's contribution consists of a re-analysis of an award-winning book on this disaster (Weick 1993). Weick focusses mainly on two questions, namely "Why do organisations unravel?" and "how can organisations be made more resilient?" (Weick 1993: 628). In a later contribution, he elaborates on this more abstractly by rephrasing these questions as "what's going on here?" and "what do I do next?" (Weick et al. 2005: 412). With our study of a disastrous policy implementation project in mind, one may pose slightly different questions; namely "Why do policy implementation projects become disastrous?" and "how can policy implementation projects be vision-aligned?"

In order to answer these questions, it is necessary to understand the purpose, point of departure, and strategy of sensemaking. In this regard, Vickers, relying on the work of Weick (1995), underscores the extremely contested nature of sensemaking, when the occurrence of a specific event is so implausible that it is "getting hard to believe, and harder to explain" (Vickers 2007: 229). The implication of this is that existing theories may be found to be inadequate in explaining the unbelievable and implausible event. Through sensemaking, these gaps in organisational theory (Weick et al. 2005) can be closed through the "ongoing retrospective development of plausible images that rationalise what people are doing" (Weick et al. 2005: 409). By closing those gaps, as with theorising, we understand sensemaking as those interim struggles towards stronger theories (Weick 1995: 385) and plausible actions.

The literature shows that sensemaking is not a once-off event, but a never-ending, retrospective human process (Parris and Vickers 2005, pp. 284–285; Weick 1993, pp. 636, 647; Weick et al. 2005, pp. 411–415) to obtain a sense of direction for the present and the future (Vickers 2007, pp. 224, 234, 235; Weick et al. 2005: 419). It is fuelled by a "desire or need to understand" (Audette-Chapdelaine 2016: 2) why "the perceived state of things is not what we expect it to be" (Audette-Chapdelaine 2016: 6). Not only did this desire to understand the devastating discrepancy between expectation and reality result in a formal investigation and report by the Health Ombud (Makgoba 2017b) and an alternative dispute resolution process (Moseneke 2018); it also brought about an ongoing series of scholarly articles from various disciplinary perspectives.

In this scholarly process of sensemaking, various theoretical lenses relating to the overlapping professional and authority spheres within which this tragedy evolved were used. This includes the lenses of health and human rights (Jacobs et al. 2018; Lund 2016), the actuarial quantification of damages (Whittaker 2018), legal liability (Ferlito and Dhai 2018b; McQuoid-Mason 2018; Toxopeüs 2018), integrated health systems (Freeman 2018; Robertson et al. 2018; Schneider et al. 2016), as well as maladministration and quality assurance (Chambers et al. 2017; Robertson and Makgoba 2018). While the phenomenon of this case study is evidently an intervention, namely a policy implementation project, the logical choice of theoretical lenses for this study were from the sub-fields of public policy implementation and project management within the field of public administration.

The units of observation or material used for this study were nearly exclusive primary and secondary textual material in the public domain. Consequently, it was not necessary to apply for research ethics clearance as this project constitutes no risk of harming any human participants (see Van Heerden, Visagie and Wessels 2016; Wessels and Visagie 2017). The textual material we consulted consisted, inter alia, of the following categories of documents (all the referred material is included in the list of references):

- Regulatory documents, such as the Constitution of the Republic of South Africa of 1996, legislation, regulations, and policy documents
- Annual reports of the Gauteng Department of Health (GDoH)
- The report of the Health Ombud into the circumstances surrounding the deaths of mentally ill patients
- The arbitration ruling by retired Chief Justice Dikgang Moseneke
- Transcriptions of the arbitration proceedings
- Various court rulings related to this case
- Various newspaper reports related to this case
- Various internet webpages related to this case

While the purpose of the current study is to make sense of a devastating public policy implementation project, namely the GMMP, it may be necessary to select theoretical lenses that are appropriate for shedding light on the unanswered policy implementation and project management questions relating to this tragedy. These theoretical lenses are discussed in the section where we report on the sensemaking process. The next section provides a chronology of the Gauteng Mental Health Marathon Project (GMMP).

## **THE GAUTENG MENTAL HEALTH MARATHON PROJECT: A CHRONOLOGY**

The GMMP sparked mass public indignation and cast a negative shadow on the country, both nationally and internationally. It was described as one of the worst human rights violations to have occurred in South Africa since the end of apartheid. This tragedy

occurred against the backdrop of the constitutional responsibility of the South African state to protect the rights of this vulnerable group, while simultaneously making improved mental health services available to them (Republic of South Africa 1996, Sections 27 and 28). This responsibility is outlined in various regulatory documents, such as the National Health Act 61 of 2003 (Republic of South Africa 2003), the Mental Health Care Act 17 of 2002 (Republic of South Africa 2002) and its Regulations (Department of Health 2016), and the National Mental Health Policy Framework and Strategic Plan (NMHPFSP) 2013–2020 (Department of Health 2013). In addition to the country-specific regulatory framework, mental health care in South Africa also occurs within an international regulatory and value framework. This framework consists, inter alia, of the International Covenant on Civil and Political Rights (Camp 1999; United Nations 1976), the International Covenant on Economic, Social and Cultural Rights (United Nations 1967), the International Covenant on People with Disabilities (United Nations 2006), the African Charter on Human and Peoples' Rights (Organisation of African Unity [OAU] 1981), and the WHO Mental Health Action Plan (World Health Organization 2013). While these documents collectively constitute the regulatory context for mental health care in South Africa, the immediate determining document is the NMHPFSP 2013–2020, as discussed in the next section.

### **Deinstitutionalisation: The National Mental Health Policy Framework and Strategic Plan 2013–2020**

The legal framework for the admission and discharge of mental health patients in the Republic of South Africa is provided by the Mental Health Act 17 of 2002 as amended (Republic of South Africa 2002). While this Act predominantly has a protection purpose through its clarification and regulatory provisions (Republic of South Africa 2002, Section 3), it also provides for the state's promotive obligation regarding the provision of mental health care services (Republic of South Africa 2002, Preamble; Section 4). In order to give effect to the implementation of the Act, Sections 66, 67 and 68 provide regulations which have the status of being part of the Act (Republic of South Africa 2002, Section 1).

While the various organs of state responsible for health services in South Africa have their own policies and procedures for giving effect to the provisions of the Act and Regulations, a wide "variation between provinces in the availability of service resources for mental health" has been reported (Department of Health 2013: 15). In an attempt to identify best practices for continuously improving mental health services, extensive consultation processes with relevant stakeholders have been undertaken in the various provinces, culminating in a national mental health summit in April 2012. Following the deliberations at this summit, a new national mental health policy framework and strategic plan, namely the NMHPFSP 2013–2020, was adopted in 2013 (Department of Health 2013: 3).

The main purpose of the NMHPFSP 2013–2020 has been formulated as a vision for improved mental health “for all in South Africa by 2020” (Department of Health 2013: 19). Thus, it is not only a policy framework but a strategic plan to realise this vision. Despite the clarity and simplicity of this vision statement, the complexity of the realisation of this vision and objectives is evident from the regulatory context referred to in the previous section. The NMHPFSP 2013–2020 has tasked health care professionals and professional public administrators with addressing the twelve identified areas for action (Department of Health 2013: 22-29). While the implementation of these twelve areas of action was by their nature interrelated, it is especially the first area, the organisation of services, that is of importance for this study.

These settings and levels provide for a diversity of instances of mental health care, health care professionals, and mental health facilities such “community based settings, general hospitals and specialised psychiatric hospitals” (Department of Health 2013: 22). The “heavy reliance on psychiatric hospitals” was not only identified as labouring “under the legacy of colonial mental health systems” (Department of Health 2013: 9), but in need of further downscaling through deinstitutionalised services. The reported risk involved in deinstitutionalisation (Lund et al. 2011: 31) is highlighted with reference to the fact that deinstitutionalisation “has progressed at a rapid rate in South Africa, without the necessary development of community-based services. This has led to a high number of homeless mentally ill people living with mental illness in prisons and revolving door patterns of care” (Department of Health 2013: 16).

The NMHPFSP 2013–2020 subsequently provides for the scaling up of “decentralised integrated primary mental health services, which include community-based care, PHC clinic care, and district hospital level care” (Department of Health 2013: 19). This up-scaling of community mental health services (consisting of community residential care, day care services and outpatient services) was supposed to occur “before further downscaling of psychiatric hospitals can proceed”, of which all were supposed to happen by 2020 (Department of Health 2013: 23). This specific provisions in the policy framework are remarkably similar to mental health care reforms announced by the governor of Illinois in the United States of America, twenty years earlier, on 4 May 1992 (Lynn 1996: 297). These reforms also constitute the deinstitutionalisation of mental care users to decentralised local area networks (LANs) at community level (Lynn 1996: 305-307).

The envisaged upscaled community health services were intended to be provided by eligible and funded non-governmental organisations (NGOs), voluntary and consumer organisations. The eligibility of these organisations was shown to be determined through a licensing and regulating process, a responsibility of the Provincial Departments of Health (Department of Health 2013, 2016, Regulation 43). Thus, the implementation of the abovementioned provisions of the NMHPFSP 2013–2020 is that the Provincial Departments of Health have to ensure that the community mental health service providers meet the regulatory eligibility and funding requirements before the

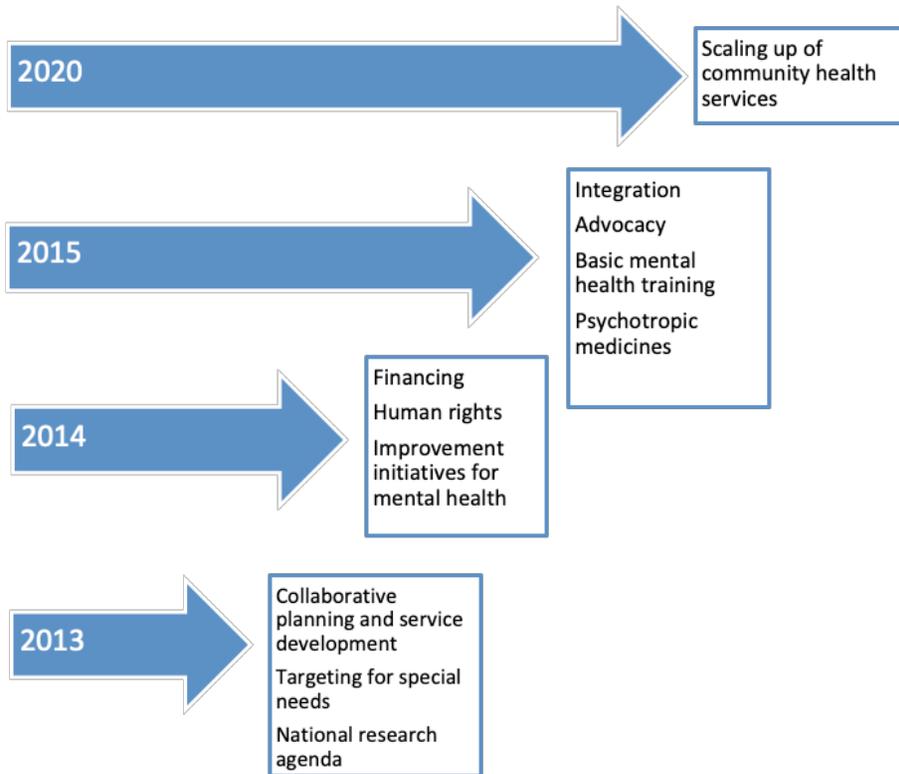
commencement of the process of deinstitutionalisation. The eligibility requirements have been set by national community-based care norms, for which the Ministerial Technical Advisory Committee on Mental Health is responsible (Department of Health 2013 2016 Regulations 5 and 43).

The adoption of the NMHPFSP 2013–2020 thus signified an attempt to further align the mental health care policies of the nine provinces in South Africa with the objectives of the Mental Health Care Act of 2002, as well as with international trends and guidance provided by the World Health Organisation (Department of Health 2013; World Health Organization 2007). This observation is confirmed by a resolution adopted at the 66<sup>th</sup> World Health Assembly in May 2013, to the effect that member countries should “provide comprehensive, integrated and responsive mental health and social care services in community-based settings” (World Health Organization 2013: 6). The qualification of this resolution is noteworthy, namely appropriateness to country-specific situations (World Health Organization 2013). Within the South African context, the implementation of the NMHPFSP 2013–2020 should have occurred within a framework of extensive checks and balances as provided by the Mental Health Care Act of 2002 and its regulations. These checks and balances, as well as the consideration of and learning from international and local experiences of deinstitutionalisation processes, could have guided this process away from the inherent risks attached to the implementation of this policy framework and strategic plan.

In order to mitigate these risks, the NMHPFSP 2013–2020 has identified specific timelines for meeting certain milestones on path to realising the vision of improved mental health by 2020. These milestones for the different years from 2013 to 2020 were (Department of Health 2013: 23-29):

- 2013: intersectional collaboration in planning and service development, the targeting of certain vulnerable groups for special mental health needs, and the development of a national mental health research agenda by 2013
- 2014: principled and integrated financing of mental health, the promotion and protection of the human rights of people with mental illness, and the aligning of quality improvement initiatives for mental health
- 2015: the integration of mental health care into general health care, advocacy for mental health on the public agenda, basic mental health training for staff working in general health settings, and the availability and monitoring of psychotropic medicines at all levels
- 2020: the up-scaling of community health services.

**Figure 1: Deinstitutionalisation timelines of the NMHPFSP 2013–2020**



The 2020 due date for the objective of up-scaling community health services is perhaps an indication of the envisaged time necessary for achieving this objective. Meanwhile, a considerable percentage of health care services have still been rendered by psychiatric hospitals, provided through contractual agreements with private sector service providers, such as the Life Healthcare Group.

### **Life Healthcare Esidimeni contract with the Gauteng Department of Health**

Life Esidimeni (meaning ‘place of dignity’) is a subsidiary of the private sector Life Healthcare Group, which has delivered healthcare and related services to the public sector for more than 50 years (Life Healthcare 2019). Their seven centre-based service categories are aligned with various governmental and transnational policies, mandates and action plans, such as the National Development Plan, and the National Mental Health Policy Framework and Strategic Plan (NMHPFSP) 2013–2020 (Department of Health 2013). These services focus on chronic mental health care, frail care, children’s mental health and frail care, intermediate care, and substance abuse recovery (Life Healthcare 2019).

Life Esidimeni's initial contract was with the National Department of Health (NDoH) since 1979, while the previous four provinces individually took over the contract in 1987 (Life Esidimeni Arbitration 2017b). Since 1994, Life Esidimeni provided mental health care services to various newly constituted provinces, such as the Eastern Cape, KwaZulu-Natal, Limpopo and Gauteng (Makgoba 2017a Annexure 4a). According to a report submitted to the Health Ombud (hereafter referred to as "the Ombud") during his investigation, the Gauteng Province "remained the province with by far the highest number of clients contracted to Life Care" while the other provinces had terminated their contracts with Life Esidimeni over time (Makgoba 2017a Annexure 4a).

Although a contract existed between Life Healthcare Esidimeni and the GDoH for the provision of services to those mental health care users requiring specialised, chronic psychiatric treatment, we could not establish the specific duration, conditions and terms of reference of this contract and service-level agreement. Transcripts of the arbitration hearing revealed that the legal counsel for SECTION27 (a public interest law advocacy group for "substantive equality and social justice in South Africa" acting on behalf of 55 deceased former mental health care patients), was also unable to obtain copies of such documents at the start of the hearings on 9 October 2017 (Life Esidimeni Arbitration 2017a: 26). However, information provided by Life Healthcare Esidimeni on their public website, as well as the testimonies during the arbitration hearings, indicate that these services, provided in three Life Esidimeni psychiatric facilities (Waverley Care Centre, Randfontein Recovery Centre and Baneng Care Centre), included long-term, intensive and professional services to people living with mental illness who are unable to care for themselves and subsequently require 24-hour attention (Life Esidimeni 2019; Life Esidimeni Arbitration 2017b: 94).

While the NMHPFSP 2013–2020 provides for a specific policy intention and a strategic plan for the deinstitutionalisation of psychiatric services, the subsequent decision regarding the discontinuation of the contractual relationship with private healthcare service providers, such as Life Healthcare Esidimeni, has fallen directly within the scope of the various provincial Departments of Health, such as the GDoH.

### **Decision to terminate the contract with Life Healthcare Esidimeni**

While the NMHPFSP 2013–2020 came into effect in 2013, the implementation of the strategic plan to de-institutionalise the mental health care services in Gauteng surfaced for the first time in the public domain on 21 October 2015; the Gauteng Member of the Executive Council (MEC) for Health announced that the GDoH "had given notice to terminate its contract with Life Healthcare Esidimeni Hospital" (Gauteng Health 2015). However, this decision was already communicated for the first time internally (within the sphere of the GDoH) on 4 March 2015. This occurred at a meeting between the Mental Health Directorate of the GDoH, a representative of Life Esidimeni, and "managers and psychiatrists from psychiatric hospitals, psychiatric units in the central hospitals as well as community psychiatric services" (Makgoba 2017a Annexure 8a). At that specific meeting it was allegedly announced that "a decision had been taken to

immediately reduce beds at Life Esidimeni Hospitals in Gauteng by about 11,5% by 31 March 2015, 20% by April 2015, and by a further 10% annually going forward, in order to curtail costs". This summary of the announcement forms part of the memorandum by clinical heads of the Gauteng specialised psychiatric hospitals, heads of psychiatric departments/units of Gauteng central hospitals and academic departments to Dr Manamela, Director: Mental Health, dated 28 April 2015 (Makgoba 2017a Annexure 8a). The reason provided at this meeting was thus a financial one; namely, to reduce costs for the department. This reason has also been stated in the GDoH Annual Report 2015/2016 (Gauteng Province 2016). Regarding the time -implications of this decision, it is noteworthy that this decision was communicated to the stakeholders only 27 days before the first deadline of 31 March 2015 had to be met. No trace could be found in any of the documents in the public domain of any earlier formal consultation with stakeholders related to this decision.

Some of the embedded risks of such a short time-frame had been identified by senior mental health care practitioners in a memorandum to the Director: Mental Health in the GDoH, dated 28 April 2015 (Makgoba 2017a Annexure 8a). This group of concerned experts included the clinical heads of Gauteng specialised psychiatric hospitals, as well as heads of psychiatric departments and units of general and academic hospitals. They were seriously concerned about the manner in which the policy framework was implemented, specifically regarding the decision to immediately reduce beds at Life Esidimeni Hospitals. They drew the director's attention to international and South African experiences and reported studies of the deinstitutionalisation of psychiatric patients, leading them to conclude as follows (Makgoba 2017a Annexure 8a):

*We wish to reiterate our support for the deinstitutionalisation of mental health care users, as envisioned in our National Mental Health Policy Framework and Strategic Plan. We are however gravely concerned that the decision to reduce beds at Life Esidimeni does not follow the processes outlined in the same Plan.*

*We note that this decision will have a devastating impact on the health and social wellbeing of mental health care users, the health care system and members of the community. We also note that this decision will likely escalate health care costs in our province.*

While the internal memorandum – addressed to Dr Makgabo Manamela (Director of Mental Health) and signed by Dr Madigoe (Clinical Head, Tara Hospital) on behalf of seven other professional officials on 28 April 2015 – referred to the announcement of the above mentioned decision (Makgoba 2017a), no indication was given as to who made this decision. The fact that this memorandum was addressed to Dr Manamela indicates that she, at least, made the announcement. The decision was evidently not her own, as the report by the Ombud referred to a 'high-level decision' by three key players, namely Ms Qedani Dorothy Mahlangu (the MEC), Dr Tiego Ephraim Selebano (the Head of the GDoH) and Dr Makgabo Manamela (Director of Mental Health). The

arbitration process revealed that the formal termination notice to Life Healthcare Esidimeni in September 2015 was authorised and signed by the Head of the GDoH who claimed that he did it on the instruction of and in fear of his political principal, the MEC (Moseneke 2018).

In addition to this internal memorandum, an official response was also compiled by the South African Society of Psychiatrists (SASOP) during June 2015 (Makgoba 2017a Annexure 8b). This memorandum, addressed to the MEC for Health (Ms Quedani Mahlangu), was signed by the national convenor of SASOP Public Sector Psychiatrists, the chairperson of SASOP Southern Gauteng Subgroup, the president-elect of SASOP, and the president of SASOP. These professionals collectively raised, inter alia, their concern that “the reduction of beds at Life Esidimeni will have unintended, costly, negative consequences” (Makgoba 2017a Annexure 8b). They furthermore stressed that as the community health care services are “still severely underdeveloped and unable to support the current demand”, they believed that “the reduction of beds and planned closure of Life Esidimeni is premature, and acts in contradiction to the Policy” (Makgoba 2017a Annexure 8b).

No evidence could be found of any responses to both the memorandum and the letter. It is also not clear whether the GDoH met the targets set for reducing the number of beds at Life Esidimeni Hospitals as announced on 4 March 2015. However, the contract was terminated through a formal six-month notice authorised and signed by the Head of the GDoH, Dr Tiego Selebano, on 29 September 2015 (Moseneke 2018: 18). A public announcement was subsequently made by the Gauteng MEC of Health on 21 October 2015 to the effect that the GDoH had given notice to terminate its contract with Life Healthcare Esidimeni with effect from 31 March 2016 (Gauteng Health 2015). The implication of this notice was that all mental health care users would be removed from the Life Healthcare Esidimeni facilities by 31 March 2016.

An analysis of the content of the announcement reveals the following argument as motivation for the decision to terminate the contract:

- Premise 1: As the GDoH “cannot afford” the continuation of the contract with Life Healthcare Esidimeni to the annual value of R323 717 000 for providing “inpatient care, treatment and rehabilitation for people with chronic psychiatric disorders, and severe intellectual disability” (Gauteng Health 2015; Life Esidimeni Arbitration 2017b: 94).
- Premise 2: As the Auditor General allegedly had concerns about “unmanageable contracts” (Makgoba 2017b) and “renewing one contract with one provider all the time for many years” (Life Esidimeni Arbitration 2017b).
- Premise 3: The GDoH have decided to use stipulations of the Mental Health Care Act of 2002 implying that mental health care users be treated in the least restrictive environment.

Conclusion: "To reduce psychiatric patients at facilities by discharging all those who are responding well to treatment and integrate them back to communities and afford them treatment at their respective homes" (Gauteng Health 2015).

The non-affordability of the continuation of the contract, and not improved mental health care for those patients (see the vision of the Department of Health 2013: 19), was shown to be the primary reason provided in the public announcement by the MEC for terminating the contract. In the arbitration award, Judge Dikgang Moseneke contemplated the possible reason for the decision as follows:

*Ms Mahlangu, Dr Selebano and Dr Manamela, gave three reasons for the termination of the contract with Life Esidimeni: the policy requirement to de-institutionalise mental health care users; the Auditor-General's concern regarding the duration of the contract with Life Esidimeni; and budgetary constraints.*

*Unsurprisingly, the reasons are neither cogent nor rational... This is so because towards the end of the hearing, the testimony of the Minister, Premier, member of the Executive Council for Health and member of the Executive Council for Finance convincingly demonstrated that all three reasons put up by the leaders of the Department were false, disingenuous and advanced in order to conceal the true reasons for ending the contract and moving the patients (Moseneke 2018: 19).*

*And yet the claimants and indeed the nation knows not the true reason why the triggering decision was taken by powerful Government Officials against defenceless mental health care users and their families (Moseneke 2018: 75).*

Following the announcement by the MEC, professional bodies in the mental health sector, expert individuals and civil society interest groups advised and cautioned against the decision being implemented by the department. As a public interest law advocacy group for equality and social justice, SECTION27 was alerted to the impending calamity (SECTION27 2018), while engagements with the South African Depression and Anxiety Group (SADAG) occurred (Stevenson 2019). They became a crucial public interest support group, alerting the Director General of the NDoH at an early stage of the drastic effects of the transfer without a proper plan for deinstitutionalisation.

In November 2015, SECTION27, SADAG, SASOP and the South African Federation of Mental Health (SAFMH) raised their well-substantiated concerns with the GDoH (SECTION27 2017) during a meeting chaired by the Head of Department (HoD) of the GDoH on 23 November 2015 (Life Esidimeni Arbitration 2017d). A follow-up meeting occurred on 7 December 2015, ensued by a letter to the Department asking for the

appointment of a curator (Life Esidimeni Arbitration 2017d). The Department replied in a letter dated 15 December 2015 that they would continue to discharge patients (Life Esidimeni Arbitration 2017d). As their concerns were not adequately responded to, SECTION27 stated a litigation process on 17 December 2015 to prevent the GDoH from “placing these patients in other facilities until such time that we bring a curatorship application” (as quoted in The High Court of South Africa Gauteng Local Division 2016: 52), followed by a settlement agreement with the Department on 22 December 2015 (Life Esidimeni Arbitration 2017d: 51; SECTION27 2017; The High Court of South Africa Gauteng Local Division 2016). The settlement agreement seemingly resulted from the intervention of the Director General (DG) of the NDoH, and specifically her assurance to SECTION27 that an implementation plan existed (Makgoba 2017b). This assurance was on the strength of an SMS response from the HoD of the GDoH on the readiness of the plan (Makgoba 2017b: 12).

In terms of this settlement agreement, the department would act in the best interests of the patients. There would be adequate consultation on the process, and nobody would be moved until there was agreement on the process and facilities (SECTION27 2017). At the arbitration hearings, it was discovered that no such plan was provided by the GDoH, nor were any of the other obligations agreed to by the department ever met.

Evidence obtained by the Ombud revealed that, despite the settlement agreement of December 2015, the GDoH proceeded with the implementation of their decision to transfer mental health care users from Life Healthcare Esidimeni facilities according to a plan not shared with the “many stakeholders”, such as Life Esidimeni and the NDoH (Makgoba 2017b: 55). While a “draft plan” was signed by the Director of Mental Health, Dr Manamela, on 22 September 2015 (Life Esidimeni Arbitration 2017d: 34), the investigation by the Ombud revealed that this plan was “actually a cost accounting plan” (Makgoba 2017b: 15). As confirmed by the Ombud, there was indeed “a policy decision by the GDoH to de-institutionalise mentally ill patients from hospital settings into community care” (Makgoba 2017b: 21), and this decision had to be implemented.

### **Implementation of the decision to terminate the contract**

The purpose of this section is to describe and reflect on the formal project to implement the decision announced by the MEC on 21 October 2015. This process unfolded with the appointment of the project manager, the constituting of the project team, the non-existence of a project plan, the first progress reports and a request for the extension of the completion date, implementation challenges, and the aftermath of the project.

#### *Appointment of the project manager*

This process started two weeks after a public announcement by the MEC, when Mr Levy Mosenogi was approached by the MEC to act as project manager to implement this decision, on 5 November 2015 (Life Esidimeni Arbitration 2017d and 2017b). This

was evident during the arbitration hearings as it was recorded at an internal meeting of the GDoH that “Mr Mosenogi is appointed by MEC as project manager for the Life Esidimeni project” (Life Esidimeni Arbitration, 2017d, p. 113). Mr Mosenogi, a Master’s graduate who also completed courses in project management, was an experienced public manager: a former Director of Policy and Planning in the North West provincial government, and a former Chief Director: District Management. At the time when he was approached, he was the Chief Director: Policy, Strategic Planning and Monitoring (Gauteng Province 2016; Life Esidimeni Arbitration 2017d), but Mr Mosenogi testified at the arbitration hearing that his position is: Chief Director Planning, Policy and Research (Life Esidimeni Arbitration, 2017b). In addition, he successfully managed the Selby Park transfer project (Makgoba 2017b) after the contract between the GDoH and Selby Park Hospital was not renewed during the 2015/16 financial year (Gauteng Province 2016; Life Esidimeni Arbitration 2017b). He was evidently an appropriate choice for project manager.

While his appointment as project manager by the accounting officer, the HoD of the GDoH, was only officially finalised on 10 December 2015 (Life Esidimeni Arbitration 2017b), the project was shown to be in operation since (at least) 1 April 2015. Reportedly, 160 patients were transferred during the period 1 April 2015 to 31 March 2016, while about 1 371 chronic mentally ill patients were transferred between 1 April 2016 and 30 June 2016 to either hospitals or NGOs (Makgoba 2017b). It thus seems that Mr Mosenogi took over the management of an already running project, although it is not clear from whom; most probably from the Director: Mental Health, Dr Manamela, who managed the project as part of her line function.

#### *Composition of the project team*

After Mr Mosenogi was approached to take up this task, he sought clarity about his role from the HoD of the GDoH (Dr Selebano) and, considering the complexity and magnitude of the task, he simultaneously suggested the names of experts as possible members for such a project team (Life Esidimeni Arbitration 2017d: 35, 80). He subsequently received his formal letter of appointment on 9 December 2015 and “signed it off” on 10 December 2015; along with most of the team members he recommended (Life Esidimeni Arbitration 2017d: 34-35). In the words of Mr Mosenogi, the project team consisted of, “several senior managers together with relevant CEOs, especially of the psychiatric hospitals, Weskoppies, Sterkfontein, Cullinan and Tara. But also with the support staff, senior managers and the support staff, HR, infrastructure and finances” (Life Esidimeni Arbitration 2017b: 82).

According to Mr Mosenogi, this project team contained several task teams, such as human resources “to look at the staff of Life Esidimeni, especially those who were taking care of our patients there”, finance, as they needed “a lot of ... funds to carry out our task”, infrastructure, as they “needed to renovate some areas in our facilities to show that we are able to accommodate additional patients”, and for mental health, which was already working “(b)ecause the project, when I took it over, was already

running” (Life Esidimeni Arbitration 2017b: 84). The latter task team, which included the clinicians, continued “to deal with the patient issues, because that one was already established under the Directorate of Mental Health unit in terms of ... their normal task” which included “dealing with the admission, the discharge, the assessment of patients within Life Esidimeni” as well as “taking care of the NGOs” (Life Esidimeni Arbitration 2017b: 85).

From the above, one can deduce that the composition of the project team was broadly representative of all key stakeholders within the department. The individual membership, as well as the composition of task teams within the project team, clearly provided for the main functions required by the project. While the other task teams had to be temporarily convened for the purpose of this project, the core task team, namely the one responsible for mental health aspects, in essence consisted of a permanent part of the GDoH, namely the Directorate: Mental Health.

#### *Non-existence of a project plan*

After officially being appointed, the project manager set out to acquaint himself with the objectives, scope and strategic links of the project. Thus, in his own words, “what was already there in terms of the project, what was called the project plan” and discovered that the project plan only consisted of a “cost analysis or cost effectiveness study [that] was done by our health economics” with “no other document except the mental health policy” (Life Esidimeni Arbitration 2017d: 81). His assessment corresponds with that of the Ombud referred to in Section 3.3 above. This also explains why the DG of the NDoH testified during the arbitration hearings that she “never got the plan, not in writing and not in any form” (Life Esidimeni Arbitration 2017d: 154).

According to one of the evidence leaders during the arbitration hearings, the key purpose of this project team was “to facilitate smooth termination of contract between GDoH and Life Esidimeni for care to chronic mental health users by 31 March 2015” (Life Esidimeni Arbitration 2017d: 62). The project manager interpreted his brief as to “ensure that the patients who are chronic patients who are in Life Esidimeni are catered for. Those who need to be at our facilities, they are taken back to our facilities. Those who are liable for discharge are discharged. And those who need to go to NGOs are taken to NGOs, non-governmental organisations... that was the main task. But also to ensure that the facilities are ready for that” (Life Esidimeni Arbitration 2017b: 90). While clarity existed of the final completion date of the project, namely 31 March 2016, he discovered that “there was no due diligence done” before the commencement of the project (Life Esidimeni Arbitration 2017d). Subsequently, no prior identification of possible challenges, the project parameters, the length or duration and the cost of the project was considered by the newly appointed project team (Life Esidimeni Arbitration 2017d: 81).

A reconstruction of the events from various sources have shown that, immediately after its official appointment, the newly established project team was confronted with

a request by SECTION27 and SADAG on 9 December 2015 for the appointment of a curator for the affected patients (Life Esidimeni Arbitration 2017d: 51); a formal written response by the Department on 15 December 2015 informing the concerned bodies that the Department will continue to discharge patients (Life Esidimeni Arbitration 2017d: 50); as well as meetings between the HoD of the GDoH and the DG of the NDoH with SECTION27 on their specific concerns about patients' transfer to Takalani (Makgoba 2017b: 15). Takalani NGO was a registered organisation that specialised in working with children with intellectual disabilities.

#### *First progress reports and a request for extension*

The project manager submitted his first progress report on 26 January 2016 to his principal and thereafter on a regular basis, fortnightly, until the completion of the project on 30 June 2016 (Life Esidimeni Arbitration 2017d: 4-5). While a copy of the first progress report could not be found, Mr Mosenogi testified during the arbitration hearings that the report provided a reflection on how he understood the purpose of the project and what will be necessary for implementing the project (Life Esidimeni Arbitration 2017b: 113). His second report to the MEC of Health, dated 12 February 2016, consisted of two parts; an email and a memorandum, allegedly from the Mental Health Directorate (Makgoba 2017a Annexure 5). The list of attachments to the email indicates that a PowerPoint presentation to the MEC was also included.

Mr Mosenogi's email to the MEC (Makgoba 2017a Annexure 5) was copied to Dr Selebano (HoD of the GDoH), Dr Lebethe (Deputy DG Clinical Services) and Ms Kyanyisa (Director in the Office of the HoD). It is worth noting that the email was not copied to the Director of Mental Health, Dr Manamela. Considering that the HoD of the GDoH was the most senior public official in the department, as well as the accounting officer for this department, it was uncommon for the project manager not to report to him, but to report directly to the political head of the department, namely the MEC. It was revealed during the arbitration hearings that due to Dr Selebano's fear of the MEC, he asked Mr Mosenogi "to write a letter to Ms Mahlangu pleading for an extension of the contract because he could not" (Moseneke 2018: 82).

The email by Mr Mosenogi briefly reports on the number of clients at Life Esidimeni, hospital beds that would be ready by the end of March, a breakdown of available beds for adults and children by the end of March at NGOs, processing of applications for clients' identification documents, clinical profiling, staff uncertainty at Life Esidimeni and renovation and maintenance of own facilities. Noteworthy is his request that "the department seriously consider an extension of the contract [with Life Healthcare Esidimeni] to about 6 months minimum to a year" to assist them "to do better work with regard to beefing up our own facilities to cater for such vulnerable patients; and also ensure that the NGOs are trained and also adjust to handling a variety of specialised patients, and also well prepared for such venture." In addition, he conveyed the request from Life Healthcare Esidimeni for clarity of plans as they "need to issue notices to staff before the end of February 2016" (Makgoba 2017a Annexure 5).

The memorandum attached to this email provides feedback of meetings with relatives of patients at two of the facilities and his realisation that the way the project “is going to unfold may have unintended consequences resulting in the disruption of mental health services broadly in the province” (Makgoba 2017a Annexure 5). He specifically warns that the policy decision will cause “the relapse of the most vulnerable patients”, “huge shifts in ... [the] overall way of life” of the relatives of patients, job losses for those health care workers “with specific care skills although not professionally qualified”, and the disruption of academic programmes at the Life Esidimeni facilities (Makgoba 2017a Annexure 5).

The project manager concluded the memorandum with a recommended alternative implementation approach, which has been “discussed and shared amongst ourselves as senior managers i.e. HoD, DDG and the LE project managers” (Makgoba 2017a Annexure 5). This proposal boils down to extending the process by “at least a financial year”, the possible procurement of some centres of Life Healthcare Esidimeni, and a subsequent “smooth deliberate process” of the one centre not procured (Makgoba 2017a Annexure 5).

From the above it is evident that two months after his appointment as project manager, Mr Mosenogi realised that the 31 March 2016 completion date for this project was unrealistic, considering what had to be undertaken as part of the project (Makgoba 2017b). Hence his request to the MEC for an extension of the project completion date in order to plan and prepare properly for this evidently complex project, and to mitigate the identified risks of harming these vulnerable patients. This request is indeed an example of the identification of early warning signs in a typical complex project, as discussed by Williams, Klakegg, Walker, Andersen and Magnussen (2012). These early warnings were evidently not taken seriously and the proposed alternatives were also not accepted by the project sponsor, namely the MEC (Makgoba 2017b). No evidence exists of any serious consideration of, or response to, these concerns or alternative approaches by the MEC. In fact, ample evidence exists of the opposite, namely disregarding of these concerns, as confirmed by the subsequent Ombud report and the arbitration hearings (Makgoba 2017b; Moseneke 2018).

#### *Implementation challenges*

Several implementation challenges have emerged, of which the limited timeframe, the non-existent project plan and the disputable eligibility of NGOs as health facilities, are the most prominent.

Following the request for an extension of the due date with six months to a year, the GDoH announced in a press statement on 18 February 2016 that the MEC agreed to an extension of three months. The due date of the project to remove all mental care users from the Life Esidimeni facilities and to transfer them to eligible NGOs, was moved from 31 March 2016 to 30 June 2016 (Algorithm Consultants and Actuaries 2018: 2; Life Esidimeni Arbitration 2017b: 103; SECTION27 2017). Meanwhile, the various parties acting on behalf of mental health care users and their families experienced

that insufficient information provided by the Department severely constrained any consultations with the GDoH during the first three months of 2016 (SECTION27 2017). The lack of sufficient information can be attributed to the lack of a coherent project management plan to facilitate the availability and integration of the different categories of project-related information.

In addition to the timeframe challenge, and related to the apparent non-existence of an integrated project management plan, challenges related to the eligibility of the new community facilities to take care of vulnerable health care users, increased. During March 2016, the various organisations acting on behalf of the family members of the health care users (e.g. the SA Federation for Mental Health (SAFed), SADAG and SASOP) became aware of the intention of the GDoH to proceed with the relocation of 54 health care users with various diagnoses (e.g. severe intellectual disability, hypersexuality and psychosis) to Takalani Home (Algorithm Consultants and Actuaries 2018; SECTION27 2017). Takalani Home was not regarded as an eligible facility for these health care users between the ages of 24 and 101, as it catered for children.

Subsequently, the SADAG, SAFed, SASOP, and the Association of Concerned Families of Residents of Life Esidimeni (ACFRLE) made an urgent application to the Gauteng South Division of the High Court against the MEC for Health, GDoH, Life Esidimeni and Takalani Home to prohibit the discharge and placement of users at Life Esidimeni to alternative facilities “until such time as the first to third respondents [the MEC and the GDoH] have engaged meaningfully with the applicants and other stakeholders and developed a reasonable plan for the discharge of users from Life Esidimeni” (Valley 2016: 2). The applicants argued that the discharges were “in breach of the settlement agreement concluded on 22 December 2015, in that they are planning to discharge users from the Life Esidimeni mental health facilities without having engaged in a meaningful consultative process with the applicants” (Valley 2016: 2). The GDoH argued that settlement ended on 31 January 2016 and that they were subsequently “within their rights to discharge the patients” (Child 2016: 1–2). The application was dismissed by the court on the grounds that the patients were discharged by a clinician (Ferlito and Dhali 2018b; Mooney Ford 2017; Valley 2016). It is significant that the court specifically stated that the finding “must not be construed, as sanctioning the housing of the 54 users at Takalani” (Valley 2016: 5).

Following this ruling by the court, the MEC declared in a media statement: “we will continue to work with all stakeholders to make sure that no patient will be neglected or thrown on the streets as result of this contract termination” (Gauteng Health 2016). The court application highlighted the concerns of the various parties with the project management process; specifically regarding the perceived inadequateness of the assessment of health care users, as well as the eligibility and readiness of the NGO facilities to which they were transferred. This decision prompted the GDoH to continue with the rapid transfer of patients to the earmarked NGOs without consulting stakeholder groups during the period March to June 2016 (SECTION27 2017). However,

it became evident that the “earmarked NGOs” referred to above, may have been non-existent at the time of the urgent court application. In fact, the Ombud established that “people were called to a meeting to one of the Life Esidimeni halls and told that ... we are going to transfer patients from Life Esidimeni and this is an opportunity to provide empowerment to people who can either modify their homes [sic] in order to accommodate patients” (Life Esidimeni Arbitration 2017b: 21).

While the urgent application of 15 March 2016 related to mental health care users’ transfer to a specific NGO, namely Takalani Home, it highlighted a crucial aspect of the vague project plan, namely the selection and licensing of NGOs as eligible mental health care facilities. The licensing of NGOs became a key area of scrutiny by the investigation of the Ombud (Makgoba 2017b) as the arbitration hearings and award (Moseneke 2018).

Even though NGOs were supposed to play a key role in providing community-based mental health care, they were evidently either non-existent or not ready to take up this role. The Ombud reported that “the NGOs were invited to attend a meeting held by GDoH and were informed about the opportunity of housing mentally ill patients. Some of the NGOs were residential homes and families moved out and relocated to accommodate conversion of their homes into centres of care because they saw a business opportunity in the transfer project” (Makgoba 2017b: 21). Thus, NGOs were recruited on short notice to make themselves available as mental health care facilities.

The project team has nevertheless been shown to be aware of Section 8.7 of the NMHPFSP 2013–2020 (Department of Health 2013) which determines that, for NGOs to provide community-based mental health services, Provincial Departments of Health should licence and regulate them in terms of regulation 43 (Department of Health 2016, Regulation 43) of the Mental Health Care Act of 2002 (Republic of South Africa 2002). While no evidence could be found of favouritism (e.g. the accommodation of large numbers of patients for large amounts of money) in the granting of licences (Life Esidimeni Arbitration 2017b), the Ombud revealed inadequate preparation of NGOs prior to the placement of mental health care users, the back-dating of licences, and a lack of professional experience at NGOs for dealing with mental health care users (Makgoba 2017b).

Furthermore, it has been revealed that all licences granted to 27 NGOs to which mental care users were moved were irregular as they were signed by the Director of Mental Health and not by the HoD of the GDoH who has been legally authorised to do so (Department of Health 2016; Moseneke 2018; Republic of South Africa 2002). It has also been established that the authority given by the Act to the Head of the NDoH “with the concurrence” (Republic of South Africa 2002: 5) of the GDoH, has not been legally delegated by the Head of the GDoH to the Director of Health, Dr Manamela, resulting in all the licenses she signed being invalid (Life Esidimeni Arbitration 2017c: 161-162).

The main concern was not with the legal technicality regarding the authority of the Director of Mental Health, but with the integrity of the process to ensure that the NGOs had the capacity to render appropriate specialised care. This was indicated by years of experience and insight into the needs of mental health care users, adequately qualified staff, reasonable staff-patient ratios, access to medical care, and financial sustainability (Makgoba 2017b). Evidence was provided during the arbitration hearing that licenses were finalised and signed by the Director of Health, irrespective of explicit warnings by the relevant Deputy Director that these NGOs did not comply with the licensing requirements (Moseneke 2018). The implication of the licensing process was the transfer of mental health care users from the Life Healthcare Esidimeni facilities the NGOs who were not eligible for the tasks for which they were licensed. This resulted in the withdrawal of quality health care, substituted with sub-standard care (Makgoba 2017b: 39).

Furthermore, the flawed licensing process resulted in severe financial and staffing challenges for these NGOs – another indication of the absence of an integrated project management plan. Newly licensed NGOs only received financial support from the GDoH three to four months after the arrival of these mental health care users (Makgoba 2017b: 21, 37, 47). Subsequently, the staff members who had to receive patients from the Life Esidimeni facilities were reportedly unskilled, non-professional and untrained to assess the medical conditions of patients and their medical records (Makgoba 2017b: 22).

In addition to the non-eligibility of the 27 NGOs to which health care users were transferred, the physical transfer process was another major challenge. Five types of transfers have been distinguished, namely transfers within different Life Healthcare Esidimeni facilities, from Life Healthcare Esidimeni facilities to NGOs, from Life Healthcare Esidimeni facilities to psychiatric hospitals, from NGOs to psychiatric hospitals, and between different NGOs (Makgoba 2017b: 20, 30, 31). The Ombud observed that the multiple transfers of mental health care users added to their anxiety and stress. In addition, these organisations were sporadically located in different geographical areas, resulting in a breakdown of communication with the families of patients who were moved there. This, in itself, was contradictory to the objective of the policy framework of integrating patients closer to the communities they came from (Department of Health 2013: 21).

While it has been reported that a total of 1450 health care users were transferred during the period October 2015 and June 2016, of which 817 were transferred in May 2016, and another 512 in June 2016 (Makgoba 2017b), the statistics indicate that no less than 10,4% of those transferred to NGOs died. An analysis of the casualties by the Ombud revealed that about 80% of patients died in five NGOs, namely Precious Angels, Cullinan Care and Rehabilitation Centre/Siyabadinga/Anchor, Mosego/Takalani, Tshepong and Hephzibah (Makgoba 2017a: 8). Only 2,4% of those users transferred to hospitals died (Makgoba 2017b; Moseneke 2018). While the first person died about

one month before the completion date of the project on 25 May 2016, no less than an additional five people passed away by the last day of this project, namely 30 June 2015 (Makgoba 2017b). However, after the official closing of the project, mental health care users continued to die. The report of the Ombud referred to more than 94 deaths (Makgoba 2017b: 41), while Judge Moseneke referred to the death of at least 144 mental health care users in his award on 19 March 2018 (Moseneke 2018: 2). This figure will most probably still grow, as further investigations reveal more information.

### **Aftermath: Investigation by and findings of the Health Ombud and Arbitration hearing**

The main aftermath of the project was the growing numbers of deaths of health care users who were discharged from Life Healthcare Esidimeni facilities and transferred to NGOs. This resulted in the National Minister of Health requesting the Ombud to investigate “the circumstances surround in the deaths of mentally ill patients in the Gauteng Province” during October 2016 (Makgoba 2017b: 3). His investigation was informed by the work of an expert panel, inspectors of the Office of Health Standards and Compliance (OHSC), and evidence by individuals, families and relatives of the deceased (Makgoba 2017b). The subsequent report was released on 1 February 2017 (see reference to the date in Toxopeüs 2018). The Ombud concluded that the decisions and actions by the decision-makers and implementers were either negligent or reckless and in contravention of the Constitution of the Republic of South Africa of 1996, the National Health Act of 2003 and the Mental Health Care Act of 2002 (Makgoba 2017b: 49-52).

With reference to the project management process, the Ombud found that the project plan was not approved by the relevant authority, while aspects related to planning, monitoring, and timeframes were non-existent (Makgoba 2017b: 52). He subsequently recommended that similar projects in future be undertaken within a clear policy framework and guidelines, under the supervision of relevant oversight mechanisms, and with the permission obtained from the National Health Minister (Makgoba 2017b: 54-55). Based on the evidently low levels of trust, “anger, frustration, loss of confidence” in the GDoH amongst stakeholders, the Ombud also recommended that the National Minister of Health and the Premier of Gauteng must lead and facilitate an “Alternative Dispute Resolution process” (Makgoba 2017b: 55) resulting in the various parties agreeing on an arbitration process before former Deputy Chief Justice Dikgang Moseneke (Toxopeüs 2018).

Proceedings in the arbitration process started on 9 October 2017 and ended on 9 February 2018 (Moseneke 2018). No less than 43 days were allocated to the hearings, while an additional two days were set aside for the legal arguments. The 60 witnesses included senior government officials, officials on the middle-management level, political office bearers, the managing director of Life Esidimeni, managers and owners of NGOs, expert witnesses, and family members of deceased and surviving mental health care users (Moseneke 2018). Furthermore, an abundance of documentary

evidence was also admitted to the record of the hearing. The purpose of the arbitration proceedings was to determine the “nature and extent of the equitable redress, including compensation due to mental health care users and their families who were negatively affected by the Marathon Project that led to the closure of Life Esidimeni mental health care facilities after 1 October 2015” (Moseneke 2018: 4).

During the proceedings, the state “conceded that the deaths of the concerned mental health care users were not natural deaths but caused by the unlawful and negligent omission or commissions of its employees – starting with Ms Mahlangu Dr Selebano and Dr Manamela – and of the personnel of non-governmental organisations who were agents of the State and who bore the same duty of care and the same statutory and constitutional obligations as the State towards the mental health care users and their families” (Moseneke 2018).

On 19 March 2018 Justice Moseneke made a binding award for funeral expenses, general damages for shock and psychological trauma, and, as appropriate, relief and compensation for unlawful actions that caused the deaths of 144 mental care users. An award was also offered for “the pain, suffering and torture of 1418 mental health care users who survived and their families” (Moseneke 2018: 43). After actuarial evidence was led on 30 November 2017, the arbitrator’s award amounted to a total of R159 460 000 (Whittaker 2018: 4).

Not only did the decision to terminate the contract with Life Healthcare Esidimeni and transfer the majority of the mental health care users in these facilities to NGOs who were not eligible to act as mental health care facilities directly result in the deaths of at least 144 health care users; also it also led to a considerable amount of public money being lost. The question is thus: how can one make sense of this series of events constituting the GMMP?

## **RETROSPECTIVE SENSEMAKING OF A DISASTROUS POLICY IMPLEMENTATION PROJECT**

The purpose of this section is to report on a sensemaking process driven by a relatively simple question posed by Weick et al. (2005: 412), namely “what is going on here?” By repeatedly asking this question with reference to the NMHPFSP 2013–2020 as a strategic framework for the deinstitutionalisation of mental care users (subsection 3.1), the contract between the GDoH and Life Healthcare Esidimeni (subsection 3.2), the decision to terminate the contract (subsection 3.3), the implementation of the decision (subsection 3.4), and the aftermath (subsection 3.5), this section sets out to report on a retrospective sensemaking process on what happened. While the chronology in Section 2 of this contribution may result in various unanswered factual and conceptual questions, the following two questions are the most pressing for the purpose of the current contribution:

1. How can one make sense of the respective roles of the MEC, the HoD of the GDoH and the Director of Mental Health in the GMMP as an instance of a policy implementation failure?
2. How can one make sense of the GMMP as an instance of a disastrous policy implementation project?

The first question relates to the vast collection of theories on policy implementation, policy failure and implementation failure, while the second question relates to those theories which try to shed some light on the project management dimension of a policy implementation project.

### **How can one make sense of the respective roles in the GMMP as an instance of a policy implementation failure?**

A review of the different role-players' behaviour in implementing the decision to terminate the contract with the private service provider (see subsection 3.4), shows that the most influential role-players were the MEC of Health (the responsible political office bearer), the HoD of the GDoH (the accounting officer and most senior public servant), the Director of Health (the direct line manager of the directorate responsible for mental health care in the GDoH), and the project manager (a Chief Director in the GDoH). While each of them has a distinct role within the GDoH, the following discrepancies in their respective roles within the GMMP were identified for sensemaking:

- The MEC, and not the HoD, approached Mr Mosenogi to serve as project manager (subsection 3.4.1).
- While the GMMP was called a project, a formal project plan was not used (3.4.2).
- While the project was initiated within the scope of the NMHPFSP 2013–2020, the project was not aligned to the vision, requirements and timelines of this policy document (subsections 3.1 and 3.3).
- The HoD did not agree with the termination of the contract, but nevertheless signed the termination notice (subsection 3.3).
- The project manager's progress report was addressed and submitted to the MEC and not to the HoD who was the accounting officer of the GDoH (subsection 3.4.4).
- The MEC did not grant the requests of the project manager for an extension of the project timeframe to a year, or for following suggested alternative options (subsection 3.4.4).
- The GDoH continued to house mental care users in facilities not meeting the eligibility requirements, irrespective of the court ruling that the court finding "must not be construed, as sanctioning the housing of the 54 users at Takalani" (Valley 2016: 5).

A review of the scholarly literature revealed an abundance of possible theoretical lenses to be applied for making sense of the above-listed discrepancies and other instances of policy implementation failure. The most attractive theories for the present study are the theories of policy regime (May 2015; Nowlin 2011), policy commitment (Barton, Duchon and Dunegan 1989; Brockner 1992; Simonson and Staw 1992; Staw 1981; Staw and Ross 1978), policy failure (Howlett, Ramesh and Wu 2015; McConnell 2015), implementation failure (Dunlop 2016; Howlett et al. 2015), public service failures (Van de Walle 2016), and the political-administrative interface (Audette-Chapdelaine 2016). While this project has been implemented within the framework of the National Mental Health Policy Framework and Strategic Plan, and as the roles of the relevant political office bearer and the accounting officer have shown to be key in this tragedy, we will apply, for the purpose of this sensemaking process, three interrelated lenses, namely the policy regime lens, the policy commitment lens, and the political-administrative interface lens.

#### *Making sense through the policy regime lens*

Through a network of political and institutional forces related to a specific policy problem, the policy regime lenses make sense of the role of the various political and administrative governing arrangements (May 2015) in the playing out of a policy implementation project. Subsection 3.1 reports on the regulatory framework as part of the macro policy regime of the project under investigation. This regime consists of the national and provincial government role-players, as well as the diversity of mental health care professional stakeholders. This macro policy regime contributed to the development of the NMHPFSP 2013–2020 during 2012. The policy regime of the project under investigation consists of what May refers to as “the constellation of political and institutional forces” (May 2015: 295) that address the problem of mental health care in South Africa. This policy regime also determines the political and administrative governing arrangements for giving effect to the constitutional, legislative and regulatory requirements for mental health care in South Africa.

Within the context of this study, the policy regime consists of a dense network of political, administrative and professional role-players legally authorised by equally dense regulatory frameworks. In addition to these role-players, the policy regime also includes those regulatory arrangements referred to above, of which the policy and strategic direction are determined by the vision of the NMHPFSP 2013–2020, namely “Improved mental health for all in South Africa by 2020” (Department of Health 2013: 19). The implication of this strategic direction is that any project constituted to implement any aspect of this policy framework, need to be aligned to this vision as a determining strategic success factor of the project (Abednego and Ogunlana 2006).

Subsection 3.2 provides a brief background regarding the contract between the GDoH and Life Healthcare Esidimeni. Posing the sensemaking question “what’s going on here?” (Weick et al. 2005: 412), we, as researchers, tried to understand the reasons for the contract between the two parties. This contractual agreement for specialised

psychiatric care has been shown to be an instance of a Public Private Partnership inherited by the GDoH (as well as the Departments in other provinces) from the pre-1994 provincial health care structures. It is noteworthy that the national policy regime closely linked this “heavy reliance on psychiatric hospitals” to “the legacy of colonial mental health systems” (Department of Health 2013: 9). The GDoH has apparently not followed the example of departments in other provinces to terminate these contracts and, by implication, to depart from this colonial legacy. Consequently, Gauteng became the province with the highest number of mental health care users being cared for through this partnership with its colonial label. The political implication of this comparison may have contributed to the urgency with which the decision to terminate the contract was driven by the Gauteng-specific policy regime.

The decision to terminate the contract with Life Healthcare Esidimeni (see subsection 3.3) was announced for the first time internally on 4 March 2015 by the Director of Mental Health, and not by the HoD of the GDoH or by the MEC. To what extent was this instance of reality in line with what could have been expected (see the sensemaking question posed by Audette-Chapdelaine 2016: 6)? In answering this question, we have chosen the policy regime perspective developed by May (2015) as the most appropriate theoretical lens for obtaining clarity. This lens draws the attention to the “interplay of the ideas, institutional arrangements, and interests that undergird a given regime” (May 2015: 278) for addressing policy problems and converting them into actions. This perspective specifically emphasises “the constellation of political and institutional forces ... to address a given problem” (May 2015, pp. 295–296). From this perspective, one could reasonably expect that this decision by the GDoH was the result of the collective work of all key stakeholders, as was the case with the development of the NMHPFSP 2013–2020 in 2012. However, this announcement indicates an attenuation of the meaning and scope of the concept ‘policy regime’ within this specific context. It is evident that key role-players in the translation of policy into integrative actions across multiple subsystems were excluded; thus depriving this policy implementation process of legitimate, coherent and durable policy implementation and feedback regimes (May 2015: 281, 295–296; Nowlin 2011: 54).

Furthermore, the affordability and contractual reasons provided for the termination of the contract (see reconstruction of the argument in subsection 3.3), has also been shown to be dislocated from both the policy regime as the national policy intent of “improved mental health for all in South Africa” (Department of Health 2013: 19). In a study on public service failure, Van de Walle refers to public service failure by design in areas where the “demand for services is high but resources scarce” (Van de Walle 2016: 836). However, evidence by the MEC for Finance during the arbitration proceedings revealed that a lack of finance was not a contributing factor to this decision (Moseneke 2018: 19). From the above, it seems that the only plausible explanation for this decision is provided by the policy regime lens. The all-inclusive national health care policy regime has been attenuated by the GDoH to the exclusion of the national policy intent and the wide variety of legitimate health care stakeholders.

### *The situational theory of policy commitment*

Related to the policy regime lens is the situational theories of political and policy commitment (Barton et al. 1989; Brockner 1992; May 2015; Simonson and Staw 1992; Staw 1981). These theories have several variations, namely:

- a preference for a commitment to the general rule compared to the particular incidence (Staw and Ross 1978: 62),
- a tendency “to escalate commitment above and beyond what would be warranted by the ‘objective’ facts of the situation” (Staw 1981: 584), and
- a tendency that the escalation of commitment is inversely related to how the decision-maker perceived the risk attached to proceed with a commitment (Barton et al. 1989).

The interpretation obtained from this subsection is that the policy decision that justified a commitment is the general rule as set by the NMHPFSP 2013–2020, and not the particular brief for the project. The NMHPFSP 2013–2020 not only provided the strategic objective of better mental health care for all, but also the broad timeline within which the project was supposed to be implemented (Department of Health 2013; see also Figure 1). Thus, the situational theory of policy commitment implies that the decision to terminate the contract with the private service provider and subsequently to transfer mental health care users from those facilities to NGOs, should have been aligned to the NMHPFSP 2013—2020. This alignment evidently did not happen. Although the objective facts of this specific situation indicated that the practice of the GMMP was not adequately aligned to the NMHPFSOP 2013–2020, the attenuated policy regime of the GDoH did not demonstrate a commitment to the national policy framework, but a commitment to their own non-aligned policy decision. Considering the theory explaining a tendency “to escalate commitment above and beyond what would be warranted by the ‘objective’ facts of the situation” (Staw 1981: 584) , it makes sense why the MEC did not grant the project manager’s request to extend the project timeframe to a year, or to follow suggested alternative options (see subsection 3.4.4).

Furthermore, it seems that the ruling of the court on 15 March 2016 was interpreted by the GDoH as an indication of a reduced risk attached to their commitment to their decision to transfer mental health users to NGOs. With the abovementioned third variation of the situational theory of policy commitment in mind (Barton et al. 1989), the escalated commitment of the GDoH to proceed with the implementation of their decision makes sense.

### *The political-administrative interface*

Our investigation revealed a peculiarity regarding the respective roles of the MEC (political office bearer) and the HoD (accounting officer); in this case with the MEC being actively involved in the operational aspect of the project. Not only did she approach Mr Mosenogi to serve as project manager (subsection 3.4.1); she also received progress reports directly from the project manager. She was also directly approached to approve the extension of the project, as well as to consider alternative

operational options. On the other hand, according to his own testimony, the HoD signed the termination notice against his will. He was also afraid to approach the MEC with alternative options suggested by the health care professionals (subsections 3.3 and 3.4.4).

In order to make sense of this peculiarity, we have applied the complementary lens of political-administrative interface according to which public managers are supposed to “[strengthen] democracy, whereas elected officials help support the professionalism of the civil service” (Audette-Chapdelaine 2016: 5). This model relies on a communal relationship between politicians and senior public managers. However, in our case the relationship between the political office bearer and the HoD does not demonstrate such an equal complementary relationship. In fact, ample evidence has been provided of the MEC overstepping in the sphere of public administration, while the HoD abdicated his legal authority as accounting officer.

### **How can one make sense of the GMMP as an instance of a disastrous policy implementation project?**

One of the defining characteristics of the GMMP is the fact that it is known as a project with a project manager, a project team and a due date. Another defining characteristic is that it is known for its disastrous failure. The purpose of this section is to make sense of GMMP as an instance of a disastrous policy implementation project. In doing so, we will also attempt to make sense of this major discrepancy; namely, that although the project was managed by a well-qualified and experienced project manager, it turned out to be a catastrophic failure.

This attempt at sensemaking can be approached through the relevant project management theories to shed some light on the necessary conditions for project success or failure. While a rich collection of literature exists in the field of project management, we have identified different theoretical approaches, such as the identification of success factors (Abednego and Ogunlana 2006: 625), criteria for measuring project performance (Chapman and Andersson 2017: 336), and the distinct stages of a project management approach (Alotaibi and Mafimisebi 2016). Abednego and Ogunlana (2006: 625) identify two success factors for a project, namely the success of the project’s management, and the success of the product of the project. The latter implies meeting the strategic objective or mission of the policy and, by implication, the project (Abednego and Ogunlana 2006: 625). In addition to these two success factors, Chapman and Andersson (2017: 336) provide five criteria for measuring the performance of a project, namely whether the strategic objective of the policy has been met (similar to the second success factor mentioned above), the nature of the internal project characteristics and external contingencies, the resources and capabilities available for the project, the key project success factors, and the expectations regarding the ultimate value delivered by the project. In addition to these lenses, the distinct stages of the project management approach suggested

by Alotaibi and Mafimisebi (2016: 96) may also serve as valuable lenses for making sense of the devastating outcome of the project under investigation. These stages are as follows: project definition and initiation, project planning, project launch, project execution, and project closing. Table 1 provides a comparison of the lenses provided by the three empirical referents. While the three contributions had different foci and sensemaking indicators, they share at least one sensemaking indicator, namely the strategic intent of the project (product success, strategic objective, ultimate value, deliverables, definition and initiation – see the highlighted cells in table 1).

**Table 1: Theoretical lenses for making sense of policy implementation projects**

Empirical referents	Foci	Sensemaking indicators				
Abednego and Ogunlana (2006)	<b>Success factors</b>	Project management success	Meeting time, cost and quality objectives	Quality of project management process	Satisfying stakeholders' needs	<b>Strategic objective: product success</b>
Chapman and Anderson (2017)	<b>Project performance</b>	<b>Strategic objective</b>	Internal characteristics and external contingencies	Resources and capabilities	Key success factors	<b>Ultimate value/ deliverables</b>
Alotaibi and Mafimisebi (2016)	<b>Stages of the project management</b>	<b>Definition and initiation</b>	Planning	Launch	Execution	Closing

The chronology of the GMMP has shown that the overarching strategic intent of this project was captured in the vision of NMHPFSP 2013–2020 as improved mental health for all in South Africa by 2020 (Department of Health 2013: 19). However, the key purpose of the project team was something more operational; namely, to ensure the smooth transfer of psychiatric patients within the different Life Healthcare Esidimeni facilities to NGOs or to other psychiatric hospitals who were ready to receive these patients by 31 March 2016 (Life Esidimeni Arbitration 2017d: 62). The operational project management process, however, focussed nearly exclusively on ensuring that all the patients accommodated by the Life Healthcare Esidimeni facilities were removed from these facilities by the extended target date of 30 June 2016. No evidence could be found of an intention to ensure that those facilities to which they were transferred constitute the envisaged improved mental health care for them. While this study has not done a detailed project management analysis and assessment of this project, ample evidence exists of the fact that the brief received by the project team was not embedded in the vision of the NMHPFSP 2013–2020.

## **FUTURE-ORIENTED SENSEMAKING: ALIGNING POLICY IMPLEMENTATION PROJECTS TO POLICY VISIONS**

While the never-ending process of sensemaking predominantly has a retrospective focus (Parris and Vickers 2005: 284-285; Weick 1993: 636, 647; Weick et al. 2005: 411-415), the purpose of this process is to obtain insight into the present and the future (Vickers 2007: 224, 234, 235; Weick et al. 2005: 419) fuelled by a “desire or need to understand” (Audette-Chapdelaine 2016: 2) why “the perceived state of things is not what we expect it to be” (Audette-Chapdelaine 2016: 6). By drawing on the past experiences from this disastrous policy implementation project as discussed in Section 4, this future-oriented sensemaking intends to plot this narrative “by anticipating future events and actions” (Cunliffe and Coupland 2012: 67). By doing this, we share the view of Maclean, Harvey and Chia that “looking to the future is also about living in the real world” (Maclean, Harvey and Chia 2012: 30). However, for us living in the real world means also imagining (Klein, Moon and Hoffman 2006: 89) how things could have played out should different choices have been made. Thus, to anticipate a similar policy implementation project for the future (Cunliffe and Coupland 2012), we start by imagining a different GMMP by bringing the meaning obtained from the previous sections into existence (Weick et al. 2005: 410).

Our futuristic story starts in the very near future, namely 2020. Instead of 144 deceased mental health care users, there are 1418 traumatised surviving mental care users and about 44 missing mental health care users (Moseneke 2018: 2). The mental health care users in Gauteng will experience an improved state of care (Department of Health 2013: 19) in comparison with the state of being in 2012. Most of them will receive mental health care in eligible community-based residential facilities provided by NGOs or community-based organisations (CBOs), day care services, or outpatient services (Department of Health 2013: 23). Others, according to their specific needs and diagnostic profile, will receive mental health care through a strengthened district mental health system, general hospitals, or specialised psychiatric hospitals (Department of Health 2013: 23-24). The strengthening of the mental health system was financed through an amount of R159 460 000 (Department of Health 2013: 25; Whittaker 2018: 4), especially budgeted for by the GDoH for scaling up these services “to match recommended national norms” (Department of Health 2013: 23).

This state of being has been the result of the mobilisation of the all-inclusive national health care policy regime by the GDoH in collaboration with the wide variety of legitimate health care stakeholders, to realise of the national policy intent of improved mental health care for all. A decisive factor in realising this improved state of mental health care was the exceptional demonstration of policy commitment by all the role-players in the GDoH to the NMHPFSP 2013–2020. This commitment has been escalated (see the theoretical explanation by Barton et al. 1989) due to the relevant decision-makers’ perception of the low risk attached to the systematic and well-planned implementation of this policy (Department of Health 2013: 22-29).

The systematic and well-planned implementation of this policy in Gauteng over a period of seven years was facilitated by an equal and complementary relationship between the responsible political office bearer, the MEC for Health, the accounting officer, and HoD of the GDoH. Their respective roles in this implementation process have been informed by, inter alia, the NMHPFSP 2013–2020 (Department of Health 2013: 29-32) and other national legislation.

The operational project necessary for the transfer of the mental health care users will be launched during 2019, after the formal project plan has received the necessary regulatory due diligence and approval, and after all the regulatory and policy prerequisites have been met (Life Esidimeni Arbitration 2017d: 81-82). With all the required preparation done, this project will focus predominantly on ensuring that all the patients accommodated by the Life Healthcare Esidimeni facilities are transferred in the most respectful way to improved mental health care facilities, within the agreed timeframe. The entire project management plan and the execution thereof will be embedded in the vision of the NMHPFSP 2013–2020.

Through this process of sensegiving by replacing the present storyline with an envisaged future one, we have tried to bring a different event into existence (Weick et al. 2005). While this contribution has predominantly focussed on the event as a disaster, the process of sensemaking turns the retrospective focus to the desired future as a “natural focus for analysis” (Brown, Colville and Pye 2015: 268).

Looking to the future can indeed be “about living in the real world” (Maclean et al. 2012: 30)!

## **CONCLUSION**

This contribution set out to make sense of the widely reported, disastrous GMMP causing the deaths of about 144 vulnerable individuals. In doing so, we add to various other sensemaking processes; formal, informal, legal and academic. We have selected the sensemaking approach for the simplicity in which it guides the sense-maker with naïve questions through the messy field of discrepancies. As this specific case has been intensively and widely scrutinised in the public domain, we have relied nearly exclusively on publicly available material. By doing that, we acknowledge that there are numerous other perspectives and stories that we have not sourced and analysed. Furthermore, we also acknowledge that our selection and use of a selection of theoretical lenses are by far not exhaustive or adequate. However, we hope that our contribution will serve as a starting point for Public Administration scholars and practitioners to continue with their own sensemaking endeavours.

Our study provides a chronological narrative of the so-called GMMP. The name of this project allegedly originated within the GDoH. The inclusion of the word “marathon” in the title of the project has been shown to be more than a bit ironic. Our narrative reveals

that the project, officially started in December 2015, has a three-year background starting in 2012 with the development of a national mental health policy framework and strategic plan for the period 2013 until 2020. This framework and strategic plan was a remarkably detailed, comprehensive and internationally aligned document. It is this document that provides the backdrop for the de-institutionalisation of mental health care users in Gauteng. We have also revealed that while the GDoH's contract with the privately-owned Life Healthcare Esidimeni stretched back nearly indefinitely in history, the decision to terminate the contract had a definite aura of urgency.

This urgency to terminate the contract with Life Healthcare Esidimeni defined the entire GMMP. The subsequent project to implement the decision to terminate the contract started even before it was officially constituted, resulting in a project without a project plan. Irrespective of the appointment of a well-qualified and experienced project manager, supported by a project team of experts in the fields included in the project, the project failed dismally.

In our retrospective effort to make sense of what actually happened, we have applied several theoretical lenses. Subsequently, we have found that the all-inclusive national health care policy regime has been attenuated by the GDoH to the exclusion of the national policy intent and the wide variety of legitimate health care stakeholders. We have argued that the behaviour of the GDoH in this saga can be attributed, *inter alia*, to the situational theory of policy commitment. Furthermore, we found that the relationship between the political office bearer and the HoD in our case, were not equal and complementary at all; the MEC overstepped in the sphere of public administration, while the HoD did not sufficiently execute his legal authority as accounting officer.

Lastly, we have found that the operational project management process focussed nearly exclusively on removing the mental health care users from the Life Healthcare Esidimeni facilities before 30 June 2016, without evidence that those facilities to which they were transferred would constitute the envisaged improved mental health care for them.

With this contribution, we have shown that through retrospective sensemaking it is possible to creatively rectify and replace the errors of the past with an envisaged future storyline.

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**ABSTRACTS OF ARTICLES IN THIS EDITION  
RÉSUMÉS DES ARTICLES DE CETTE ÉDITION  
SUMÁRIO DOS ARTIGOS NESTA EDIÇÃO**

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**GLOBALISATION AND KNOWLEDGE  
PRODUCTION IN HIGHER EDUCATION: THE  
IMPACT OF INTERNATIONALISATION AND  
LIBERALISATION ON UNIVERSITY EDUCATION IN  
RWANDA AND UGANDA**

Roberts Kabeba Muriisa and Asasira Simon Rwabyoma

Globalisation has influenced practices in many sectors in developing countries and has recently infiltrated the higher education sector, in particular, the university subsector. As such, common practices in university curriculum development have followed global movements and influences of knowledge production. The increasing demand for access to higher education has opened new windows for providing university education, albeit with some challenges. These windows include, in particular, privatising higher education, since the government cannot satisfy the increased demand, and internationalisation of education through partnerships to respond to the global requirement of universal service provision. We examine how higher education is influenced by liberalisation and international partnerships in Rwanda and Uganda. How do these two countries respond to increased demand for higher education and the global challenges? How does university growth respond to globalisation? What is the role of the state in influencing the response? The study methodology involves secondary data analysis regarding the aforementioned themes. This study provides lessons on the way universities are responding to the needs and the pressures of globalisation through curricula.

**Keywords:** *globalisation, knowledge production, liberalisation, internationalisation*

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# MONDIALISATION ET PRODUCTION DE CONNAISSANCES DANS L'ENSEIGNEMENT SUPERIEUR : L'IMPACT DE L'INTERNATIONALISATION ET DE LA LIBERALISATION SUR L'ENSEIGNEMENT UNIVERSITAIRE AU RWANDA ET EN OUGANDA

Roberts Kabeba Muriisa et Asasira Simon Rwabyoma

La mondialisation a influencé les pratiques dans de nombreux secteurs des pays en voie de développement, et a récemment infiltré le secteur de l'enseignement supérieur et les universités en particulier. Ainsi, les pratiques courantes du développement des programmes d'études universitaires ont suivi les mouvements internationaux et les influences sur la production des connaissances. L'augmentation de la demande pour accéder à l'enseignement supérieur a ouvert des nouvelles portes d'offre d'enseignement universitaire, non sans défis. Elles incluent notamment la privatisation de l'enseignement supérieur, vu que le gouvernement ne peut pas satisfaire à une demande accrue, ainsi que l'internationalisation de l'éducation à travers des partenariats pour répondre à une demande mondiale de prestation de service universelle. Nous examinons la manière dont l'enseignement supérieur est influencé par la libéralisation et les partenariats internationaux au Rwanda et en Ouganda. Comment ces deux pays répondent-ils à la demande accrue d'accès aux études supérieures et aux défis mondiaux ? Comment la croissance universitaire permet-elle de répondre à la mondialisation ? Quel rôle joue l'Etat en influençant cette réponse ? La méthodologie de recherche utilise l'analyse de données secondaires sur les thèmes susmentionnés. Notre étude offre des renseignements sur la manière dont les universités répondent aux besoins et aux pressions de la mondialisation à travers leurs programmes d'études.

**Mots clés :** *mondialisation, production de connaissances, libéralisation, internationalisation*

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# GLOBALIZAÇÃO E PRODUÇÃO DE CONHECIMENTOS NO ENSINO SUPERIOR: O IMPACTO DA INTERNACIONALIZAÇÃO E LIBERALIZAÇÃO NO ENSINO UNIVERSITÁRIO EM RUANDA E UGANDA

Roberts Kabeba Muriisa e Asasira Simon Rwabyoma

A globalização influenciou as práticas em muitos sectores nos países em desenvolvimento e infiltrou-se recentemente no sector do ensino superior, em especial no subsector universitário. Como tal, as práticas comuns no desenvolvimento do currículo universitário têm seguido os movimentos e influências globais da produção de conhecimento. A crescente procura de acesso ao ensino superior abriu novas janelas para a oferta de ensino universitário, embora com alguns desafios. Essas oportunidades incluem, em particular, a privatização do ensino superior, uma vez que o governo não pode satisfazer o aumento da demanda, e a internacionalização da educação por meio de parcerias para responder à exigência global de uma prestação de serviço universal. Examinamos como o ensino superior é influenciado pela liberalização e pelas parcerias internacionais em Ruanda e no Uganda. Como é que estes dois países respondem ao aumento da procura de ensino superior e aos desafios globais? Como é que o crescimento universitário responde à globalização? Qual é o papel do Estado em influenciar a resposta? A metodologia de estudo envolve a análise de dados secundários sobre os temas acima mencionados. Este estudo fornece lições sobre a forma como as universidades estão a responder às necessidades e pressões da globalização através dos currículos.

**Palavras-Chave:** *globalização, produção de conhecimento, liberalização, internacionalização*

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# GHANA AND GLOBAL DEVELOPMENT AGENDAS: THE CASE OF THE SUSTAINABLE DEVELOPMENT GOALS

Patrick Tandoh-Offin

Towards the end of the twentieth century, the global community agreed in principle to create common frameworks for the guidance of national development by member states. Experiences and lessons from implementing the Millennium Development Goals (MDGs) between 2000 and 2015, called for the current agenda, the Sustainable Development Goals (SDGs), to focus on addressing development concerns from three major dimensions (ecological, social and economic). Ghana's experience with implementing the MDGs was not different from experiences documented generally from the developing world. This paper therefore relies on social action research methodologies and development theories to assess Ghana's preparedness to implement the SDGs. That is how lessons learnt from MDGs implementation can be a useful framework in assessing the relevance of the range of planned programs and activities, and citizens' awareness and role in the implementation process. Also reviewed are expectations for state agencies at all levels in ensuring successful implementation of the Goals by Ghana.

**Keywords:** *Global Development Agenda, Sustainable Development Agenda*

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## GHANA ET LES PROGRAMMES MONDIAUX DE DEVELOPPEMENT : LE CAS DES OBJECTIFS DE DEVELOPPEMENT DURABLE

Patrick Tandoh-Offin

Vers la fin du XXème siècle, la communauté mondiale a convenu en principe de créer des cadres communs de travail pour guider le développement national des États membres. L'expérience et les leçons tirées de la mise en œuvre des Objectifs du Millénaire pour le Développement (OMD), entre 2000 et 2015, a débouché sur le programme actuel, les Objectifs de Développement Durable (ODD), afin d'aborder les inquiétudes relatives au développement d'un point de vue écologique, social et économique. L'expérience de mise en œuvre des OMD du Ghana a été similaire à celle qui a été documentée de

manière générale dans les pays développés. Cet article dépend des méthodologies relatives à la recherche sur l'action sociale et des théories sur le développement pour évaluer la disposition du Ghana à mettre en œuvre les ODD. Les leçons tirées de la mise en œuvre des OMD peuvent ainsi servir de cadre de travail pour l'évaluation de la pertinence des programmes et activités planifiés, et de la prise de conscience et du rôle des citoyens dans le processus de mise en œuvre. L'attente des agences nationales à tous les niveaux est également examinée en vue de garantir la bonne mise en œuvre des Objectifs du Ghana.

**Mots clés :** *Programme mondial de développement, Programme de développement durable*

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## **GANA E AGENDAS DE DESENVOLVIMENTO GLOBAIS: O CASO DAS METAS DE DESENVOLVIMENTO SUSTENTÁVEL**

Patrick Tandoh-Offin

No final do século XX, a comunidade global concordou, em princípio, em criar quadros comuns para a orientação dos Estados-Membros em matéria de desenvolvimento nacional. Experiências e lições da implementação dos Objetivos de Desenvolvimento do Milênio (ODMs) entre 2000 e 2015, exigiram que a agenda actual, ou seja, os Objetivos de Desenvolvimento Sustentável (ODSs), se concentrasse na abordagem das preocupações relativas ao desenvolvimento em três dimensões principais (ecológica, social e económica). A experiência do Gana com a implementação dos ODM não foi diferente das experiências gerais documentadas no mundo em desenvolvimento. Este artigo, portanto, baseia-se em metodologias de pesquisa de acção social e teorias de desenvolvimento para avaliar o grau de preparação do Gana para a implementação dos ODS. É assim que as lições aprendidas da implementação dos ODM podem ser um quadro útil para avaliar a relevância da panóplia de programas e actividades planeados, bem como a sensibilização e o papel dos cidadãos no processo de implementação. Também são analisadas as expectativas das agências estatais a todos os níveis para assegurar uma implementação bem-sucedida dos Objectivos por parte do Gana.

**Palavras-Chave:** *Agenda de Desenvolvimento Global, Agenda de Desenvolvimento Sustentável*

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# CAPACITY BUILDING THROUGH PUBLIC INSTITUTIONS OF HIGHER LEARNING: A CASE STUDY OF NAMIBIA

Davy Du Plessis and Charles Keyter

Since gaining independence in 1990, the Namibian Government has allocated the lion's share of its National Budget to education. The rationale was to eliminate the inequalities and historic disadvantages experienced by the non-white population of South West Africa (today Namibia) under the apartheid regime during the apartheid period under South African rule (1948-1990). This article gives an overview of the historical background of Namibia with specific reference to the transformation movements initiated by the two public institutions of higher learning in Namibia, namely the University of Namibia (UNAM) and the Namibia University of Science and Technology (NUST), to address past inequalities and enhance capacity building.

To ensure the realisation of Vision 2030 for Namibia as well as the achievement of Vision 2030 for Namibia, the Government of Namibia drafted five-year plans, namely the National Development Plans, to fast track Vision 2030 (National Planning Commission, 1995). The aim of these five-year plans is to assess what has been achieved and what still needs to be done to meet the targets set for Vision 2030 for Namibia. The aim of Vision 2030 is to achieve a service driven economy by the year 2030 to bring Namibians on par with those in the developed world (Office of the President, 2004). The critical role that education plays, in particular, in higher learning, is recognised as a way of increasing capacity so that Namibia can become a developed nation by 2030, which will benefit all Namibians (Office of the President, 2004). The crucial question is whether the two Universities have met the expectations vested in them by the Namibian Government, and its people at large, to ensure capacity building in the public and private sector that will contribute to the realisation of Vision 2030.

**Keywords:** *University of Namibia, Namibia University of Science and Technology, capacity building, Namibian Government, public service*

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# RENFORCER LES CAPACITES GRACE AUX INSTITUTIONS D'ENSEIGNEMENT SUPERIEUR PUBLIQUES : ETUDE DE CAS DE NAMIBIE

Davy Du Plessis et Charles Keyter

Depuis l'indépendance en 1990, le Gouvernement namibien a attribué la plus grande part de son budget national à l'éducation. Les raisons étaient d'éliminer les inégalités et les désavantages historiques qu'avaient vécus la population non blanche de l'Afrique du Sud-Ouest (aujourd'hui la Namibie) sous le régime de l'apartheid, durant la période de domination sud-africaine (1948-1990). Cet article offre une vue d'ensemble du contexte historique de la Namibie, en faisant référence spécifiquement aux mouvements de transformation initiés par les deux institutions d'enseignement supérieur publiques en Namibie, soit l'Université de Namibie (UNAM) et l'Université des Sciences et Technologies de Namibie (NUST), afin d'aborder les inégalités du passé et d'améliorer le renforcement des capacités.

En vue de garantir la réalisation et le succès de la Vision 2030 de la Namibie, le Gouvernement de la Namibie a dressé des plans de cinq ans, soit les Plans nationaux de développement, afin d'accélérer la Vision 2030 (Commission nationale de planification, 1995). L'objectif de ces plans est d'évaluer ce qui a été réalisé et ce qui reste à faire pour atteindre les objectifs de la Vision 2030 de la Namibie. Ces derniers sont de parvenir à une économie de services d'ici 2030, pour s'assurer que le niveau de vie des Namibiens soit comparable à celui des citoyens des pays développés (Cabinet du Président, 2004). Le rôle crucial joué par l'éducation, et l'enseignement supérieur en particulier, est reconnu comme une manière d'accroître les capacités qui permettront à la Namibie de devenir un pays développé d'ici 2030, bénéficiant à tous les Namibiens (Cabinet du Président, 2004). La question cruciale est de savoir si les deux universités ont répondu à l'attente du Gouvernement namibien et de la population dans son ensemble, en vue de garantir le renforcement des capacités au sein des secteurs public et privé, et qui contribueront à la réalisation de la Vision 2030.

**Mots clés :** *Université de Namibie, Université des Sciences et Technologies de Namibie, renforcement des capacités, Gouvernement namibien, service public*

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# CAPACITAÇÃO ATRAVÉS DE INSTITUIÇÕES PÚBLICAS DE ENSINO SUPERIOR: UM ESTUDO DE CASO DA NAMÍBIA

Davy Du Plessis e Charles Keyter

Desde a sua independência em 1990, o Governo da Namíbia destinou a maior parte do seu orçamento nacional à educação. A lógica era eliminar as desigualdades e desvantagens históricas sofridas pela população não-branca da África do Sul Ocidental (hoje Namíbia) sob o regime do apartheid durante o período do domínio sul-africano (1948-1990). Este artigo oferece uma visão geral do contexto histórico da Namíbia com referência específica aos movimentos de transformação iniciados pelas duas instituições públicas de ensino superior na Namíbia, nomeadamente a Universidade da Namíbia (UNAM) e a Universidade de Ciência e Tecnologia da Namíbia (NUST), para abordar as desigualdades do passado e reforçar a capacitação.

Para garantir a realização da Visão 2030 para a Namíbia, bem como a concretização dessa visão, o Governo da Namíbia elaborou planos quinquenais, nomeadamente os Planos de Desenvolvimento Nacional, para acelerar a execução da mesma (Comissão Nacional de Planeamento, 1995). O objectivo destes planos quinquenais é avaliar o que foi alcançado e o que ainda precisa de ser feito para cumprir as metas estabelecidas para a Visão 2030 na Namíbia. O alvo da Visão 2030 é atingir uma economia orientada por serviços até o ano 2030 para equiparar os namibianos aos do mundo desenvolvido (Gabinete do Presidente, 2004). O papel fundamental que a educação desempenha, em particular, no ensino superior, é reconhecido como uma forma de aumentar a capacidade para que a Namíbia se torne uma nação desenvolvida até 2030, em benefício de todos os namibianos (Gabinete do Presidente, 2004). A questão crucial que se coloca é se as duas Universidades têm correspondido às expectativas que lhes foram atribuídas pelo Governo da Namíbia e pelo seu povo em geral, para assegurar a capacitação dos sectores público e privado que irá contribuir para a realização da Visão 2030.

**Palavras-Chave:** *Universidade da Namíbia, Universidade de Ciência e Tecnologia da Namíbia, capacitação, Governo da Namíbia, serviço público*

*O Dr. Davy Du Plessis lecciona na Universidade de Ciência e Tecnologia da Namíbia e o Prof. Charles Keyter faz parte do quadro docente da Universidade da Namíbia.*

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# THE IMPACT OF ORGANISATIONAL CHANGE ON EMPLOYEE JOB SATISFACTION AT THE SOUTH AFRICAN NATIONAL SCHOOL OF GOVERNMENT

Izimangaliso Malatjie

There is insufficient research examining the adaptability of change and how this variable affects employee job satisfaction and organisational performance. Despite several transformation or change plans that were implemented by public sector organisations, studies on organisational change are still lacking. The purpose of this study is to determine the impact of organisational change on employee job satisfaction and whether there is an empirically provable relationship between these two variables. Empirical research was conducted on a population of 229 employees of the South African National School of Government (NSG) with a response rate of 54,6%. Out of 123 employees who completed the survey, questionnaires from only 103 employees were usable. In the final data analysis, the linear logistic regression model showed a statistically significant positive association between organisational change and employee job satisfaction. Though this paper may contribute to the body of knowledge and the literature on organisational change and employee job satisfaction, further research is encouraged as studies on the focus area at other public sector organisations will certainly add to our understanding of this important topic.

**Keywords:** *organisational change, employee job satisfaction, uncertainty, performance, National School of Government*

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# L'IMPACT DU CHANGEMENT ORGANISATIONNEL SUR LA SATISFACTION DES EMPLOYÉS DANS LEUR TRAVAIL AU SEIN DE L'ÉCOLE NATIONALE D'ADMINISTRATION SUD-AFRICAINE

Izimangaliso Malatjie

Il n'y a pas assez de recherche sur l'adaptabilité au changement, et sur la manière dont cette variable affecte la satisfaction des employés dans leur travail et le rendement de l'organisation. Malgré les divers projets de transformation ou de changement qui ont été mis en place par les organisations du secteur public, les études relatives au changement organisationnel continuent de faire défaut. Le but de cette étude est de déterminer l'impact du changement organisationnel sur la satisfaction des employés dans leur travail, et de savoir s'il existe une relation entre ces deux variables qui peut être prouvée de manière empirique. Une recherche empirique a été dirigée sur un groupe de 229 employés de l'École nationale d'administration sud-africaine (South African National School of Government) avec un taux de réponse de 54,6%. Sur les 123 employés qui ont rempli le questionnaire, les réponses de 103 employés seulement étaient utilisables. Dans l'analyse finale des données, le modèle de régression linéaire a permis d'indiquer une association positive et significative d'un point de vue statistique, entre le changement organisationnel et la satisfaction des employés dans leur travail. Bien que cet article puisse contribuer aux connaissances et à la littérature sur le changement organisationnel et la satisfaction des employés dans leur travail, de plus amples recherches sont encouragées, en ce sens que des études sur le sujet dans d'autres organismes du secteur public permettront certainement d'élargir notre compréhension de cet important sujet.

**Mots clés :** *Changement organisationnel, satisfaction des employés dans leur travail, incertitude, rendement, École nationale d'administration*

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# O IMPACTO DA MUDANÇA ORGANIZACIONAL NA SATISFAÇÃO PROFISSIONAL DOS FUNCIONÁRIOS NA ESCOLA NACIONAL DE GOVERNO DA ÁFRICA DO SUL

Izimangaliso Malatjie

A investigação sobre a adaptabilidade à mudança e a forma como esta variável afecta a satisfação profissional dos trabalhadores e o desempenho organizacional é insuficiente. Apesar de vários planos de transformação ou mudança implementados por organizações do sector público, ainda há falta de estudos sobre a mudança organizacional. O objetivo deste estudo é determinar o impacto da mudança organizacional na satisfação profissional dos trabalhadores e avaliar se existe uma relação empiricamente comprovável entre estas duas variáveis. Foi realizada uma pesquisa empírica junto de uma população de 229 funcionários da Escola Nacional de Administração da África do Sul (NSG) com uma taxa de resposta de 54,6%. Dos 123 questionários preenchidos, apenas 103 puderam ser usados. Na análise final dos dados, o modelo linear e de regressão logística mostrou uma associação positiva, estatisticamente significativa, entre mudança organizacional e satisfação profissional dos funcionários. Embora este artigo possa contribuir para o acervo de conhecimentos e para a literatura sobre mudança organizacional, bem como para a satisfação ocupacional dos trabalhadores, ainda se encoraja a realização de estudos sobre a área de enfoque em outras organizações do sector público, que certamente irão enriquecer a nossa compreensão sobre este importante tópico.

**Palavras-Chave:** *mudança organizacional, satisfação profissional dos funcionários, incerteza, desempenho, Escola Nacional de Administração*

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# THE NAMIBIA INSTITUTE OF PUBLIC ADMINISTRATION AND MANAGEMENT: A CASE STUDY ON LEARNING GOVERNANCE

Yrika Maritz

The focus of this article is on the Namibia Institute of Public Administration and Management (NIPAM), its history, evolution and role in advancing the public sector reform agenda. Established and guided by its own legal framework, the institute is a statutory body and set up as a Management Development Institute (MDI) dedicated to providing training, operational research, capacity evaluation and consultancy to and for the public sector. The article further describes the institute's governance and reporting mechanisms, which include the Prime Minister's Office, the NIPAM Governing Council, the Training and Development Board and Executive Management. The article gives the reader a snapshot of the institute's evolution by applying a normative model, the ALO Model of Learning Governance to the institution, focussing largely on the first NIPAM five-year strategic plan, themes, objectives, challenges and lessons learnt. Finally, the article concludes by proposing key recommendations that would optimise NIPAM's role and mandate in improving the Namibian Government's drive towards better and enhanced service delivery.

**Keywords:** *Namibia Institute of Public Administration and Management, NIPAM, Namibian Government, public service, Management Development Institute, governance, service delivery*

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# L'INSTITUT NAMIBIEN D'ADMINISTRATION ET DE GESTION PUBLIQUES : UN CAS D'ETUDE SUR LA GOUVERNANCE DE L'APPRENTISSAGE

Yrika Maritz

Cet article porte sur l'Institut namibien d'administration et de gestion publiques (NIPAM), son histoire, son évolution et le rôle qu'il a joué dans l'avancement du programme de réforme du secteur public. Constitué et guidé par son propre cadre légal, l'Institut est un organisme de droit public établi comme un Institut de renforcement des capacités de gestion (MDI) dédié à la formation, la recherche opérationnelle, l'évaluation des capacités et les services d'expertise pour le secteur public. L'article décrit également les mécanismes de gouvernance et de création de rapport de l'institut, dont ceux du cabinet du Premier Ministre, du Conseil d'administration du NIPAM, ainsi que de la Commission de la formation et du développement et du Conseil de direction. L'article offre une brève description de l'évolution de l'Institut vue à travers le modèle normatif ALO de Gouvernance de l'apprentissage, en portant l'attention principalement sur le premier plan stratégique de cinq ans du NIPAM, ainsi que sur les thèmes, les objectifs, les défis et les leçons tirées de ce plan. Enfin, l'article se conclut en faisant des recommandations clés qui permettraient d'optimiser le rôle et le mandat du NIPAM, en améliorant l'action du Gouvernement namibien pour une meilleure prestation de service.

**Mots clés :** *L'Institut namibien d'administration et de gestion publiques, NIPAM, Gouvernement namibien, service public, Institut pour le renforcement des capacités de gestion, gouvernance, prestation de service*

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# O INSTITUTO DE ADMINISTRAÇÃO E GESTÃO PÚBLICA DA NAMÍBIA: UM ESTUDO DE CASO SOBRE A APRENDIZAGEM DE GOVERNAÇÃO

Yrika Maritz

O foco deste artigo recai sobre o Instituto de Administração e Gestão Pública da Namíbia (NIPAM), a sua história, evolução e papel no avanço da agenda de reforma do sector público. Estabelecido e orientado pelo seu próprio quadro legal, o instituto é um órgão estatutário, estabelecido como um Instituto de Desenvolvimento de Gestão (MDI) dedicado à formação, pesquisa operacional, avaliação de capacidades e consultoria para o sector público. O artigo descreve ainda os mecanismos de governação e reportagem do instituto, que incluem o Gabinete do Primeiro-Ministro, o Conselho de Administração do NIPAM, o Conselho de Formação e Desenvolvimento e a Gestão Executiva. O artigo dá ao leitor uma visão geral da evolução do instituto através da aplicação de um modelo normativo e do Modelo ALO de Aprendizagem de Governação à instituição, que se concentra em grande medida no primeiro plano estratégico quinquenal do NIPAM, temas, objectivos, desafios e lições aprendidas. Finalmente, o artigo conclui ao propor recomendações fundamentais que optimizariam o papel e o mandato do NIPAM no sentido de melhorar os esforços do governo namibiano com vista a uma prestação de serviços melhor e mais eficaz.

**Palavras-Chave:** *Instituto de Administração e Gestão Pública da Namíbia, NIPAM, Governo da Namíbia, serviço público, Instituto de Desenvolvimento da Gestão, governação, prestação de serviços*

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# GOVERNMENT SCHOOLS AND MODERNIZATION OF PUBLIC ADMINISTRATION: THE CASE OF THE HIGHER INSTITUTE OF PUBLIC ADMINISTRATION OF MOZAMBIQUE

*Dias Rafael Magul*

The Schools of Government seek to develop public servants' functional capacity so as to improve the quality of services offered by the public sector. Improving the quality of public services is central to public administration modernisation, which in recent decades has been dominated by the New Public Management (NPM) principles. In Mozambique, initiatives to create Schools of Government date back to 1978, and subsequent efforts led to the creation of the "Instituto Superior de Administração Pública" (ISAP), in 2004. The research is a result of a combination of case study and statistical methods. For data collection, questionnaires and interviews were used. The questionnaires were applied to 15 ISAP teachers and to 103 public servants who completed short-term, undergraduate and master's courses offered by ISAP. The public servants surveyed in the scope of this research belong to nine ministries. The interviews were directed at two ISAP senior managers and to 19 hierarchical seniors of public servants trained at ISAP. Thus, the survey was based on a total sample of 139 informants. The data analysis was based on content analysis and descriptive statistics techniques. Although the professional skills developed by the ISAP courses improve the functional capacity of public servants, there are some reservations as to whether they fully reflect the specificities of the various public sector activity areas. Although the results of the research indicate that ISAP courses make it possible to improve the technical and professional capacity of public servants, as well as increase the performance of public servants, they do not indicate that the ISAP courses lead to public administration modernisation. The curricular contents do not reflect the principles of the NPM, and concurrently, the results suggest that they are not in conformity with the reform and development strategies of the administration designed in Mozambique.

**Keywords:** *Schools of Government, public administration modernisation, NPM*

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# ÉCOLES D'ADMINISTRATION ET MODERNISATION DES ADMINISTRATIONS PUBLIQUES: LE CAS DE L'INSTITUT SUPÉRIEUR D'ADMINISTRATION PUBLIQUE DU MOZAMBIQUE.

*Dias Rafael Magul*

Les écoles d'administration cherchent à développer les capacités fonctionnelles des fonctionnaires afin d'améliorer la qualité des services offerts par le secteur public. L'amélioration de la qualité des services publics joue un rôle essentiel dans la modernisation de l'administration publique, qui a été dominée ces dernières décennies par les principes de la Nouvelle gestion publique (NPM). Au Mozambique, les initiatives pour créer des écoles d'administration remontent à 1978, et des efforts ultérieurs ont conduit à la création en 2004 de l'Institut supérieur d'administration publique (Instituto Superior de Administração Pública, ISAP). La recherche dirigée résulte d'une combinaison d'études de cas et de méthodes statistiques. Des questionnaires et des entretiens ont été utilisés pour la collecte des données. Les questionnaires ont été remplis par 15 enseignants de l'ISAP, et 103 fonctionnaires qui ont suivi des études de premier et deuxième cycles à court terme offerts par l'ISAP. Les fonctionnaires qui ont fait l'objet d'une enquête dans la cadre de cette recherche viennent de neuf ministères différents. Deux cadres supérieurs de l'ISAP et 19 fonctionnaires de grade supérieur formés à l'ISAP ont participé aux entretiens. L'enquête a ainsi été basée sur un échantillon total de 139 informateurs. L'analyse des données est basée sur l'analyse des contenus et les techniques de statistiques descriptives. Bien que les compétences professionnelles développées à travers les cours de l'ISAP permettent d'améliorer la capacité fonctionnelle des fonctionnaires, nous émettons des réserves sur le fait qu'elles reflètent entièrement les spécificités des divers domaines d'activités du secteur public. Bien que les résultats de la recherche indiquent que les cours de l'ISAP permettent d'améliorer la capacité technique et professionnelle des fonctionnaires, ainsi que d'accroître le rendement des fonctionnaires, ils ne permettent pas d'indiquer que les cours de l'ISAP entraînent la modernisation de l'administration publique. Les contenus du programme d'études ne reflètent pas les principes de la nouvelle gestion publique et, simultanément, les résultats suggèrent qu'ils ne sont pas en conformité avec les stratégies de réforme et de développement de l'administration conçue au Mozambique.

**Mots clés :** *Ecoles d'administration, modernisation de l'administration publique, nouvelle gestion publique*

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# ESCOLAS DE GOVERNO E A MODERNIZAÇÃO DA ADMINISTRAÇÃO PÚBLICA: O CASO DO INSTITUTO SUPERIOR DE ADMINISTRAÇÃO PÚBLICA DE MOÇAMBIQUE

*Dias Rafael Magul*

As Escolas de Governo buscam criar capacidade funcional nos servidores públicos com vista à melhoria da qualidade de serviços oferecidos pelo sector público. A melhoria da qualidade de serviços públicos é um aspecto central na modernização da administração pública, a qual, nas últimas décadas, tem sido dominada por princípios da Nova Gestão Pública (NGP). Em Moçambique, as iniciativas de criação de Escolas de Governo remontam a 1978, e esforços subsequentes resultaram na criação do Instituto Superior de Administração Pública (ISAP), em 2004. A presente pesquisa assentou na combinação dos métodos de estudo de caso e estatístico. A recolha de dados foi realizada através de questionários e entrevistas. Os questionários foram administrados a 15 professores do ISAP e a 103 servidores públicos que concluíram os cursos de curta duração, de graduação e de mestrado, oferecidos pelo ISAP. Os servidores públicos inquiridos no âmbito desta pesquisa, pertencem a nove Ministérios. As entrevistas foram dirigidas a dois gestores séniores do ISAP e a 19 superiores hierárquicos imediatos dos servidores públicos formados no ISAP. A pesquisa baseou-se numa amostra total de 139 informantes. A análise dos dados teve por base as técnicas de análise de conteúdo e de estatística descritiva. Apesar de as competências profissionais desenvolvidas pelos cursos do ISAP melhorarem a capacidade funcional dos servidores públicos, existem algumas reservas se as mesmas reflectem completamente as especificidades das diversas áreas de actividade do sector público. Não obstante os resultados da pesquisa indicarem que os cursos do ISAP permitem aumentar a capacidade técnica e profissional dos servidores públicos, bem como melhorar o seu desempenho, essa constatação pode não constituir, necessariamente, indicativo de que os cursos do ISAP conduzam à modernização da administração pública. Os resultados obtidos sugerem que os conteúdos curriculares não só não traduzem os princípios da NGP, como também não estão em conformidade com as estratégias concebidas em Moçambique para a reforma e desenvolvimento da administração pública.

**Palavras-chave:** *Escolas de Governo; Modernização da administração pública; Nova Gestão Pública.*

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# **SPECIAL CASE STUDY ON PUBLIC HEALTH**

## **THE MANAGEMENT OF A POLICY IMPLEMENTATION PROJECT: THE DISASTROUS GAUTENG MENTAL HEALTH MARATHON PROJECT**

Jacobus S. Wessels and Thevan Naidoo

The widely reported disastrous Gauteng Mental Health Marathon Project caused the deaths of about 144 vulnerable individuals. The purpose of this contribution is to make sense of the latter by providing a chronological reconstruction of the main series of events. This is followed by a selection of the most appropriate theoretical lenses for identifying those implausible events and for comprehensively redrafting this narrative to gain understanding. The sensemaking approach was selected for the simplicity in guiding the sense-maker with naïve questions through the messy field of discrepancies. With this disastrous policy implementation project study in mind, we have asked: “Why do policy implementation projects become disastrous?” and “How can policy implementation projects be vision aligned?” As this specific case of policy implementation projects has been intensively and widely scrutinised in the public domain, we have relied nearly exclusively on publicly available material. In doing so, researchers acknowledge that there are numerous other perspectives and stories that we have not sourced and analysed. For the purpose of this sensemaking process, three interrelated lenses were used, namely the policy regime lens, the policy commitment lens and the political-administrative interface lens. However, we acknowledge that our selection and use of these theoretical lenses are not entirely exhaustive and adequate. This study has found that the all-inclusive national healthcare policy regime has been attenuated by the Gauteng Department of Health (GDoH) to the exclusion of the national policy intent and the wide variety of legitimate healthcare stakeholders. We have argued that the behaviour of the GDoH in this saga can be attributed, inter alia, to the situational theory of policy commitment. Furthermore, the study found that the relationship between the political office bearer and the Head of Department (HoD) in our case, was not at all equal and complementary; the Member of the Executive Council (MEC) overstepped in the sphere of public administration, while the HoD did not sufficiently execute his legal authority as accounting officer. Lastly, it was found that the operational project management process focused almost exclusively on removing the mental healthcare users from the Life Healthcare Esidimeni facilities before 30 June 2016, without evidence that those facilities to which they were transferred, would constitute the envisaged improved mental healthcare for them. This case study has shown that it is possible through retrospective sensemaking to creatively rectify the errors of the past and replace them with an envisaged future storyline.

**Keywords:** *policy implementation, project, project management, Life Esidimeni, sensemaking, policy regime, policy commitment, political-administrative interface, strategic objective, ultimate value, project management plan*

*Prof. Jacobus Wessels, Research Professor in Public Administration, University of South Africa. Ms Thevan Naidoo, Organisation Development, Monitoring & Evaluation and Action Research Consultant*

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## **ETUDE DE CAS SPÉCIALE SUR LA SANTÉ PUBLIQUE**

### **GESTION D'UN PROJET DE MISE EN OEUVRE DE POLIQUE : LE PROJET DESASTREUX DU GAUTENG MENTAL HEALTH MARATHON**

Jacobus S. Wessels et Thevan Naidoo

Le projet désastreux largement rapporté du Marathon pour la santé mentale dans le Gauteng (Gauteng Mental Health Marathon Project) a entraîné la mort d'environ 144 personnes vulnérables. L'objectif de cette contribution est d'arriver à comprendre ce projet en faisant une reconstruction chronologique des principaux événements, qui sera suivie par une sélection des cadres théoriques les plus appropriés permettant d'identifier ces événements peu vraisemblables, et permettant de rédiger à nouveau cette narrative de manière détaillée pour mieux comprendre ce qui s'est passé. L'approche utilisée pour arriver à comprendre la situation a été choisie pour sa simplicité, en vue de guider le narrateur par des questions naïves à travers le champs compliqué des différents exposés. En tenant compte de l'étude sur le projet désastreux de mise en œuvre d'une politique, nous avons posé les questions suivantes : « Pourquoi les projets de mise en œuvre de politiques deviennent-ils désastreux ? » et « Comment les projets de mise en œuvre de politiques peuvent-ils être alignés sur la même vision ? » Etant donné que ce cas particulier de projet de mise en œuvre de politique a déjà été intensivement et largement examiné en détail dans le domaine public, nous avons invoqué presque exclusivement le matériel disponible publiquement. Ce faisant, les chercheurs reconnaissent qu'il existe nombre d'autres points de vue et d'histoires qu'ils n'ont pas recherchés ni analysés. Aux fins de ce processus de compréhension, trois cadres théoriques étroitement liés ont été utilisés, soit le cadre théorique du système de politique, le cadre théorique relatif à l'engagement d'un organisme à une politique et le cadre théorique de l'interface politico-administrative. Toutefois, nous reconnaissons que notre sélection et l'utilisation de ces cadres théoriques ne sont

pas entièrement exhaustives, ni adéquates. Cette étude a permis de constater que le système de politique de santé publique tous compris a été modéré par le ministère de la Santé du Gauteng (GDoH), qui excluait l'intention de la politique nationale et la grande variété de parties prenantes légitimes des services de santé. Nous soutenons que le comportement du GDoH par rapport à cette saga peut être attribué, entre autres, à la théorie situationnelle de l'engagement à une politique. En outre, l'étude a constaté que la relation entre le membre du bureau politique et le responsable du ministère (HoD), dans notre cas, n'était en rien égale ou complémentaire ; le Membre du Conseil exécutif (MEC) a abusé de son autorité dans le domaine d'administration publique, alors que le HoD n'a pas usé suffisamment de son autorité en qualité de comptable. Enfin, l'étude a pu constater que le processus opérationnel de gestion du projet a porté presque exclusivement sur le retrait des utilisateurs des soins de santé mentale de l'établissement de santé Life Healthcare Esidimeni avant le 30 juin 2016, sans aucune preuve que l'établissement dans lequel ces utilisateurs allaient être transférés constituerait un lieu offrant des meilleurs soins de santé mentale, tel qu'il avait été envisagé. Cette étude de cas a permis de montrer qu'il est possible, en cherchant à comprendre une situation rétrospectivement, de rectifier de manière créative les erreurs du passé et de les remplacer avec un scénario envisagé.

**Mots clés :** *mise en œuvre de politique, projet, gestion de projet, Life Esidimeni, chercher à comprendre, système de politique, engagement à une politique, interface politico-administrative, objectif stratégique, valeur ultime, programme de gestion de projet*

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# **ESTUDO DE UM CASO ESPECIAL SOBRE SAÚDE PÚBLICA**

## **A GESTÃO DE UM PROJECTO DE IMPLEMENTAÇÃO DE POLÍTICAS: O DESASTROSO PROJECTO DA MARATONA DE SAÚDE MENTAL DE GAUTENG**

Jacobus S. Wessels e Thevan Naidoo

O desastroso Projeto Maratona de Saúde Mental de Gauteng, amplamente relatado, causou a morte de cerca de 144 indivíduos vulneráveis. O objetivo desta contribuição é atribuir sentido às últimas palavras do parágrafo acima, através de uma reconstrução cronológica das principais séries de eventos. Isto é seguido por uma selecção das lentes teóricas mais adequadas para identificar esses eventos implausíveis e para reescrever esta narrativa de forma abrangente para obter compreensão. A abordagem de atribuição de sentido foi selecionado pela sua simplicidade em guiar o “atribuidor de sentido” com perguntas ingênuas através do campo confuso das discrepâncias. Com este estudo sobre o desastroso projeto de implementação de políticas em mente, perguntamo-nos: “Por que é que os projectos de implementação de políticas se tornam desastrosos?” e “Como é que esses projectos se podem alinhar à visão?” Visto que este caso específico relativo a um projecto de implementação de políticas tem sido alvo de uma análise intensa e alargada no domínio público, tivemos de confiar quase exclusivamente em material publicamente disponível. Ao fazê-lo, os pesquisadores reconhecem que existem muitas outras perspectivas e histórias que não foram obtidas e analisadas. Para efeitos deste processo de “atribuir sentido”, foram usadas três lentes inter-relacionadas, nomeadamente a lente do regime político, a lente do compromisso político e a lente da interface político-administrativa. No entanto, reconhecemos que nossa selecção e uso dessas lentes teóricas não são inteiramente exaustivas e adequadas. Este estudo constatou que o regime de política nacional de saúde com tudo incluído foi atenuado pelo Departamento de Saúde de Gauteng (GDoH), com a exclusão da intenção da política nacional e da ampla variedade de intervenientes legítimos na área da saúde. Temos argumentado que o comportamento do GDoH nesta saga pode ser atribuído, entre outros, à teoria situacional do compromisso político. Além disso, o estudo concluiu que a relação entre o detentor do cargo político e o Chefe de Departamento, no nosso caso, não era de todo igual e complementar; o membro do Conselho Executivo (MEC) ultrapassou os limites da esfera da administração pública, enquanto o Chefe de Departamento não executou suficientemente a sua autoridade jurídica no exercício das suas funções de gestor. Por último, verificou-se que o processo de gestão operacional do projecto centrava-se quase exclusivamente

na retirada dos utentes de cuidados de saúde mental das instalações do Centro de Saúde de Esidimeni antes de 30 de Junho de 2016, sem provas de que as instalações para as quais foram transferidas iriam constituir a melhoria desejada esperada, em termos de cuidados de saúde mental. Este estudo de caso mostrou que é possível, através de uma reflexão retrospectiva de 'atribuir sentido', rectificar criativamente os erros do passado e substituí-los por cenários futuros.

**Palavras-Chave:** *implementação de políticas, projecto, gestão de projectos, Life Esidimeni, atribuição de sentido, regime político, compromisso político, interface político-administrativa, objectivo estratégico, valor final, plano de gestão de projectos*

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# BOOK REVIEW

## GOVERNANCE AND THE POST COLONY: VIEWS FROM AFRICA

Edited by David Everett  
Wits University Press  
2019

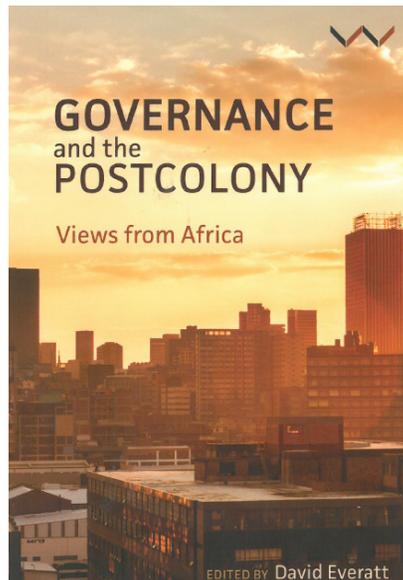
234 pages

978-1-77614-344-3 (Paperback)

978-1-77614-346-7 (EPUB)

978-1-77614-345-0 (Web PDF)

978-1-77614-347-4 (Mobi)



*Reviewed by Michael Westcott, Curriculum Design Unit, National School of Government, October 2019*

Governance in Africa is contested terrain, not only in the act of governing but in its definition and the meaning it has taken amongst various scholars. We read in the introduction to this thought-provoking collection that the notion of governance has taken “centre stage in discourse since the early 1990’s” (Everatt 2019), with much accrued content aimed at fore fronting the mechanics of governance, or the practical day-by-day process of governance at various levels of application. Yet, there is no common understanding of what governance actually means and who it should serve.

One of these levels of application in Africa is governance measured through the quality of public administration, argues Francis Fukuyama (2013) – its bureaucratic efficiency, effectiveness and level of professionalism in all its delivery modes is put forward as the ideal form of governance to which all-African governance structures should aspire. Another view on the application of governance is that it exists at many different levels and locales – from business corporations to civil society formations, NGOs, the academy, school governance, church governance, internet governance and even family governance – all seemingly as important as macro level governance, which is largely ignored by some writers. For example, Mark Bevir (2013) describes the different agents of governance at a micro level but fails to show *how* these interact with each other and, more importantly, how they engage with macro level governance – or governance of the state by the governing party. Others, such as M. Hufty (2011) view governance as the constant interaction by different role players from macro, through meso, to micro level, aimed at thrashing out solutions to collective problems.

Measurement is critical to the mechanics of governance but without a theory of change it is of little value. In the first chapter, *Governance: Notes towards a resurrection*, the editor, David Everatt, contends that governance has “been pumped so full of content and spread so thinly across so many different areas that it has come to mean very little.” And in this vacuous, almost meaningless terrain, he argues, measurement of the act of governance in all its forms - macro and micro – becomes an end in itself, a futile irrelevant exercise. Thus, surveys, charts, dashboards and toolkits containing lofty indicators of success set by droves of consultants supposedly establishing the “quality” (or lack thereof) of African governance in slick reports that lack the weight or the rigour to step on toes and bruise shoulders in order to effect real change. This, not only because the content of governance has been spread so thinly, but also because accountability is absent in what can best be termed as the “Business of governance” (Everatt 2019: 33) sub-titled as such because of the lucrative financial industry it has spawned across the continent and the stability it requires to make money.

This “neutering of governance” through endless measurement, maintains Everatt, “is the natural self-protecting instinct of those with power” as it obscures the need to establish accountability. The governing elites, NGOs and other agents of governance who hire the consultants at great cost hardly wish to see their projects challenged by deep, meaningful analysis informed by appropriate theories of change aimed at fundamental transformation. The result is that governance in all its forms is not rocked, nor even mildly shaken, at its foundation. Power and accountability, so central to governance, is completely ignored or conveniently sidestepped through the obsession with measurement. “And when governance is detached from power and accountability, it loses purpose and meaning,” concludes Everatt.

So where should purpose and meaning be located? And who, ideally, should governance matter to? It almost seems obvious to respond that the purpose of governance is to serve the people of a country, especially the poorest and most vulnerable – or

“residents”, notes Everatt, so as to include the citizens of other countries in Africa who reside outside their home countries – an issue that is especially important in South Africa, where foreign African migrants urgently need to be integrated with citizens as equal beneficiaries of state services and support.

The often quoted adage - “Are the right services being delivered, efficiently and effectively, to the people who need them, at the right time and cost, and in the right place?”, though posed almost as a mantra by development consultants, is actually an appropriate question to ask as it focuses attention on the recipients of services and places the quality, relevance, efficiency and cost of services right at the centre of the real meaning and purpose of governance. Where it should be.

Viewed one way, this is yet another question that the armies of consultants can try to answer in their quest for statistics and data, as commissioned by governments and other service delivery agents. But viewed another way, it opens the door to the central theme of this collection – the location of power in the process and philosophy of governance. The editor poses the questions: “Who has the power to make decisions about the services to be delivered; about the intended beneficiaries; about budgetary allocations; and so on?” Indeed, he continues, “Who is paying for the evaluations, and with what intended impact?” Who frames the questions that the evaluators are tasked with asking and who gets to hear the answers?

These are important questions as they go right to the heart of governance. The answer to all of them is ... *those holding power*. Not, as would seem most logical and practical, a bottom-up approach that sees the needs, planning, delivery and maintenance of services as being informed by those who access them; a social and economic compact between local participants and government to ensure effective and efficient delivery to the right people at the right time, the right place and right cost ... with the intended result being satisfied beneficiaries of services.

Instead, since accountability and transparency are an expectation of residents in a democratic state, governance must try its best not to be obviously at odds with these tenets of democracy. And so in the last chapter of the collection: *Low-hanging Fruit or Deep-seated Transformation*, the editor argues that the post-apartheid government in South Africa focuses (and continues to focus) on service delivery that is not much different from the categories and sites of delivery that were dished out by the apartheid government. This repetition, albeit expanded substantially to include those previously disadvantaged by apartheid, makes use of the same modes of delivery as those adopted by the apartheid planners in water reticulation, sanitation, housing and so on. This, alludes Everatt, ends up as an elaborate exercise in the “gathering of low hanging fruit” to appease those who expect real transformation in post-apartheid South Africa. The reasons for this are deep seated and complex, located as they are in the colonial legacy of many African nations, including South Africa, making it hard to adopt a more inclusive response (as will be expounded later in this review). However, the *result* of

this thrust of governance is an attempt to downplay the challenges emanating from those who do not hold power – community residents who are increasingly making their dissatisfaction with this borrowed service delivery model heard through robust protest action across the country.

Whilst the key issue at the heart of governance is power and the ongoing contestation for power, most of the contributors in this collection are in agreement that the context of governance is essential to understanding its application, effectiveness and reach. So much so, explains the editor in his introductory notes, that there would be no point in measuring the effectiveness of governance anywhere in the world without an understanding of context.

Some scholars of governance, like Andrews (2008), blatantly puts aside context in order to show that each country must be understood on its own terms and that comparisons with countries exhibiting good governance (like Denmark or Sweden) cannot be made in the present. Instead, he argues, the developing nations of the south need to compare themselves with developed countries of the northern hemisphere when they too were developing to chart their progress in attaining “good” governance. The countries of the northern hemisphere, he postulates, somehow got it right by “muddling through their own developmental phase” and this should be emulated by the developing countries of today. In other words, they too will get there one day as they “muddle through” governance challenges.

Examining the relationship between development and governance, Pundy Pillay (see Chapter 3: *Governance and Human Development in Sub-Saharan Africa*) puts across the notion that poor countries are poor because their governance is poor and that wealthy countries exhibit good governance.

Both views blithely ignore history. The assumption that governance takes place on a level playing field with all players kicking the ball according to the rules of the game seriously ignores historical context and “the extent to which one part of the world has improved its lot at the expense of the other” (Everatt 2019). It instead chooses to rate governance at a single point in time.

The reality, argues many of the contributors in this collection, is that governance must be viewed and rated within a highly unequal global context involving the ongoing effect of colonialism. Postcolonialism, they argue, is the frame by which any examination of governance can be undertaken. The imperial powers of the north and west governed most of Africa at different times in the nineteenth and twentieth centuries with little concern for the indigenous populations. The ruthless exploitation of natural resources for the enrichment of the colonial powers was the main point of imperial rule and to achieve it, considerable violence was exercised. The former colonial powers currently take an attitude that this period of history has long been concluded, the countries they ruled are now free and have their own borders established by the 1884 Berlin Conference, so they should “get over it” and focus on achieving good governance.

But the reality, argues the editor, is that colonialism is a lived experience for most Africans throughout Africa, including South Africa, where apartheid was recently dismantled. Achieving independence did not represent a break from the past, a sudden rupture from the colonial period and all it represented with an emergence into a new dawn and a brand-new national identity. In fact, decolonisation resulted in a postcolonial structure of governance with an administration, institutions, values and ethos modelled on those of the colonial masters. Essentially, in many cases it represented a transfer of power from one elite to another, in spite of the mass rejoicing following the departure of the colonial power.

It is true that many African countries now have governance structures that have broken away or are breaking away from the colonial past, but the legacy of colonialism with its oppression and mass looting of resources continues to exert an influence, even on these emergent structures. Arguably, in South Africa today, we see this legacy in the state capture project and the greed and corruption evident in sections of the political and corporate leadership. We see it too in the bankrupt state of local government, stripped of resources through the VBS scandal and other looting initiatives resulting in a lack of basic service delivery to many local communities throughout the country.

The legacy of colonialism, whether from the point of view of the post-colonialists or the contested view of the de-colonialists (as is argued in the introduction, see Everatt 2019: 6), is the central theme of this collection. In fact, most of the contributors located the relative effectiveness of governance in Africa today within the stifling, disruptive context of the colonial past, from which they could not disengage from and forget as if it never happened.

For Salim Latib (Chapter 2: *African Shared Values in Governance for Integration*) the shared values of governance frameworks adopted by the African Union have helped to overcome the challenges of colonially-created borders that have destroyed national identities in most of post-colonial Africa. He looks at the efforts taking place through Agenda 2063 to lift border restrictions and return Africa to a pre-1884 state without artificial colonial demarcations.

Patrick Bond (Chapter 4: *South African Foreign Policy and Global Governance*) looks at the interplay between government officials and business leaders in South Africa in the service of self-enrichment, corruption and the disruption of state institutions. This, he argues, is part of a global trend set outside the African continent – effectively a “sub-imperial” project that is cleverly disguised as a rejection of imperial values and white monopoly capital.

Caryn Abrahams (in the chapter on *Governing Urban Food Systems: Lessons from Lusaka, Zambia*) reveals the effect of a “profoundly unequal trading environment” between multi-national companies and the state in Zambia. Coupled with climate change, itself brought about by the powerful nations of the north, there is a threat to food security

for the Zambian population. This threat, she argues does not require handouts and assistance for the poor, but a closer relationship between the people directly affected by food security and the mechanisms of attaining food security from the government.

The second half of the collection is more sector specific. Thus Mike Muller (Chapter 8: *Governance vs Government: As reflected in water management*), reflects on how governance can help manage a critical global asset – water. He rejects the notion that this should be managed at local level as this would result in specific communities advancing their own interests and competing for this resource in a manner that would not ensure water security for everybody. This resource, he argues, needs to be co-ordinated at the highest governance level to ensure equal access and centrally directed conservation.

Other contributors to this collection (Darlene Miller, Nomalanga Mkhize and Babalwa Magoqwana, Chapter 12: *Decolonisation and Governance at SA Universities*) analyse the postcolonial academy through a decolonial lens, arguing that South African universities continue to privilege white men above other groups, offering the colonial languages (English and Afrikaans) as their languages of instruction and adopting a Western approach to learning and teaching.

Still on university governance in South Africa, Kirti Menon and Jodi Cedras (Chapter 11: *Factoring in the 'Real World': Governance of public higher education in South Africa*) point to evidence of too much state intervention in universities resulting in the mass student protests of 2017 – 18 under the banner #FeesMustFall, which demanded fee-less higher education using a de-colonised syllabus. This, they maintain, was a reminder of the pervasive effects of colonisation and living in the post-colony where little, in fact, has changed.

Chelete Monyane (Chapter 10: *Law and Governance: Has the SA judiciary overstepped its oversight mandate*) examines the issue of judicial independence and how this has “come under attack from elected officials who regard their mandate as superior to the constitutional guarantees of judicial independence.” Contestation around the spheres and structures of governance, he argues, is healthy, but the role of the judiciary should not be moved away from its constitutionally anchored mandate if corruption and rent seeking is to be kept at bay and challenged.

William Gumede (Chapter 9: *Broken Corporate Governance: South Africa's municipal state owned entities and agencies*) takes this further in his examination of state-owned entities like Eskom, bleakly concluding that governance prescripts, such as the King codes of corporate governance, have little effect in the face of the “relentless onslaught of rent seekers.” The collapse of these entities and of municipalities has proceeded apace through the plundering of their assets by self-seeking public officials in spite of regulations aimed at preventing these practices.

Finally, we should heed the warning of the editor, David Everatt, in his introduction to the collection: “The danger we face is that the more governance is invoked, the greater the danger of its content being hollowed out. [And when this happens] governance becomes incapable of helping us diagnose, analyse and understand challenges, or offering us remedies to improve performance” (Everatt 2019).

This sober warning should be taken seriously if governance is to gain the credibility of the governed, who in many countries, including South Africa, face disillusionment in the governments they voted into power and should (and want to) be proud of working alongside in a partnership aimed at achieving a better life for all.

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## COMPTE RENDU

# GOVERNANCE AND THE POST COLONY: VIEWS FROM AFRICA (GOUVERNANCE ET POST-COLONIE : VUES D'AFRIQUE)

Dirigé par David Everatt  
Publié par Wits University Press  
2019

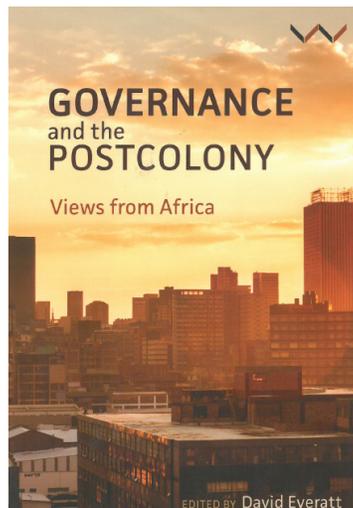
234 pages

978-1-77614-344-3 (Livre de poche)

978-1-77614-346-7 (EPUB)

978-1-77614-345-0 (Web PDF)

978-1-77614-347-4 (Mobi)



*Rédigé par Michael Westcott, Curriculum Design Unit, National School of Government, Octobre 2019*

La gouvernance en Afrique est un domaine contesté, non seulement par rapport à l'action de gouverner, mais également par rapport à sa définition et au sens qu'elle prend chez certains spécialistes. Nous lisons dans l'introduction de cette collection stimulante que la notion de gouvernance « occupe le devant de la scène dans les discours depuis le début des années 90 (Everatt 2019) », avec un contenu très accru, visant à faire ressortir les mécanismes de la gouvernance ou le processus pratique de gouvernance jour après jour, à différents niveaux d'application. Pourtant, personne ne s'est mis d'accord sur ce que gouvernance veut dire et qui elle devrait servir.

L'un des niveaux d'application en Afrique concerne une gouvernance mesurée à travers la qualité de l'administration publique, c'est ce que maintient Fukuyama (2013), là où l'efficacité bureaucratique et le niveau de professionnalisme de la gouvernance, dans tous ses modes de prestation, sont mis en avant comme la forme idéale à laquelle toutes les structures africaines de gouvernance devraient aspirer. Une autre vue sur l'application de la gouvernance est qu'elle existe à beaucoup de niveaux et d'endroits différents – allant des sociétés d'affaires aux sociétés civiles, aux ONG, aux écoles, à la gouvernance des écoles, des églises, de l'Internet et même de la famille – tous apparemment aussi important que la gouvernance au niveau macro qui est largement ignoré par certains auteurs. A cet égard, Bevir (2013) décrit les différents agents de gouvernance à un niveau micro, mais manque de montrer la manière dont ces derniers réagissent les uns sur les autres et, surtout, la manière dont ils s'engagent dans la gouvernance au niveau macro – c'est-à-dire la gouvernance de l'Etat par la partie gouvernante. D'autres, tels que Hufty (2011), voient la gouvernance comme l'interaction constante de différents acteurs des niveaux macro, meso et micro, qui visent à résoudre les problèmes collectifs.

La mesure est cruciale pour les mécanismes de la gouvernance, mais sans théorie du changement, elle n'a que peu de valeur. Dans le premier chapitre, *Gouvernance : Notes vers une résurrection*, l'éditeur David Everatt prétend que la gouvernance a « été tellement bourrée de contenu et tellement répandue à travers tous les différents domaines qu'elle en est arrivée à signifier très peu. » Et dans ce terrain creux et presque vide de sens, maintient-il, la mesure de l'acte de gouvernance dans toutes ses formes – macro et micro – devient une fin en soi, un exercice vain qui n'a plus aucun rapport. Ainsi, les enquêtes, les graphiques, les tableaux de bord et les toolkits contenant des indicateurs hautains de succès, conçus par des foules de consultants établissant supposément la « qualité » (ou le manque de qualité) de la gouvernance africaine, dans des rapports superficiels qui manquent la force ou la rigueur de marcher sur les pieds et blesser les susceptibilités de quelqu'un en vue d'effectuer un vrai changement, non seulement parce que le contenu de la gouvernance a été tellement répandue, mais également parce que l'obligation de rendre compte est absente de ce qui peut être mieux appelé le Commerce de la gouvernance (Chapitre 1, page 33), sous-titré ainsi à cause de l'industrie financière lucrative qu'elle a engendrée à travers le continent, et la stabilité qu'elle nécessite pour faire de l'argent.

Cette « neutralisation de la gouvernance » par des mesures sans fin, maintient Everatt, « est l'instinct naturel d'autoprotection de ceux au pouvoir », étant donné qu'elle permet de masquer le besoin d'établir toute obligation de rendre compte. Les élites au pouvoir, les ONG et autres agents de la gouvernance qui embauchent des consultants à grands frais, ont peu envie de voir leurs projets contestés par une analyse détaillée et significative, fondée sur des théories du changement visant une transformation fondamentale. Le résultat est que la gouvernance sous toutes ses formes n'est pas ébranlée, ni même légèrement secouée, de sa fondation. Le pouvoir et l'obligation de rendre compte, qui jouent un rôle tellement essentiel dans la gouvernance, sont entièrement

ignorés ou, comme par hasard, esquivés par l'obsession de la mesure. « Et lorsque la gouvernance est détachée du pouvoir et de l'obligation de rendre compte, elle perd son but et sa signification, » conclut Everatt.

Où doivent alors se situer le but et la signification ? Et pour qui, idéalement, la gouvernance devrait-elle avoir de l'importance ? Il semble presque évident de vouloir répondre que le but de la gouvernance est de servir les habitants d'un pays, surtout les plus pauvres et les plus vulnérables – ou les « résidents », remarque Everatt, de manière à inclure les citoyens d'autres pays d'Afrique qui résident en dehors de leur pays natal – une question particulièrement significative en Afrique du Sud, où les migrants étrangers africains ont besoin d'être intégrés d'urgence avec les ressortissants, et de bénéficier à part égale des services et du soutien de l'Etat.

L'adage souvent cité : « Les bons services sont-ils fournis efficacement aux personnes qui en ont besoin, au bon moment ainsi qu'au bon prix, et au bon endroit ? », qui sert pratiquement de mantra aux experts-conseils en développement, est en fait une question appropriée, en ce sens qu'elle se concentre sur les bénéficiaires des services et qu'elle place la qualité, la compétence, l'efficacité et les frais de services en plein centre de la vraie signification et du vrai but de la gouvernance, là où elle devrait se trouver.

Vue d'une certaine manière, c'est là une autre question à laquelle les armées de consultants peuvent essayer de répondre dans leur recherche de statistiques et de données, qui font l'objet des commandes des gouvernements et autres agents de prestation de services. Mais vue d'une autre manière, elle ouvre la porte au thème central de cette collection – la localisation du pouvoir dans le processus et la philosophie de la gouvernance. L'éditeur pose les questions suivantes : « Qui a l'autorité de prendre des décisions sur les services à fournir ; sur les bénéficiaires visés ; sur les attributions budgétaires ; et ainsi de suite ? » En effet, continue-t-il, « Qui paie pour les évaluations, et quel est l'impact visé ? » Qui formule les questions que les évaluateurs sont chargés de poser et qui en écoute les réponses ?

Ces questions sont importantes en ce sens qu'elles touchent la gouvernance en plein cœur. La réponse à toutes ces questions est... *ceux qui détiennent le pouvoir*. A l'inverse de ce qui aurait semblé plus logique et pratique, il ne s'agit pas d'une approche par le bas qui verrait les besoins, la planification, la fourniture et le maintien des services influencés par ceux qui y accèdent ; une convention sociale et économique entre des participants et son administration locale en vue de garantir une prestation efficace aux bonnes personnes, au bon moment, au bon endroit et au bon prix... dans l'intention de garantir que les bénéficiaires de ces services soient satisfaits.

Au lieu de cela, vu que l'obligation de rendre compte et la transparence font partie de l'attente des résidents d'un Etat démocratique, la gouvernance doit faire de son mieux pour ne pas aller trop visiblement à l'encontre des principes de la démocratie. Ainsi, dans le dernier chapitre de la collection : *Les fruits des basses branches ou la transforma-*

*tion profonde*, l'éditeur maintient que le gouvernement post apartheid en Afrique du Sud se concentre (et continue de le faire) sur des prestations de services qui diffèrent peu des catégories et des lieux de prestations qui étaient administrés par le gouvernement d'apartheid. Cette répétition, bien que considérablement étendue pour inclure ceux qui auparavant étaient défavorisés par le régime, se sert des mêmes modes de prestation que ceux qui étaient adoptés par les planificateurs de l'apartheid quant aux réseaux d'eau, au système sanitaire, au logement et ainsi de suite. Selon Everatt, c'est une allusion à une opération élaborée de « cueillette des fruits de basses branches » qui permet d'apaiser ceux qui s'attendent à des vraies transformations dans l'Afrique du Sud post apartheid. Les raisons de cette opération sont profondes et complexes, car elles sont situées dans l'héritage colonial de nombreuses nations africaines, dont l'Afrique du Sud, rendant difficile l'adoption d'une réponse plus inclusive (comme nous le verrons plus loin dans cette revue). Toutefois, le *résultat* de cette poussée de gouvernance est une tentative pour minimiser l'importance des défis en provenance de ceux qui ne détiennent pas le pouvoir – c'est-à-dire des résidents des communautés qui expriment de plus en plus leur dissatisfaction par rapport à ce modèle de prestation de services emprunté, en organisant des démonstrations énergiques à travers le pays.

Alors que la question clé au cœur de la gouvernance est le pouvoir et la contestation continue du pouvoir, la plupart des collaborateurs de cette collection sont d'accord sur le fait que le contexte de la gouvernance est essentiel à la compréhension de son application, son efficacité et sa portée. A tel point, explique l'éditeur dans ses notes d'introduction, qu'il n'y aurait aucun intérêt à mesurer l'efficacité de la gouvernance où que ce soit dans le monde sans en comprendre le contexte.

Certains spécialistes de la gouvernance, tels que Andrews (2008), met ouvertement de côté le contexte en vue de montrer que chaque pays doit être appréhendé en ses propres termes, et que les comparaisons avec des pays faisant preuve de bonne gouvernance (comme le Danemark ou la Suède) ne peuvent pas être faites au présent. Au lieu de cela, maintient-il, les pays en voie de développement du Sud doivent se comparer avec des pays développés du Nord à une époque où ces derniers étaient également en voie de développement, afin de montrer leurs progrès vers une « bonne » gouvernance. Les pays du Nord, postule-t-il, ont réussi d'une manière ou d'une autre en « se débrouillant tant bien que mal à sortir de leur propre phase de développement », et c'est ce qui devrait être observé et émulé par les pays en voie de développement d'aujourd'hui. Autrement dit, ils réussiraient, eux aussi, un jour, alors qu'ils « se débrouilleront tant bien que mal » face aux défis de la gouvernance.

En examinant les rapports entre développement et gouvernance, Pundy Pillay (Chapitre 3 : *Gouvernance et développement humain en Afrique sub-saharienne*) présente la notion que les pays pauvres sont pauvres parce que leur gouvernance est médiocre et que les pays riches font preuve de bonne gouvernance.

Ces deux points de vue ignorent complètement l'histoire. L'hypothèse que la gouvernance a lieu sur un pied d'égalité avec tous les participants jouant selon les règles du jeu, ignore sérieusement le contexte historique et « la mesure dans laquelle une partie du monde a amélioré son sort au détriment de l'autre » (Everatt 2019), choisissant plutôt d'évaluer la gouvernance à un moment unique dans le temps.

La réalité, que nombre des collaborateurs de cette collection maintiennent, est que la gouvernance doit être examinée et évaluée au sein d'un contexte mondial très inégal, en faisant intervenir les effets continus du colonialisme. Le post colonialisme, maintiennent-ils, est le cadre par lequel toute examen de la gouvernance peut être entrepris. Les pouvoirs impériaux du Nord et de l'Ouest ont gouverné la plupart de l'Afrique à différentes périodes du XIXème et du XXème siècles, en se préoccupant peu des populations indigènes. L'exploitation acharnée des ressources naturelles, en vue de l'enrichissement des autorités coloniales, était l'objet principal de l'autorité impériale, et pour y arriver, l'utilisation de la violence a été considérable. Les anciens pouvoirs coloniaux adoptent aujourd'hui une attitude selon laquelle cette période de l'histoire est conclue depuis longtemps ; les pays qu'ils gouvernaient sont libres aujourd'hui et ont leurs propres frontières établies par la Conférence de Berlin en 1884, et donc ils devraient « s'en remettre » et se concentrer sur l'accomplissement d'une bonne gouvernance.

Mais la réalité, maintient l'éditeur, est que le colonialisme est une expérience vécue pour la plupart des africains à travers l'Afrique, y inclus l'Afrique du Sud où l'apartheid n'a été aboli que récemment. Parvenir à l'indépendance ne représentait pas une rupture avec le passé, ni avec la période coloniale et tout ce qu'elle représentait, telle l'émergence d'une nouvelle ère et d'une nouvelle identité nationale. En fait, la décolonisation a conduit à une structure de gouvernance postcoloniale, avec une administration, des institutions, des valeurs et des philosophies modelées sur celles des maîtres coloniaux. Dans nombre de cas, elle a essentiellement représenté un transfert de pouvoir d'une élite à une autre, en dépit de la réjouissance collective suite au départ de l'autorité coloniale.

Il est vrai que nombre de pays africains ont aujourd'hui des structures de gouvernance qui se sont détachées – ou sont en train de se détacher – de leur passé colonial, mais l'héritage du colonialisme, qui comprend l'oppression et le pillage massif des ressources, continue d'exercer une influence, même sur ces structures émergentes. En Afrique du Sud, aujourd'hui, nous voyons cet héritage dans le projet de captation de l'Etat, et dans l'avidité et la corruption manifeste chez certains dirigeants politiques et d'entreprises. Nous le voyons également dans la faillite des administrations locales, dévalisées de leurs ressources par le scandale de la société financière VBS et autres initiatives de pillage, entraînant un manque de services essentiels dans de nombreuses communautés à travers le pays.

L'héritage du colonialisme, que ce soit du point de vue des post-colonialistes ou du point de vue contesté des décolonialistes (plus de renseignements à ce sujet à la page 6 de l'introduction), est le thème central de cette collection. La plupart des collaborateurs situent l'efficacité relative de la gouvernance en Afrique, aujourd'hui, au sein du contexte étouffant et perturbateur du passé colonial, dont nombre de pays ne peuvent pas simplement se détacher et oublier, comme s'il n'avait jamais eu lieu.

Pour Salim Latib, Chapitre 2 : *Valeurs africaines partagées de la gouvernance pour l'intégration*, les valeurs partagées des cadres de travail de la gouvernance adoptées par l'Union Africaine, ont contribué à surmonter les défis des frontières créées durant la période coloniale, lesquelles ont détruit les identités nationales dans la plupart de l'Afrique post-coloniale. Il examine les travaux développés dans le programme de l'Union Africaine Agenda 2063, pour supprimer les contrôles transfrontaliers et restituer les frontières de l'Afrique telles qu'elles se trouvaient avant 1884, c'est-à-dire sans aucune démarcations coloniales artificielles.

Patrick Bond, Chapitre 4 : *Politique étrangère sud-africaine et gouvernance mondiale*, examine l'interaction entre les fonctionnaires d'Etat et les dirigeants des sociétés en Afrique du Sud, qui sont au service de l'auto-enrichissement, la corruption et la rupture des institutions de l'Etat. Il maintient que cela fait partie d'une tendance mondiale établie en dehors du continent africain – soit un projet "sous-impérial" déguisé astucieusement en réjection des valeurs impériales et du monopole des capitaux Blancs.

Caryn Abrahams, dans son chapitre intitulé : *Gouverner les systèmes alimentaires urbains : Les leçons tirées de Lusaka, Zambie*, met à jour les effets d'un « environnement commercial profondément inégal » entre les multinationales et l'Etat zambien. Ajouté au changement climatique, lui-même provoqué par les puissantes nations du Nord, la sécurité alimentaire de la population zambienne est menacée. Cette menace, maintient-elle, ne nécessite pas des aides et une assistance aux pauvres, mais de relations plus étroites entre les populations directement affectées par l'insécurité alimentaire, et les mécanismes pour parvenir à la sécurité alimentaire de la part du gouvernement.

La deuxième moitié de la collection est plus spécifiques au secteur. Ainsi, Mike Muller (Chapitre 8 : *Gouvernance vs Gouvernement : Une réflexion de la gestion de l'eau*) examine la manière dont la gouvernance peut aider à gérer le bien mondial crucial qu'est l'eau, et rejette la notion que celle-ci devrait être gérée au niveau local, vu que cela conduirait certaines communautés à développer leurs propres intérêts et à entrer en concurrence pour cette ressource, d'une manière qui ne permettrait pas de garantir la sécurité de l'eau pour tout le monde. Cette ressource, maintient-il, doit être coordonnée au plus haut niveau de gouvernance en vue de garantir l'égalité d'accès, ainsi qu'une conservation centralisée.

Les autres collaborateurs de cette collection (Darlene Miller, Nomalanga Mkhize et Babalwa Magoqwana, Chapitre 12 : *Décolonisation et gouvernance dans les universités*

*sud-africaines*) analysent l'école postcoloniale à travers un cadre décolonial, en maintenant que les universités sud-africaines continuent de privilégier les hommes blancs avant tout autre groupe, offrant des langues coloniales (l'anglais et l'afrikaans) comme langues d'instruction, et adoptant une approche occidentale de l'apprentissage et de l'enseignement.

Toujours sur la gouvernance au sein des université en Afrique du Sud, Kirti Menon et Jodi Cedras (Chapitre 11 : *Prendre en compte la 'réalité' : La gouvernance de l'enseignement supérieur public en Afrique du Sud*) attirent l'attention sur les signes qui indiquent qu'il y a trop d'intervention de l'Etat dans les universités, ce qui a provoqué les manifestations de masse des étudiants de 2017 à 2018 sous la bannière #FeesMustFall, lesquels demandait l'accès à un enseignement supérieur gratuit et l'utilisation d'un syllabus décolonisé. Les auteurs maintiennent qu'il s'agit-là d'un rappel des effets omniprésents de la colonisation et de la vie dans la post-colonie où, en fait, peu de choses ont changé.

Chelete Monyane (Chapitre 10 : *Droit et gouvernance : Le pouvoir judiciaire de l'Afrique du Sud a-t-il outrepassé son mandat de surveillance ?*) examine la question de l'indépendance judiciaire et la manière dont elle s'est trouvée en butte « aux attaques d'élus qui considèrent leur mandat supérieur aux garanties constitutionnelles de l'indépendance judiciaire ». La contestation autour des domaines et des structures de gouvernance est saine, maintient-il, mais le rôle du pouvoir judiciaire ne devrait pas être écarté de son mandat déterminé par la Constitution, s'il est question de tenir la corruption et la recherche de rente en échec et de les contester.

William Gumede (Chapitre 9 : *La gouvernance d'entreprise discontinuée : Les entités publiques et les agences municipales d'Afrique du Sud*) va plus loin dans son examen des entités publiques tel qu'Eskom, et conclut sombrement que les prescriptions de la gouvernance, telles que les codes King de la gouvernance d'entreprise, ont peu d'effet face aux « attaques implacables des chercheurs de rente ». L'effondrement de ces entités et des municipalités a suivi rapidement le pillage de leurs biens par des fonctionnaires égoïstes, en dépit d'une réglementation visant à empêcher ce genre de pratiques.

Enfin, nous devrions tenir compte de l'avertissement de l'éditeur, David Everatt, dans son introduction de la collection : « Le danger auquel nous sommes confrontés est que plus la gouvernance est invoquée, plus le risque de voir son contenu évidé est grand. [Et lorsque cela arrive], la gouvernance devient incapable de nous aider à diagnostiquer, analyser et comprendre les défis, et de nous offrir des solutions pour améliorer le rendement. »

Cet avertissement mesuré devrait être pris sérieusement, si la gouvernance veut s'attirer une certaine crédibilité auprès des gouvernés qui, dans de nombreux pays, y inclus l'Afrique du Sud, sont désillusionnés par les gouvernements pour lesquels ils ont voté, et aux côtés desquels ils devraient (et veulent) être fiers de travailler dans un partenariat visant à parvenir à une meilleure vie pour tous.

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*Rédigé par Michael Westcott, Curriculum Design Unit, National School of Government, Octobre 2019)*

# RESENHA DO LIVRO GOVERNANCE AND THE POST COLONY: VIEWS FROM AFRICA (GOVERNAÇÃO E A PÓS-COLÔNIA: PONTOS DE VISTA DA ÁFRICA)

Editado por David Everatt  
Publicado pela Imprensa da Universidade de Wits  
2019

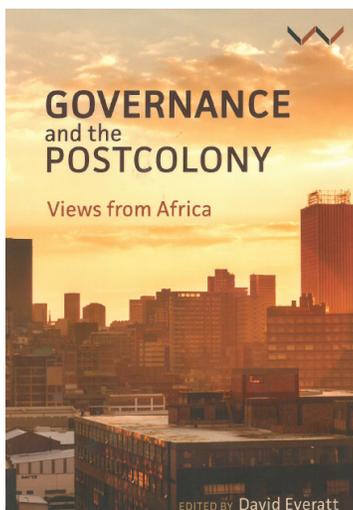
234 páginas

978-1-77614-344-3 (Livro de bolso)

978-1-77614-346-7 (EPUB)

978-1-77614-345-0 (Web PDF)

978-1-77614-347-4 (Mobi)



*Redigido por Michael Westcott, Unidade de Design Curricular, Escola Nacional de Governo, Outubro 2019*

A governação em África é um terreno contestado, não só a nível da governação, mas também na sua definição e no significado que tem assumido entre vários estudiosos. Lemos na introdução desta coleção instigante que a noção de governação assumiu “um papel central no discurso desde o início dos anos 90” (Everatt 2019), com muito conteúdo acumulado destinado a fazer frente à mecânica da governação, ou ao processo prático quotidiano de governação a vários níveis de aplicação, no entanto não há um entendimento comum sobre o que a governação realmente significa e quem ela deve servir.

Fukuyama, F (2013) argumenta que um desses níveis de aplicação em África é a governação medida através da qualidade da administração pública - a sua eficiência burocrática, eficácia e nível de profissionalismo em todos os seus modos de execução é apresentado como a forma ideal de governação a que todas as estruturas de governação africanas devem aspirar. Outra visão sobre a aplicação da governação é que ela existe em muitos níveis e locais diferentes - de corporações empresariais a formações da sociedade civil, ONGs, academia, governação escolar, governação eclesiástica, da Internet e mesmo da família - tudo aparentemente tão importante como a governação a nível macro, que é largamente ignorada por alguns escritores. Por exemplo, Mark Bevir (2013) descreve os diferentes agentes de governação a um nível micro, mas não mostra como estes interagem entre si e, mais importante ainda, como se envolvem com a governação a nível macro - ou governação do Estado pelo partido dirigente. Outros, como Hufty (2011), veem a governação como a interacção constante de diferentes actores, desde o nível macro, passando pelo meso, até ao micro, com o objectivo de explorar soluções para problemas colectivos.

A medição é fundamental para a mecânica da governação, mas sem uma teoria de mudança, ela tem pouco valor. O editor David Everatt, no primeiro capítulo, intitulado *Governação: Notas para uma ressurreição*, afirma que a governação foi "inundada com tanto conteúdo e difundida de forma tão escassa em tantas áreas diferentes que passou a ter um significado muito reduzido". Ele argumenta também que, neste terreno vazio, praticamente sem sentido, a medição do acto de governação em todas as suas formas - macro e micro - torna-se um fim em si mesmo, um exercício fútil e irrelevante. Assim, inquéritos, gráficos, indicadores de desempenho e conjuntos de ferramentas contendo indicadores elevados de sucesso definidos por um grande número de consultores que supostamente estabelecem a "qualidade" (ou falta dela) da governação Africana em relatórios espertos que não têm o peso ou o rigor para pisotear dedos dos pés e machucar ombros a fim de efectuar mudanças reais, não só porque o conteúdo da governação foi difundido de forma tão dispersa, mas também porque a responsabilização está ausente no que pode ser considerado, de forma mais adequada, como o Negócio da Governação (Capítulo 1, página 33) sub-titulado desta forma devido à lucrativa indústria financeira que gerou em todo o continente e à estabilidade que requer para fazer dinheiro.

Segundo Everatt, esta "esterilização da governação" através de medições sem fim, "é o instinto natural de auto-protecção dos que têm poder", pois obscurece a necessidade de estabelecer responsabilização. As elites governamentais, as ONGs e outros agentes de governação que contratam consultores a grande custo dificilmente desejam que os seus projectos sejam desafiados por uma análise profunda e significativa, informada por teorias de mudança adequadas que visam uma transformação fundamental. O resultado é que a governação, em todas as suas formas, não é abalada, nem mesmo ligeiramente sacudida, na sua fundação. O poder e a responsabilização, tão centrais à governação, são completamente ignorados ou convenientemente contornados através da obsessão com a medição. "E quando a governação fica desligada do poder e da responsabilização, ela perde o seu propósito e significado", conclui Everatt.

Então, onde deve ser colocado o objetivo e o significado? E a quem, idealmente, a governação deve interessar? A resposta parece quase óbvia quando se diz que o objectivo da governação é servir o povo de um país, especialmente os mais pobres e mais vulneráveis - ou “residentes”, observa Everatt, a fim de incluir os cidadãos de outros países africanos que residem fora dos seus países de origem - uma questão que é especialmente importante na África do Sul, onde os migrantes africanos estrangeiros precisam urgentemente de ser integrados com os cidadãos como beneficiários iguais dos serviços e apoio do Estado.

O adágio frequentemente citado - “Os serviços certos estão a ser prestados, de forma eficiente e eficaz, às pessoas que deles necessitam, no momento certo e a custo adequado, e no lugar certo?”, embora apresentado quase como um mantra pelos consultores de desenvolvimento, a pergunta acima é realmente apropriada, pois foca a atenção nos destinatários dos serviços e coloca a qualidade, relevância, eficiência e custo dos serviços no centro do verdadeiro significado e objectivo da governação. No lugar em que deve estar.

Vista de uma forma, esta é mais uma pergunta que os exércitos de consultores podem tentar responder quando comissionados por governos e outros agentes de prestação de serviços na sua busca de estatísticas e dados. Mas, visto de outra forma, isso abre a porta para o tema central dessa coleção - a localização do poder no processo e a filosofia da governação. O editor faz as perguntas: “Quem tem o poder de tomar decisões sobre os serviços a serem prestados; sobre os beneficiários pretendidos; sobre as dotações orçamentais; e assim por diante? De facto, ele continua, “Quem está a pagar pelas avaliações, e qual o impacto pretendido?” Quem enquadra as perguntas que são feitas pelos avaliadores e quem consegue ouvir as respostas?

Estas são perguntas importantes que vão directamente ao cerne da governação. A resposta a todas elas é... aqueles que detêm o poder. Não, o que se afigura mais lógico e prático, ou seja, uma abordagem de baixo para cima que vê as necessidades, o planeamento, a prestação e a manutenção dos serviços com base nas informações fornecidas por aqueles que os acessam; um pacto social e económico entre participantes locais e governo para assegurar uma prestação eficaz e eficiente às pessoas certas no momento certo, no lugar e a custo correcto... com o resultado pretendido: a satisfação dos beneficiários dos serviços.

Em vez disso, uma vez que a responsabilização e a transparência são uma expectativa dos residentes num Estado democrático, a governação deve fazer o seu melhor para não estar obviamente em desacordo com esses princípios da democracia. E assim, no último capítulo da coleção intitulado: “Fruta pronta a colher” Ou Transformação Profunda, o editor argumenta que o governo pós-apartheid na África do Sul concentra-se (e continua a concentrar-se) na prestação de serviços que não é muito diferente das categorias e locais de entrega apresentados pelo governo de apartheid...”. Esta repetição, embora tenha sido substancialmente expandida para incluir as pessoas anterior-

mente desfavorecidas pelo apartheid, faz uso dos mesmos modos de distribuição que os adotados pelos planejadores do apartheid na reticulação da água, saneamento, habitação e assim por diante. Isso, sugere Everatt, acaba como um exercício elaborado na “coleta de frutas prontas a serem colhidas” para apaziguar aqueles que esperam uma verdadeira transformação na África do Sul pós-apartheid. As razões para isso são profundas e complexas, uma vez que estão inseridas no legado colonial de muitas nações africanas, incluindo a África do Sul, dificultando a adoção de uma resposta mais inclusiva (como será exposto mais adiante nesta análise). No entanto, o resultado deste impulso de governação é uma tentativa de minimizar os desafios que emanam daqueles que não detêm o poder - os residentes comunitários que estão cada vez mais a manifestar a sua insatisfação com este modelo de prestação de serviços emprestado, através de uma acção robusta de protestos em todo o país.

Embora a questão chave no seio da governação seja o poder e a contestação contínua pelo poder, a maioria dos participantes nesta análise concorda que o contexto da governação é essencial para compreender a sua aplicação, eficácia e alcance. Tanto assim, explica o editor em suas notas introdutórias, que não faria sentido medir a eficácia da governação em qualquer lugar do mundo sem uma compreensão do contexto.

Alguns estudiosos de governação, como Andrews (2008), põem descaradamente de lado o contexto para mostrar que cada país deve ser entendido nos seus próprios termos e que as comparações com países que apresentam boa governação (como a Dinamarca ou a Suécia) não podem ser feitas no presente. Em vez disso, ele argumenta que as nações em desenvolvimento no sul devem ser comparadas com os países desenvolvidos do hemisfério norte quando estavam também em fase de desenvolvimento a fim de poderem avaliar seus progressos na obtenção de uma “boa” governação. Os países do hemisfério norte, postula ele, acertaram, de alguma forma, por “manobrar a sua própria fase de desenvolvimento” e isso deve ser observado e imitado hoje em dia pelos países em desenvolvimento. Em outras palavras, eles também chegarão lá um dia, enquanto “manobram” os desafios da governação.

Ao examinar a relação entre desenvolvimento e governação, Pundy Pillay (Capítulo 3: Governação e Desenvolvimento Humano na África Subsariana) apresenta a noção de que os países pobres são pobres porque a sua governação é pobre, ao passo que os países ricos exibem boa governação.

Ambos os pontos de vista ignoram abertamente a história. A suposição de que a governança ocorre em condições de igualdade com todos os jogadores a chutar a bola de acordo com as regras do jogo, ignora seriamente o contexto histórico e “a medida pela qual uma parte do mundo melhorou sua sorte à custa da outra” (Everatt, 2019), escolhendo em vez disso, classificar a governação num determinado momento de tempo.

A realidade, argumenta muitos dos contribuintes desta coleção, de que a governação deve ser vista e avaliada dentro de um contexto global altamente desigual envolvendo o efeito contínuo do colonialismo. O pós-colonialismo, argumentam eles, é o quadro a partir do qual qualquer exame de governação deve ser realizado. As potências imperiais do norte e do ocidente governaram a maior parte da África em épocas diferentes, nos séculos XIX e XX, sem grande preocupação pelas populações indígenas. A exploração impiedosa dos recursos naturais para o enriquecimento das potências coloniais foi o objectivo principal do domínio imperial e, para atingir isso, foi desencadeada uma violência considerável. As antigas potências coloniais adoptam actualmente a atitude de que este período da história foi concluído há muito tempo, e que os países que outrora governaram são agora livres e têm as suas próprias fronteiras estabelecidas pela Conferência de Berlim de 1884, pelo que devem “ultrapassar isso” e concentrar-se em estabelecer uma boa governação.

Mas a realidade, argumenta o editor, é que o colonialismo é uma experiência vivida pela maioria dos africanos em toda a África, incluindo a África do Sul, onde o apartheid foi recentemente desmantelado. A conquista da independência não representou uma ruptura com o passado, uma quebra súbita com o período colonial e tudo o que ele representou com a emergência de uma nova aurora e de uma nova identidade nacional. De facto, a descolonização resultou numa estrutura de governação pós-colonial com uma administração, instituições, valores e princípios inspirados nos dos mestres coloniais. Essencialmente, em muitos casos, representou uma transferência de poder de uma elite para outra, apesar da alegria em massa que acompanhou a partida do poder colonial.

É verdade que muitos países africanos têm agora estruturas de governação que se separaram ou estão a separar-se do passado colonial, mas o legado do colonialismo com a sua opressão e pilhagem em massa dos recursos continua a exercer uma influência, mesmo sobre estas estruturas emergentes. Indiscutivelmente, na África do Sul de hoje, vemos esse legado no projeto de captura do Estado e na ganância e corrupção evidentes em secções da liderança política e corporativa. Vemos isso também no estado falido do governo local, despojado de recursos através do escândalo VBS e outras iniciativas de saque, resultando na falta de prestação de serviços básicos a muitas comunidades locais em todo o país.

O legado do colonialismo, seja do ponto de vista dos pós-colonialistas ou da visão contestada dos descolonialistas (mais sobre isto na página 6 da introdução) é o tema central desta coleção, com a maioria dos contribuintes a posicionar a eficácia relativa da governação em África hoje, no contexto sufocante e perturbador do passado colonial, do qual muitos países não podem simplesmente afastar-se e esquecer como se isso nunca tivesse acontecido.

Para Salim Latib, Capítulo 2: Valores Africanos Partilhados na Governação para a Integração, os valores partilhados dos quadros de governação adoptados pela União Africana ajudaram a ultrapassar os desafios das fronteiras criadas colonialmente que destruíram as identidades nacionais na maior parte da África pós-colonial. Ele analisa os esforços que estão a ser desenvolvidos através da Agenda 2063 para remover as restrições fronteiriças e devolver a África a um estado pré-1884 sem demarcações coloniais artificiais. Patrick Bond: Capítulo 4: Política Externa e Governação Global da África do Sul, analisa a interacção entre funcionários governamentais e líderes empresariais no país, ao serviço do auto-enriquecimento, da corrupção e da ruptura das instituições estatais. Isto, argumenta ele, é parte de uma tendência global definida fora do continente africano - efetivamente um projeto "sub-imperial" que está habilmente disfarçado como uma rejeição dos valores imperiais e do capital monopolista branco.

Caryn Abrahams, no seu capítulo, *Governando Sistemas Alimentares Urbanos: Lições de Lusaka, Zâmbia*, revela o efeito de um "ambiente comercial profundamente desigual" entre empresas multinacionais e o Estado Zambiano. Juntamente com a mudança climática, causada pelas poderosas nações do norte, a população do país enfrenta uma ameaça à segurança alimentar. Esta ameaça, argumenta ela, não requer esmolas e assistência para os pobres, mas uma relação mais próxima entre as pessoas diretamente afetadas pela segurança alimentar e os mecanismos de obtenção de segurança alimentar por parte do governo.

A segunda metade da recolha é mais específica ao sector. Assim, Mike Muller (Capítulo 8: Governação vs Governo: Como reflectido na gestão da água) analisa como a governação pode ajudar a gerir um activo global fundamental – e rejeita a ideia de que tal deva ser gerido a nível local, uma vez que isso permitiria a comunidades específicas defender os seus próprios interesses e competir por esse recurso de uma forma que não garantiria a segurança hídrica para todos. Esse recurso, argumenta ele, precisa ser coordenado ao mais alto nível de governação para garantir a igualdade de acesso e a conservação centralizada.

Outros colaboradores desta colecção (Darlene Miller, Nomalanga Mkhize e Babalwa Magoqwana, Capítulo 12: Descolonização e Governação nas Universidades da África do Sul) analisam a academia pós-colonial através de uma lente descolonial, argumentando que as universidades da África do Sul continuam a privilegiar os homens brancos em relação a outros grupos, oferecendo as línguas coloniais (inglês e afrikaans) como suas línguas de instrução e assumem uma abordagem ocidental à aprendizagem e ensino.

Ainda sobre a governação universitária na África do Sul, Kirti Menon e Jodi Cedras (Capítulo 11: O Factor do "Mundo Real": Governação do ensino superior público na África do Sul) apontam para evidências de demasiada intervenção estatal nas universidades, resultando nos protestos de estudantes em massa de 2017-18 sob a bandeira #Fees-MustFall, (#As propinas devem ser canceladas), que exigia um ensino superior sem taxas usando um programa de estudos descolonizado. Isso, eles sustentam, foi um

lembrete dos efeitos generalizados da colonização e da vida pós-colonialismo, onde pouco, de facto, mudou.

Chelete Monyane (Capítulo 10: Lei e Governação: O sistema judicial da África do Sul ultrapassou o seu mandato de supervisão) examina a questão da independência judicial e a forma como esta tem sido “atacada por funcionários eleitos que consideram o seu mandato superior às garantias constitucionais de independência judicial”. A contestação em torno das esferas e estruturas de governação, argumenta ele, é saudável, mas o papel do sistema judicial não deve ser afastado do seu mandato constitucionalmente ancorado, se quisermos evitar e contestar a corrupção e a procura de receitas.

William Gumede (Capítulo 9: Governação Empresarial Quebrada: As entidades e agências municipais estatais da África do Sul) levam isto mais longe na sua análise de entidades estatais como a Eskom, concluindo desoladoramente que as prescrições de governação, tais como os códigos King de governação empresarial, têm pouco efeito face à “incansável investida dos que procuram rendimentos”. O colapso dessas entidades e dos municípios avançou rapidamente através da pilhagem de seus activos por funcionários públicos egoístas, apesar dos regulamentos destinados a prevenir essas práticas.

Finalmente, devemos prestar atenção ao aviso do editor, David Everatt, em sua introdução à colecção: “O perigo que enfrentamos é que quanto mais a governação é invocada, maior é o perigo de o seu conteúdo ser esvaziado. E quando isso acontece, a governação torna-se incapaz de nos ajudar a diagnosticar, analisar e compreender os desafios, ou de nos oferecer soluções para melhorar o desempenho”.

Este aviso sóbrio deve ser considerado seriamente para que a governação ganhe a credibilidade dos governados, que em muitos países, incluindo a África do Sul, se sentem desiludidos com os governos nos quais votaram e que deveriam (e desejam) sentir-se orgulhosos de colaborar numa parceria destinada a garantir uma vida melhor para todos.

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La revue examine un grand nombre de sujets et de questions concernant la gouvernance, le développement, la recherche et la mise en œuvre de politiques, ainsi que la direction et la gestion au sein du secteur public en Afrique. Les articles incluent des sujets de recherche spécifique aussi bien qu'interdisciplinaires, et portent sur des approches et des expériences aussi bien théoriques que pratiques relatives au développement et à la gouvernance en Afrique.

La revue publie des articles de recherche évalués par des pairs, ainsi que des documents de consultation, des documents de politique générale, des entretiens avec des personnes éminentes, et des comptes rendus de livres sur des questions importantes relatives au développement et à la gouvernance du secteur public en Afrique.

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# Revista Africana de Desenvolvimento e Governação do Sector Público

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**Africa Journal of Public Sector Development and Governance**  
**Revue Africaine De Développement Et De Gouvernance Du Secteur Public**  
**Revista Africana de Desenvolvimento e Governação do Sector Público**

Volume 2 Issue 1  
Volume 2 Edição 1  
Volume 2 Numéro 1

ISSN ISSN 2617-7714

